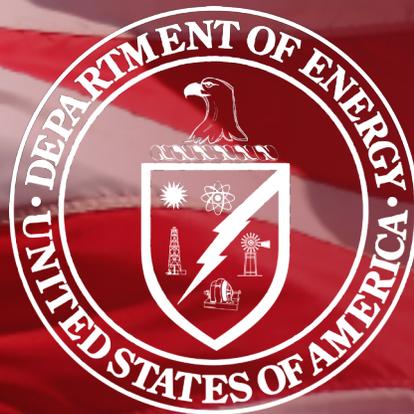


INSPECTORS GUIDE

Protective Force



Office of Security Evaluations
Office of Independent Oversight
Office of Health, Safety and Security

October 2009

**PROTECTIVE FORCE
INSPECTORS GUIDE**



October 2009

**U.S. Department of Energy
Office of Health Safety and
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Preface

As part of an effort to enhance the appraisal process, the Office of Independent Oversight and the Office of Security Evaluations have prepared a series of documents that collectively provide comprehensive guidance and tools for the evaluation of safeguards and security program effectiveness across the Department of Energy (DOE) complex. The Independent Oversight Appraisal Process Protocols describe the philosophy, scope, and general procedures applicable to all Independent Oversight appraisal activities and specific procedures used by Independent Oversight in planning, conducting, and following up on safeguards and security inspections. This Protective Force Inspectors Guide is one in a series of topical inspectors' guides used by the Office of Security Evaluations and provides detailed information and tools to assist inspectors assigned to evaluate the performance of protective forces in DOE.

Although this inspectors' guide is designed specifically for the Security Evaluations inspector, it is made available to the field through the DOE homepage and may be useful to field element and facility contractor personnel who conduct surveys or self-assessments of the protective force topic.

Security Evaluations anticipates making periodic revisions to this guide in response to changes in DOE program direction and guidance, insights gained from inspection activities, and feedback from customers and constituents. Therefore, users of this process guide are invited to submit comments and recommendations to Office of Security Evaluations.

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Acronyms

CAS	Central Alarm Station
CAT	Composite Adversary Team
DOE	U.S. Department of Energy
EEI	Essential Elements of Information
EOC	Emergency Operations Center
ESS	Engagement Simulation System
FBI	Federal Bureau of Investigation
FLIR	Forward Looking Infrared
FOF	Force on Force
HQ	Headquarters
IFF	Identification of Friendly Forces
IR	Infrared
ISSM	Integrated Safeguards and Security Management
JTA	Job Task Analysis
LLEA	Local Law Enforcement Agency
LSPT	Limited Scope Performance Test
MC&A	Material Control and Accountability
MILES	Multiple Integrated Laser Engagement System
MOU	Memorandum of Understanding
NTC	DOE National Training Center
OPFOR	Opposing Force
OJT	On-the-Job Training
PF	Protective Force
POC	Point of Contact
SAS	Secondary Alarm Station
SNM	Special Nuclear Material
SO	Security Officer
SPO	Security Police Officer
SRT	Special Response Team
SSSP	Site Safeguards and Security Plan
VA	Vulnerability Analysis

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Definitions

Composite Adversary Team (CAT) – Individuals who play the part of adversaries during performance tests.

Controller – An individual assigned to assist a Test Coordinator in conducting and controlling a performance test.

Evaluator – An individual assigned the responsibility for formally evaluating the performance of protection system elements during a performance test. For Independent Oversight inspections, evaluators are usually members of the Independent Oversight inspection team.

Insider – For performance testing purposes, a person from an inspected facility who is assigned to assist the CAT, to the best of his/her abilities, in planning and executing their activities for a performance test. (For a more detailed discussion of insider responsibilities, see “Context and Protocols for Performance Testing of Protective Forces,” February 1999.)

Limited Scope Performance Test (LSPT) – A performance test designed to evaluate specific skills, equipment, or procedures. An LSPT may involve engagement simulation system/multiple integrated laser engagement system (ESS/MILES) equipment and CAT adversaries or live fire. The events of an LSPT may be interrupted to facilitate data collection, and they may be purposely directed by Independent Oversight in order to achieve certain evaluation goals. Although used as a data collection method for input to the protective force topic, LSPTs are not assigned individual ratings.

Multiple Integrated Laser Engagement System (MILES) (also referred to as engagement simulation system, or ESS) – Equipment consisting of weapons-mounted laser transmitters, and laser sensors that are mounted on potential targets (e.g., personnel, vehicles, buildings). MILES permits accurate assessment of the effects of weapons fire during simulated hostile engagements.

Observer – An individual who observes a performance test but does not take part in test planning, control, play, or evaluation.

Player – An active participant in a performance test either as a person being tested or as a role player, such as an adversary or a bystander.

Shadow Force – Members of a facility protective force who are armed with live weapons and ammunition and are under the direct supervision of a controller. The purpose of the shadow force is to provide armed response to an actual security emergency that might occur within performance test boundaries during a performance test.

Test Coordinator – An individual assigned the primary responsibility for planning and conducting a performance test.

Trusted Agent – A technically knowledgeable individual from an inspected field element or facility who acts as a neutral party to assist in planning and conducting a performance test. (For a more detailed discussion of Trusted Agents and their responsibilities, see “Context and Protocols for Performance Testing of Protective Forces,” February 1999.)

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Section 1: Introduction

Purpose

The Protective Force Inspectors Guide provides a set of detailed tools and references that the inspector can use to plan, conduct, and close out an inspection of the protective force. These tools serve to promote consistency, assure thoroughness, and enhance the quality of the inspection process within the U.S. Department of Energy (DOE) Office of Independent Oversight.

The information in the guide is intended to be useful to both the novice and the experienced inspector. For the experienced inspector, detailed information is organized to be easily referenced and can serve as a reminder when conducting inspection activities. For the novice inspector, the information can serve as a valuable training tool. With the assistance of an experienced inspector, the novice should be able to use the tools and reference material to collect data more efficiently and effectively.

Organization

This introductory section (Section 1) describes the inspection tools and outlines their use. Sections 2 through 5 provide detailed guidance for inspecting each of the following major protective force subtopics:

- Section 2 – Management
- Section 3 – Training
- Section 4 – Equipment and Facilities
- Section 5 – Duties (Routine and Emergency).

Section 6 (Interfaces) contains guidelines to help inspectors coordinate their activities both within the protective force team and with other topic teams. The section emphasizes ways in which data gathering can be made more efficient by coordinating with other teams and by identifying data that inspectors on other teams can collect.

Section 7 (Analyzing Data and Interpreting Results) contains guidelines on how to organize and analyze information gathered during data collection activities. These guidelines include likely impacts of particular information on other topics or subtopics, and a discussion of interpreting the significance of potential deficiencies.

Appendix A (Performance Test Procedures) discusses the procedures for planning and conducting protective force performance tests in general, without dealing with specific tests. The purpose, importance, scope, and goals of protective force performance testing are addressed, followed by a detailed discussion of the procedures and considerations involved in planning and conducting performance tests.

Appendix B (Performance Test Descriptions and Commentary) contains generic performance test descriptions to represent the selection of commonly used protective force performance tests used in data collection in the Duties subtopic area.

Appendix C (Evaluation Criteria and Worksheets) provides the evaluation criteria and worksheets used to record, analyze, and evaluate performance.

Appendix D (Performance Test Safety Plan) provides information on the performance test safety plan. In addition to numerous other safety considerations, the plan is designed to address safety equipment, test boundaries, engagement simulation system/multiple integrated laser engagement system (ESS/MILES) safety provisions, and safety for individual participants.

General Considerations

The tools contained in this guide are intended to be used at the discretion of the inspector. Typically, inspectors select the tools that are applicable and most useful on a facility-specific and inspection-specific basis. Although the guidelines presented here cover a variety of inspection activities, they do not and cannot address all protection program variations, systems, and procedures used at all DOE facilities. The tools may have to be modified or adapted to meet inspection-specific needs, and in some instances, inspectors may have to design new activities and new tools to collect information not specifically covered in this guide.

The information in this guide does not repeat all of the detailed information in DOE orders. Rather, it is intended to complement the orders by providing practical guidance for planning, collecting, and analyzing inspection data. Inspectors should refer to this guide as well as DOE Orders and other guidance at all stages of the inspection process.

One consideration in developing the inspectors guides is to provide a repository for the collective knowledge of Independent Oversight's most experienced inspectors that can be enhanced and updated as inspection methods improve and inspection experience accumulates. Every attempt has been made to develop specific guidelines that are as useful as possible to both novice and experienced inspectors. In addition to guidelines for collecting information, the inspection tools provide aids for prioritizing and selecting activities, then analyzing and interpreting results. The specific guidelines should be viewed as suggestions rather than requirements, and they must be critically examined and interpreted on an inspection-specific basis, taking into account site-specific factors.

Characterization of the Protective Force Topic

The basic mission of the protective force is to protect DOE security interests from theft, sabotage, and other hostile acts that may adversely impact national security or the health and safety of the public, as well as life and property at DOE facilities. How a protective force accomplishes this mission depends upon the specific security interests it must protect; this process is defined in locally promulgated orders, procedures, plans, and mission statements. The inspection of a protective force must determine its ability to accomplish site-specific requirements as well as the applicable DOE policy requirements.

One or more of the subtopics (Management, Training, Equipment and Facilities, and Duties) will be the subject of inspection activities, depending upon the goals of the inspection. All of the subtopics are closely related and interdependent. The Duties subtopic is by far the most important, because it integrates the strengths and mitigates the weaknesses of other areas, and answers the question of whether the protective force can accomplish its mission. Further, due to the interrelationships of the subtopics, the inspection of the Duties subtopic automatically results in collection of data pertaining to the other three subtopics. Figure 1 illustrates this point.

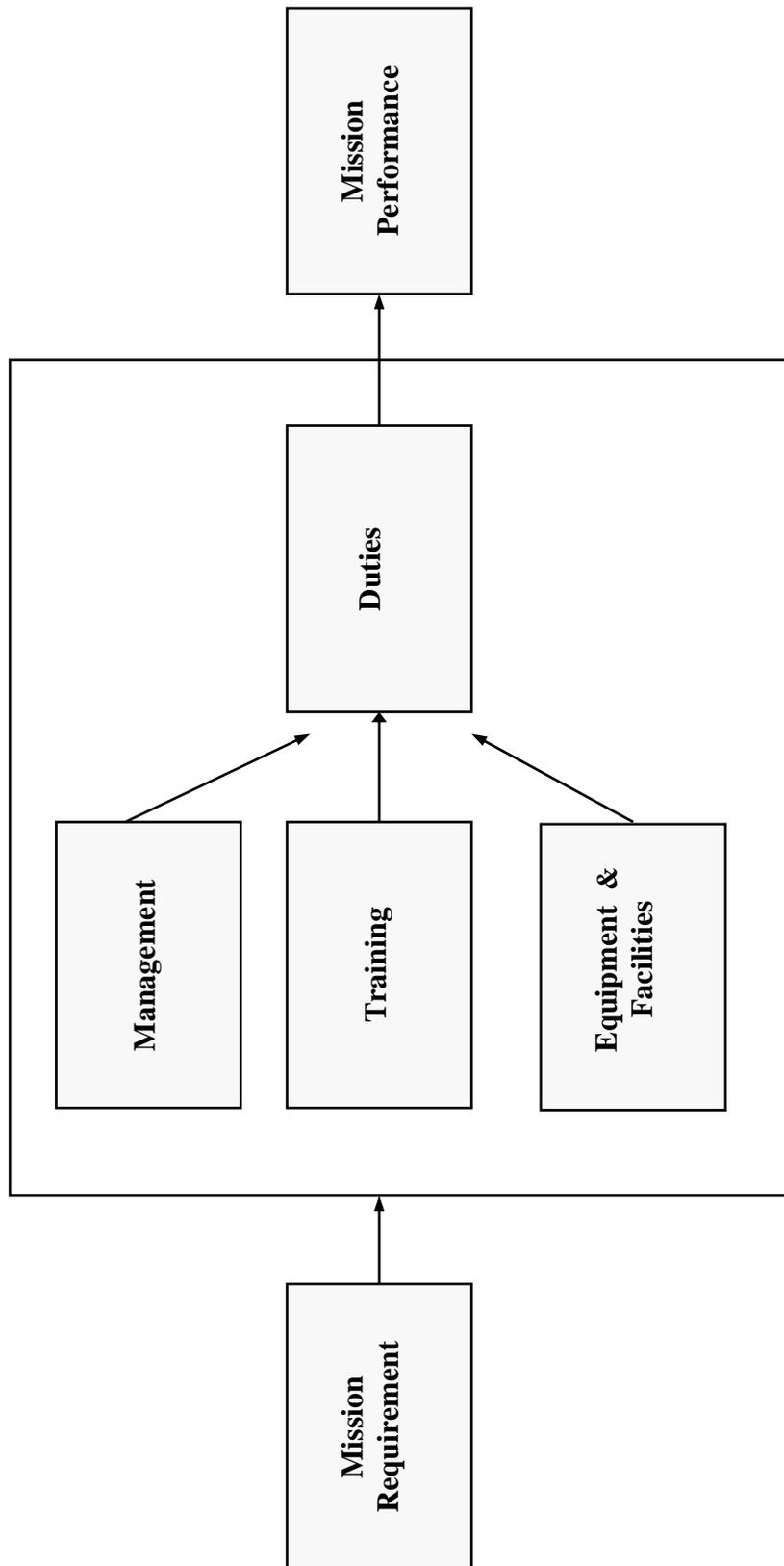


Figure 1. Interrelationship of Protective Force Subtopics

Inspection Goals

The primary inspection goal is to determine, with reasonable certainty, whether the protective force is both adequately meeting the appropriate standards established by DOE policy and providing appropriate protection to DOE security interests. In other words, the inspection must determine to what degree the protective force is able to accomplish its mission. In order to do this, it is necessary to determine whether the protective force is adequately managed, trained, equipped, and capable of performing all mission-related tasks and duties.

While additional goals may be assigned from time to time, the primary goal always remains the same: to determine whether the protective force meets DOE standards in the areas inspected.

Compliance/Performance

While a protective force inspection includes compliance and performance activities, a greater emphasis is placed on the performance aspect, as it is more useful in determining whether the protective force can perform its missions. Many of the DOE protective force policy requirements contained in current orders/directives are stated in performance terms: that is, they state a mission, duty, or set of duties that must be performed. Therefore, compliance requires effective performance. Even when dealing with policy requirements for which a compliance approach may seem appropriate (e.g., Does the training program contain the required elements? Are there post orders?), the Independent Oversight approach for this topic is to go beyond compliance and determine the performance aspects of these requirements (e.g., Does the training program adequately prepare security police officers to perform their mission? Do post orders provide adequate and appropriate guidance?). Therefore, whenever possible, data collection activities for the protective force topic should be performance-oriented.

Planning Goals

The ultimate goal of planning is to anticipate and provide for every action necessary to conduct the highest quality inspection possible with the resources available. That is an extremely broad goal, and it provides little structure for actual planning. However, it is useful to focus the planning process on several narrower, yet major, goals. Examples of such goals might include:

- Understanding the character of the protective force, including its size, composition, organization and mission; having a general familiarity with how it is trained, managed, and equipped; and understanding the environment in which it operates
- Determining the subtopics to be inspected and the specific areas of focus for inspection activities
- Determining the specific data collection methods to be used, including any performance tests to be conducted
- Identifying and arranging for the provision of all personnel, administrative, safety, and logistical requirements necessary for data collection
- Producing necessary planning documents
- Developing a plan for the equitable use of inspection resources and manpower to provide the maximum amount of data to support subtopical and overall inspection results

- Determining what follow-up requirements (test plans, etc.) must be accomplished prior to conducting the inspection.

Planning Decisions

Based on analysis of the information gained from the document review, discussion with other topic teams, and discussion with the points of contact (POCs), the topic team must make a number of decisions, including:

- Scope and emphasis of inspection activities (including final selection of subtopics)
- Data collection methods and tools to be employed, including performance tests
- Test samples and how they will be selected
- Composite Adversary Team support required
- Logistics, administrative, and personnel support required, and its sources
- Team members and their data collection activities
- A tentative schedule for data collection activities.

Once these decisions have been made, work assignments can be made and the detailed planning of data collection activities can proceed.

Using the Topic-Specific Tools

Sections 2 through 5, organized around the protective force subtopics, provide topic-specific information intended to help inspectors collect and analyze inspection data. Each subtopic section is further divided into the following standard categories:

- General Information
- Common Deficiencies/Potential Concerns
- Planning Activities
- Performance Tests (if applicable)
- Data Collection Activities.

General Information

The General Information section defines the scope of the subtopic. It includes background information, guidelines, and commonly used terms intended to help inspectors focus on the unique features and problems associated with the subtopic. It also identifies the different approaches that a facility might use to accomplish an objective and provides typical examples.

Common Deficiencies/Potential Concerns

This section addresses potential concerns or deficiencies that Independent Oversight has noted on previous inspections. Accompanying each potential concern or common deficiency is a short discussion giving more detail. Information in this section is intended to help the inspector further focus inspection activities and identify site-specific factors that may indicate whether a particular deficiency is likely to be present. By reviewing the list of common deficiencies and potential concerns before gathering data, inspectors can be aware of these deficiencies and concerns during interviews, tours, and other data gathering activities.

Planning Activities

This section identifies activities normally conducted during inspection planning. If applicable, specific activities or information available to inspectors should be identified for all planning periods, including pre-planning, the planning meeting, and ongoing planning. These planning activities include reviews of general documents and interviews with the facility protective force managers. The detailed information in the Planning Activities section is intended to help ensure systematic data collection and that critical elements are not overlooked.

Performance Tests

Appendices A and B provide detailed information on protective force performance testing, including commonly used performance tests and scenarios that may be used as shown or modified to address site-specific conditions or procedures. Performance testing is the most important data collection activity used in evaluating the protective force (specifically the Duties subtopic); therefore, it is customarily the focus of most data collection efforts. Accordingly, the information on performance testing is provided in two appendices rather than in detail in the subtopic sections.

In comparison with other data collection tools, several aspects of performance testing should be noted. First, performance testing is the most labor- and time-intensive of all data collection activities. Second, performance testing places the greatest demands on the resources of the inspected site and requires the highest degree of coordination and planning. Third, performance testing offers the greatest potential for generating safety or security problems. Thus, performance tests should not be used when relevant data can be gathered using other collection tools. Also, the tests must be carefully planned and coordinated prior to arrival on site to ensure the most efficient use of time and resources. This planning and coordination process should continue after the inspectors arrive at the site, often up to the moment the test is administered.

Most facilities have local requirements and procedures for planning, coordinating, and conducting performance tests. If the local procedures are acceptable to Independent Oversight, considerable time and effort can sometimes be saved by having the facility plan, coordinate, and conduct specific performance tests (particularly more elaborate tests) in cooperation with Independent Oversight.

Data Collection Activities

This section identifies activities that inspectors may choose to perform during data collection. The information is intended to be reasonably comprehensive, although it is recognized that it will not address every conceivable variation. Typically, these activities are organized by functional element or by the type of system used to provide protection. Activities include tours, interviews, observations, and performance tests. Inspectors do not normally perform every activity on every inspection. Most often, activities and performance tests are selected during the planning effort. The activities listed in this section include those most often conducted and reflect the highest level of Independent Oversight data collection experience and expertise possible. Also, the activities are identified alphabetically for easy reference and for assigning data collection tasks.

Validation

Validation is the set of procedures Independent Oversight inspectors use to verify the accuracy of the information they have obtained during data collection activities. Independent Oversight's validation procedures include on-the-spot validations, daily validations, and summary validations. Effective validations are particularly important in the protective force review because of the extensive performance tests conducted by the protective force team and the inherent difficulties associated with evaluating the performance of protective force personnel. Further, the protective force team faces unique challenges because of the tendency for performance testing to extend past normal working hours; in such cases, the protective force team often must conduct the daily validations the next morning. Therefore, the protective force team must assure that it places high priority on validation efforts, and that its efforts are effectively coordinated.

In the protective force reviews, on-the-spot validations are particularly critical because of the large number of people typically involved in performance tests, and because it is often difficult to reassemble all the people involved for the daily and summary validations. Therefore, it is important for the individual team members to keep track of significant information covered in on-the-spot validations so it can be reiterated for the protective force managers during the daily and summary validations.

Using the Tools in Each Inspection Phase

The inspection tools are intended to be useful in all phases of the inspection. The following discussion summarizes the use of the inspection tools in the various phases.

In the **planning phase**, inspectors:

- Use the General Information section under each subtopic to characterize the program and focus the inspection.
- Review Common Deficiencies/Potential Concerns to help focus inspection activities, to determine whether any common deficiencies are apparent, and to identify site-specific features that may indicate a need for emphasis on selected areas or activities.
- Assign specific tasks to individual inspectors (or small teams of inspectors) by selecting performance tests and specific items from the Data Collection Activities section. The assignments should be made to optimize efficiency and to ensure that all high-priority activities are accomplished.
- Give appropriate consideration to the guidelines in Section 6 (Interfaces) when assigning tasks, to ensure that efforts are not duplicated and critical elements are not overlooked.

In the **conduct phase**, inspectors:

- Use the detailed information in the Data Collection Activities section as guidelines for interviews and tours. Inspectors may choose to make notes directly on photocopies of the applicable sections.
- Review Common Deficiencies/Potential Concerns after completing each data collection activity to determine whether any common deficiencies are apparent at the facility. If so, inspectors should determine whether subsequent activities should be reprioritized.

- Review Section 7 (Analyzing Data and Interpreting Results) after completing each data collection activity to aid in evaluation and analysis of the data, and to determine whether additional data are needed to evaluate the program. If additional activities are needed, inspectors should then determine whether subsequent activities should be re-prioritized.

In the **closure phase**, inspectors:

- Refer to the appropriate policy references to determine whether the facility is complying with all applicable requirements, including those issued by DOE Headquarters.
- Use Section 7 (Analyzing Data and Interpreting Results) to help analyze the collected data and identify the impacts of identified deficiencies. Doing so will help determine the significance of findings, if any, and assist inspectors in writing the analysis section of the inspection report.

Integrated Safeguards and Security Management

DOE Policy 470.1, *Integrated Safeguards and Security Management (ISSM) Policy*, formally adopts an integrated management concept that had formerly been used primarily in environment, safety, and health inspections. The ISSM framework encompasses all levels of activities and documentation related to DOE safeguards and security management.

The ISSM concept has proved useful in planning and conducting inspections and in analyzing data on program effectiveness. Further, ISSM principles can be useful in diagnosing the root causes of identified weaknesses, and thus can benefit the site by helping organize inspection results in a manner that highlights root causes.

Section 2: Protective Force Management

General Information

The protective force management standard emphasizes the effective application of protective force resources to perform the assigned mission. It further emphasizes such specific items as careful planning, precise documentation, sufficiency of resources, effective command and control, coordination with outside agencies, and an organizational climate conducive to productivity and personal development. Specific elements essential to protective force management are:

- Supervision
- Plans, orders, and procedures
- Allocation of personnel resources
- Personnel administration.

These elements are listed in order of priority. Unless unusual factors exist, data collection priorities should reflect this hierarchy when resources are limited.

Supervision that is both competent and sufficient is essential to effective protective force mission accomplishment. A successful supervisory program usually includes procedures for inspecting security police officers (SPOs) reporting for duty to determine job knowledge, fitness for duty, and adequacy of equipment. Also, procedures should be in place for contacting every SPO on duty several times during each shift to ensure that adequate security is being provided, equipment is functioning properly, and essential information is disseminated. It is important that a complete and accurate record of post visits, inspections, and incidents bearing on security is maintained, and that investigations of anomalies noted in recording visits and reporting are thorough and timely.

An important function of management is to ensure the presence of clear and concise plans, instructions, and orders. Typically, plans address potential contingencies, natural disasters, and emergencies; instructions implement the provisions of DOE orders; and special orders cover each post, patrol, or other position. It is essential that these instructions and orders be readily available to protective force personnel and management, and that a system is in place to ensure that reviews are conducted and changes are incorporated in a timely manner. It is important that memoranda of understanding (MOUs) with Federal, State, and military agencies and local law enforcement agencies (LLEAs) and other documents delineating agreements and outside assistance are current and have been exercised to determine their effectiveness. At DOE facilities with special response teams (SRTs), plans are required to ensure adequate response to events involving sabotage or theft of nuclear weapons and other selected materials. Where the requirement for an SRT is met by an MOU with LLEAs, it is essential to ensure that the LLEAs possess the skills required by DOE policies.

The protective force must have sufficient personnel resources available to ensure an adequate response in the amount of time and with the number of personnel required to contain, deny, and/or neutralize the adversary as defined in approved Site Safeguards and Security Plans (SSSPs).

Before inspecting a protective force's management, an inspector should understand the protective force's position within and relationship to the facility and other organizations. Knowing this information can have a

significant impact on the protective force manager's options. There are essentially three types of possible relationships: a proprietary relationship, where the protective force is part of the facility prime contractor organization and protective force members are employees of the prime contractor; a subcontractor relationship, where the protective force contractor is a subcontractor to the facility prime contractor; and a prime contractor relationship, where the protective force contractor is a prime contractor directly to the DOE field element and does not work directly for the facility prime contractor.

Inspection of protective force management includes: reviewing directives, plans, orders, and related documentation; interviewing protective force management personnel; observing the conduct of supervisory functions and operations; reviewing the allocation of personnel resources available for normal and contingency operations; and analyzing the results of data collection in protective force management, training, equipment and facilities, and duties, to determine the effectiveness of programs to protect critical assets. Inspectors must pay particular attention to DOE threat guidance and its potential impact on the protective force mission. When appropriate, operations office and site office management and oversight roles should be examined.

If a collective bargaining agreement is in place on site, then interviews with local union management should be conducted. Interviews with union management should include: company, union interface, involvement in decision making processes concerning company and union members, and SPO morale, along with equipment, training, and promotion opportunities. Other identified topics that could aid in the understanding of relationships between, company and union members specific to the site should be pursued.

Common Deficiencies/Potential Concerns

Line Management Responsibility for Safeguards and Security

Inadequate Operational Supervision. Sometimes, individual members of a protective force are not adequately supervised while on duty. Inadequate supervision may result from inattentive, overworked, improperly trained, or inadequate numbers of supervisors, or by inadequate policies defining supervisory responsibilities. Whatever the cause, the results can degrade the performance of the protective force. Lack of adequate supervision may result in failure to properly carry out duties and enforce policies; inappropriate conduct on duty; inadequately informed or instructed personnel on duty; and the impression by protective personnel that management does not care what they do on duty. Indications that supervision may be inadequate include: supervisors' spending most of their time at their desks, at headquarters, or doing administrative chores; poor housekeeping and equipment maintenance on posts; sloppy appearance or poor attitude by SPOs on post; protective personnel who are uninformed regarding current policies, procedures, or events (daily guard mount pass-on information); and comments from SPOs that they never see their supervisors during their shift.

Inadequate Tactical Supervision. Supervisors are sometimes so completely occupied with their routine operational responsibilities that they neglect to develop or maintain the tactical supervisory skills required in emergency situations. Such skills include those involved with the command, control, and tactical employment of the protective force or a protective force element. Lack of such skills can result in failure to establish control over and direct an appropriate protective force response to an emergency situation; such a failure can result in an ineffective response and can greatly diminish the protective force's chances of accomplishing its mission. Indications of this condition include demonstration of poor leadership during performance tests; absence of appropriate tactical supervisory training in the training program; and supervisors' failure to "play" (their leadership roles) during internal training exercises or performance tests.

Failure of Field Element to Approve Plans/Orders. Often, the DOE field element manager or designee either does not approve protective force plans and orders or changes to such plans and orders. In some cases, no one outside the protective force approves plans and orders. This practice makes it difficult for the responsible DOE managers to ensure that protective force practices adequately implement the required policies. In some cases, the DOE field element may indicate that it provides review and tacit approval of plans and orders during periodic security surveys. However, orders and changes thereto could be in effect for a year or longer before being subjected to a security survey.

Failure to Review Plans and Orders. Some protective force managers do not ensure that plans and orders are thoroughly reviewed and updated by supervisory personnel and/or subject matter experts on the required occasions. This lack of oversight is often a contributing factor to the other deficiencies indicated above. A record of each review is required, so determining whether reviews are being made is simple. The adequacy of the reviews may be indicated by the number of other deficiencies contained in the plans/orders.

Inadequate Memoranda of Understanding. Some protective forces rely on assistance from other Federal agencies or LLEAs during unusual or emergency conditions. However, MOUs often do not exist or do not include sufficient detail to describe the support to be provided, the conditions under which it will be provided, command relationships, each party's responsibilities, contact information, and similar important information. This condition can result from the Federal, State, military, or LLEA's reluctance to commit themselves in writing to commitments they freely made orally, or the field element's failure to identify all essential details and coordinate their inclusion in the agreement.

Deficient Personnel Policies. Protective force management may not have clearly established, fully explained, and equitable personnel policies governing such issues as job and shift assignments, promotions, and overtime. It is important to protective force morale that personnel policies be equitable, generally understood by all protective force personnel, and strongly enforced by management. Deficiencies in personnel policies are of special concern and require close examination by inspectors, because low morale and real or perceived inequities can adversely affect individual performance. Lack of written policies in this area is usually self-evident. Inappropriate application of policies may be indicated by low morale or lack of enthusiasm among protective personnel, or complaints voiced during SPO interviews.

Inadequate Records. Occasionally, protective force management fails to provide for the effective maintenance of training and certification records for the general training program, the physical fitness program, or the various required specialized programs, such as central alarm station (CAS) operators, SRT members, or armorers. Lack of required records and certifications makes it difficult to track status and training needs, and makes it impossible to ensure that personnel are actually certified to perform their assigned tasks.

Lack of Management Coordination. At some facilities, there has been a lack of effective coordination between the protective force and the DOE field element and/or operating contractor. A facility with an independent protective force contractor or subcontractor is particularly susceptible to this condition. Each of these organizations has significant security-related responsibilities, and each must be fully involved in establishing a coherent security plan for the facility. If the protective force is left out of the basic analysis and decision-making effort that determines the site's security strategy, there is a reasonable possibility that the resulting strategy will be flawed. Indicators that this situation exists include lack of protective force representation on vulnerability analysis (VA) teams and security strategy and policy boards, and in

daily decisions concerning implementation of security practices. If such conditions exist, inspectors should look for protective force security concerns that are not addressed by the facility security strategy.

Personnel Competence and Training

Inappropriate Personnel Resources. Insufficient personnel resources may be a problem at some sites, often because of contractual restrictions, substandard working conditions, inappropriate management policies, lack of appropriate security clearances, or training program deficiencies. The effects on the protective force's ability to accomplish routine and emergency missions are obvious. Indications of insufficient personnel resources may include low morale, absenteeism at required posts, or excessive overtime. Often, the lack of personnel resources pertains to a particular type of SPO or required skill; for example, the number of trainers or qualified trainers is often inadequate. On the other hand, some organizations are manned in excess of their needs. This situation is most likely when there has been a recent change in site mission, a reduction in the threat, or the installation of improved physical security systems without a commensurate reduction in protective force personnel. Similarly, posts may be eliminated without eliminating supervisory positions, resulting in excessive layers of management and possible confusion as to roles and responsibilities. While such conditions do not necessarily represent a security concern, they may indicate that management is not using resources efficiently. This situation may prompt the inspectors to coordinate with the protection program management inspectors for a more detailed review of resource usage. (Also see Section 3, "Training," for other relevant potential deficiencies/concerns.)

Comprehensive Requirements

Inadequate Post/Patrol Orders. A commonly observed deficiency is the failure to adequately maintain and update post/patrol and general orders. This problem involves several specific deficiencies, including: orders not changed/updated to reflect current practices; compensatory protective force measures (for physical security system deficiencies, for example) not documented in orders; voluminous changes/modifications to an order, rather than a rewritten order; and changes that are not properly approved. Also, orders or portions of orders may be missing from the posts/patrols to which they apply. Failure to keep orders current makes it difficult for protective personnel to thoroughly understand their duties and responsibilities. In such an environment, they must rely on memory and word-of-mouth instructions, and if they do refer to and follow an outdated order, they may receive improper guidance. As a result, protective personnel may fail to properly carry out necessary duties or procedures, or may carry out duties or procedures that are no longer appropriate. Indications that this problem may exist include post orders not physically located on post; orders that are several years old; orders with many changes/modifications; orders that differ from observed practices; and orders that prescribe procedures different from those explained by SPOs and supervisors.

Incomplete or Inadequate Response Plans. Often, response or contingency plans do not provide adequate guidance for emergency response. Again, this may involve a number of specific deficiencies, such as plans that do not reflect actual response practices; plans that are obsolete; plans that provide insufficient detail to provide for a rapid, coordinated, effective response; plans that do not define rules of engagement or what would constitute hostile intent; plans that do not address the use of available offsite support; and plans that do not address essential elements of an emergency response, such as command, control, and communications methods and procedures. One consequence of an inadequate response plan is that it is much more difficult for the protective force to make a rapid, coordinated, appropriate, and successful response to an emergency condition. Review of the plans may reveal insufficient details or failure to address an important area. Other

indicators include confusion or inadequate response during performance tests, or a response different from that called for in plans.

Failure to Test LLEA Support. The failure to adequately test the ability of LLEAs to actually provide promised support is common and has potentially serious consequences, particularly for facilities whose security plans rely heavily on such support. Most facilities rely on LLEA support to some extent, either for SRT, fresh pursuit, or other specialized emergency support, or for backup in serious situations. In order to truly count on receiving such support in a timely manner, the protective force must fully understand and test the capabilities of the supporting organizations and the abilities of both organizations to quickly and effectively integrate their resources to counter an emergency. Without detailed planning and periodic practice (testing), it is unlikely that effective support can be provided in a timely manner. Indicators that previously relied-upon support may exist only on paper include the lack of periodic, realistic exercises involving the facility and specific LLEA support promised; lack of specific planning and execution details in MOUs or supporting documents; and lack of detailed knowledge among protective force supervisors regarding the specific capabilities of supporting LLEA organizations or how those organizations would be summoned, would respond, and would be integrated into the protective force response.

Feedback and Improvement

Inadequate Self-Assessment Program. Not all protective forces have implemented a comprehensive self-assessment program involving a thorough internal review of capabilities using performance testing and other appropriate investigative tools. The lack of such a program can result in deficiencies going undetected and uncorrected for extended periods. If inspectors encounter significant deficiencies or numerous minor deficiencies not already known to protective force managers, it is a clear indication that an effective self-assessment program is not in place.

Inadequate Corrective Action Plans. Inadequate corrective action plans also can result in deficiencies remaining uncorrected. However, once deficiencies have been identified (by whatever source), organizations frequently fail to accomplish one or more of the following actions: 1) prioritize deficiencies so resources can be used to correct the most serious first; 2) establish a corrective action schedule with milestones and an integral, accurate tracking system so progress can be monitored and slippages can be identified early; 3) assign responsibility for completion to specific organizations or individuals; 4) continually update the plan as known deficiencies are corrected and new ones are identified; and 5) assure that adequate resources are applied to correct deficiencies. This process helps eliminate the frequent mistake of devoting resources to “putting out fires” (i.e., correcting the most recently identified deficiency instead of the most serious).

No Root Cause Analysis of Deficiencies. Another common and related problem that can result in recurring deficiencies is the failure of management to determine and correct the underlying causes of identified deficiencies and correct the surface problem or symptom instead. Unless the root causes of identified deficiencies are corrected, it is likely that similar deficiencies will recur.

Planning Activities

During the planning meeting, inspectors interview POCs and review documents. Specifically, inspectors must:

- Review the protective force mission.
- Review target folders.
- Review appropriate documents (SSSP and associated computer modeling results) to determine the site's protection strategy.
- Review results of the Independent Oversight pre-planning efforts and the facility characterization review, and coordinate with other topic teams to determine whether the site threat, VAs, and response plans bring any aspect of security into question. The questions raised here typically determine the scope and thrust of protective force performance tests.
- Review facility self-appraisals, site corrective programs showing action taken on previous inspection findings, and SSSP exceptions.
- Review post orders and plans for currency, accuracy, and completeness; determine whether the required personnel plans have been established and what the requirements are; and review response plans and contingency plans, classified and unclassified, for security emergencies, environmental emergencies, natural disasters, civil emergencies, labor strikes by protective force personnel, and call-outs of off-duty protective personnel. Questions raised during this process should be resolved during site interviews and, in some cases, through performance testing.
- Determine what physical security and facility upgrades have recently been completed or are in progress, and how they affect training, security force manning, and allocation of resources.
- Characterize the site safeguards and security organizational structure; determine whether officer to supervisor ratios are adequate; develop a list of questions and determine which supervisors and managers will be interviewed. Assign inspection responsibilities to members of the protective force topic team. For example, on a team of four, one team member may be assigned responsibility for the Management subtopic, another to Training, and the two remaining members to Facilities & Equipment and Duties.
- Plan to observe guard mounts and post inspections conducted by supervisors.
- Review MOUs or agreements with Federal, state, and local law enforcement and military organizations dealing with assistance to be provided to the protective force.
- Develop a tentative schedule for data collection activities, including the schedule for range activities, limited scope performance tests (LSPTs), and other performance testing activities.

Data Collection Activities

Document reviews and interviews with management and supervisory personnel (including interviews with DOE field element personnel responsible for the administration of protective force and other security activities) are key methods of data collection for this subtopic. Many of the requirements in this area deal with establishing, publishing, and enforcing policies and procedures, and maintaining required records. Usually, document reviews and interviews are adequate for establishing compliance. Interviews provide a

means of rounding out the picture of management activity and, in particular, of identifying those aspects of management performance that ordinarily escape documentation.

Observations and performance tests also provide data useful in evaluating this subtopic. For example, observation can indicate whether required supervisory contact is being provided to SPOs. Results of performance tests can indicate whether resources are properly allocated to protect security interests.

The ultimate measure of management performance, however, is overall protective force effectiveness. Thus, data collected in the other subtopic areas, particularly Duties, may be an extremely valuable source of data concerning management. Widespread or systemic problems are usually an indicator of management deficiencies and should be followed up accordingly.

Line Management Responsibility (Including Supervision and Allocation of Personnel Resources)

A. Inspectors should determine whether adequate numbers of supervisors are assigned to all shifts. The first step is to determine the supervisory positions through review of job descriptions and interviews with the protective force manager/personnel manager. Procedures or post orders pertaining to supervisory positions can be reviewed to determine whether all members of each shift fall under a supervisor's responsibility. Current and several recent duty rosters should then be examined to determine whether adequate supervisory personnel are assigned to each shift.

B. Inspectors should determine whether supervisors actually provide the level of supervision required by local and DOE orders and policies.

- Attend guard mounts or pre-shift briefings for all shifts to determine whether supervisors conduct fitness-for-duty inspections and pass along necessary information and instructions. If certain personnel (e.g., CAS operators, SRT, dog handlers, training instructors, construction escorts) do not attend guard mounts, determine whether and when these personnel are contacted by supervisors.
- Observe supervisors from each shift for a portion of their shifts to determine how much direct contact they have with personnel, as opposed to time spent at their desks on administrative tasks. Not all supervisors need be observed, but practices on all shifts should be observed if possible.
- Review supervisors' and post logs to determine whether supervisory visits are recorded. Supervisors' logs can be reviewed while observing or interviewing supervisors. Post patrol logs can be reviewed during post visits conducted in conjunction with inspection of the Duties subtopic.
- Interview supervisors and SPOs. A sampling of supervisors will normally be interviewed during an inspection to elicit information on a number of topics. Some questions regarding their supervisory responsibilities and how they carry them out should be included in these interviews. A sample of SPOs should be interviewed to determine whether they receive supervisory visits on post/patrol and whether they believe they receive adequate supervision. These questions can be asked during interviews conducted at post visits, which are a normal inspection activity.

C. Inspectors should determine whether the number of protective force personnel is adequate to effectively accomplish mission requirements. Conversely, inspectors should examine the mission requirements to determine whether the protective force is over-manned.

- The adequacy of manning levels at routine posts can be determined during the course of observations, interviews, and performance tests conducted to evaluate skills and procedures. Inspectors should ensure that they address this issue for all shifts and take into account special requirements pertaining to such events as general plant shift change and construction projects inside security areas.
- Manning adequacy for emergency duties can be evaluated during no-notice response tests and other emergency-mission-related performance tests. Properly designed performance tests can reveal whether sufficient resources are available for an adequate response to selected targets.
- Adequacy of manning levels in other areas should be examined in conjunction with other inspection activities. For example, sufficiency of training developers/instructors should be examined in conjunction with the training program.

D. If the protective force includes security officers (SOs), inspectors should determine whether the SOs are properly employed. Orders pertaining to guard posts and duties should be examined, and SOs should be observed and interviewed to determine the actual scope of their duties. Results should be compared to policy limitations regarding the use of SOs.

E. Inspectors should determine whether the protective force, as a significant element in the facility's protection system, has an appropriate amount of input into facility protection strategy and policy decisions and directions.

- Interview protective force managers and DOE field element and facility safeguards and security managers to determine the protective force's level of participation in developing sitewide security policy and strategy.
- Review membership on and minutes of facility security policy boards or steering groups, VA teams, or special task forces for evidence of protective force participation or input.

F. Inspectors should determine whether protective force managers have an open and frequently-used line of communication with appropriate DOE field element and facility safeguards and security managers and staff. This can be determined during interviews of such managers and by a review of correspondence between the parties.

Personnel Competence and Training

G. Inspectors should examine personnel administration policies and procedures to determine the presence of required elements, including pre-employment screening, job descriptions, position classifications, promotion policy, appropriate security clearances for SPOs, work scheduling policy, and overtime policy. Document reviews (of various policies, job descriptions, etc.) can provide much of this information. Interviews with managers can provide additional details regarding personnel policies and their implementation. Inspectors should ask SPOs pertinent questions during interviews to determine whether the policies or procedures have actually been implemented as stated, and whether they have produced the desired results at the working level. Cumulatively, these activities also measure the effectiveness of protective force management in implementing formalized processes for developing and replenishing essential personnel. (Also see Section 3, "Training," for other relevant data collection activities.)

Comprehensive Requirements (Including Plans, Orders, and Records)

H. Inspectors should determine whether directives, plans, and general and special orders meet DOE requirements for currency, clarity, and applicability to site-specific standards.

- Review the directives management system. If a written policy exists, examine it to see whether it contains procedures for development, review, approval, distribution, and updating of plans and orders. If no written procedures exist, interview the responsible protective force manager to obtain this information. If no formal procedure exists, the adequacy of plans and orders should be given particularly close scrutiny during the inspection.
- Review response/contingency plans and general, special, and post/patrol orders. Review plans and orders to see whether they are comprehensive, detailed, understandable, and approved by the DOE field element or other appropriate manager, and whether they properly implement local and DOE policies. Generally, all response plans should be reviewed. These will cover protective force response to such events as natural disasters, labor disputes, demonstrations, hostile attacks on security interests, and employment of offsite resources. All general orders should be reviewed. If there are a large number of special and post/patrol orders, only a sample need be closely examined. The sample should include a cross-section of types of posts, such as CAS operators, SRT, fixed posts, construction escorts, and foot and vehicle patrols. Post orders can be reviewed during post visits, as each post/patrol should have all pertinent directives readily available.
- Interview SPOs to determine whether plans and orders are understandable, are readily available, contain sufficient guidance regarding their duties and responsibilities, and accurately reflect the way the protective force operates. These questions can be covered during SPO interviews conducted during post visits or other inspection activities.

I. Inspectors should review MOUs with Federal, State, and military agencies and LLEAs to determine whether they are current, specific, and adequately detailed with regard to level of support, responsibilities, and implementation procedures. While it is usually a DOE field element responsibility to execute MOUs, the protective force should have copies on hand for planning purposes. Protective force managers and supervisors should be interviewed to determine their understanding of the support that the MOUs should provide and when and how the support is to be provided and integrated with the protective force. At times, it may be beneficial to interview managers from supporting agencies (Federal Bureau of Investigation [FBI], LLEA) to determine their interpretations of support levels, responsibilities, and procedures. Understanding these interpretations is especially necessary if the protective force relies heavily on outside support, (e.g., to provide the facility's SRT and/or recapture/fresh pursuit capabilities).

J. Inspectors should check to determine whether the following required records are accurately maintained: event logs; medical, physical fitness, and firearms qualifications; firearms cards; and SPO, SRT, etc., certification records. Normally only a representative sample of these records needs to be examined. Several of these records are routinely checked, or may be checked, as part of other subtopic inspection activities. For example, training inspectors normally check certification/qualification records in conjunction with examination of training records.

K. Inspectors should determine whether the strategies employed by the protective force (through policies, procedures, budget, personnel allocations, training, weapons, and equipment) appropriately complement the facility's protection strategy and contribute adequately to the protection of the facility's security interests.

- Determine the applicable security interests, threats, and vulnerabilities, and the protection strategy adopted by the facility. This determination can be made while reviewing SSSPs, associated VAs, and other related documents. Additional details can be provided through interviews with DOE field element and facility safeguards and security managers (which may be conducted by the protection program management team).
- Compare the protective force's protection strategy and implementation procedures to determine whether they appropriately address the threat(s) and support the overall facility protection strategy. During the normal course of inspection activities, inspectors interview protective force managers and supervisors, and review protective force policies and procedures. While doing so, they should be sure to collect the information required to make this comparison.

Feedback and Improvement

L. Inspectors should determine whether the protective force's self-assessment and corrective action programs are adequately implemented.

- Review self-assessment procedures and reports of past self-assessments to determine whether they are comprehensive; whether they involve performance testing where applicable; and whether analyses are conducted to determine the underlying causes of identified deficiencies.
- Review corrective action plans developed to correct deficiencies identified through self-assessments or other evaluations. A good self-assessment plan includes prioritization of deficiencies; a roadmap to correct each deficiency, with measurable milestones; a tracking system to monitor progress; assignment of responsibility for each corrective action; allocation of necessary resources; and a procedure to validate whether the problem has been corrected.
- Interview appropriate managers, supervisors, and staff personnel to obtain more details concerning the application of self-assessment and corrective action procedures.
- Examine applicable procedures, tracking databases, and records to ensure that feedback mechanisms are effective.

Section 3: Training

General Information

The protective force training standard identifies the objective of protective force training as the effective and efficient development and maintenance of the capability to perform the tasks required to fulfill the protective force mission. Most effective training programs for protective forces are:

- Mission oriented
- Based on a valid and complete set of job tasks
- Directed by appropriate training objectives
- Aimed at achieving the level of competency required to perform each job task
- Designed so that training activities make optimum use of available resources
- Implemented so that competency is attained by all qualified trainees
- Accomplished on a timely basis
- Carried out in tactical training areas, including facilities, buildings, firing ranges and other venues that facilitate realistic training.

It is important that the training program design is based upon a complete set of job tasks; identified tasks should be essential and authentic and should directly contribute to the fulfillment of the protective force mission. To be functional, the tasks must be clearly identified and documented and must include measurable performance criteria.

Training objectives are best defined when written to be consistent with the job tasks; gaps between desired competencies and existing competencies should be identified and described in the training needs analysis. Further, when information about trainees (e.g., experience, education, physical fitness, performance feedback) is systematically applied to training development and implementation, the training program can best meet individual needs and job requirements.

To achieve its organizational training goals, management needs sufficient resources and authority. Usually, management operates from written plans that specifically implement the training plan. It is important that the plans include all provisions designed to meet DOE compliance requirements. Successful training programs are based on management providing a sufficient number of qualified training staff and being involved in the development of the training plan. In addition, management must provide effective oversight to the training staff and must provide the training staff with the necessary authority and responsibility for implementing the training plan.

The specialized nature of the Training subtopic and the range of activities included in the process of gathering data usually require at least one member of the inspection team to work full-time on this subtopic during the data collection phase. It is important that this requirement be considered in both the team selection and planning phases. If the scope of the Training subtopic inspection must be limited for any reason, the most important elements to evaluate are the annual needs assessment process, training effectiveness, program delivery structure, instructor qualifications, and individual training records.

Common Deficiencies/Potential Concerns

Lack of a Comprehensive Training Plan

While most protective forces have a document called a training plan (or annual training plan, etc.), in many cases this document is not comprehensive. That is, it does not fully address the training needs and objectives of the protective force or outline the strategy, methods, and resources to be used to meet those needs and objectives. Often, the individual elements of a training program are not combined to ensure that they each contribute to a coherent program. The absence of a comprehensive plan that is anchored in requirements and performance standards increases the chance of wasting scarce training resources and not meeting important training needs.

Inadequate Job Tasks or Job Task Analyses

Frequently, inspectors find that the site-specific job tasks are not complete, that they are not all essential to fulfilling the protective force mission (i.e., non-critical or otherwise superfluous tasks are included), or that not all critical tasks are listed. It is essential that task statements represent real-life tasks, including specific actions performed by individuals or groups with definite beginning and ending points. It is also important that identified tasks be observable events, with measurable performance, and with specific success criteria. Additionally, job task analyses (JTAs) may not have been completed for all identified jobs, or if completed, may lack essential components such as performance standards. If the JTA is not thorough and does not include all tasks associated with protective force duties, it is likely that the training provided to protective force personnel will not comprehensively prepare them for all mission requirements.

There is a general lack of understanding among managers of how the JTAs and critical tasks that guide training are related to vulnerabilities or protection strategies. The job tasks or JTAs and training needs assessments often are not part of the manager's "tool kit," and there is a lack of awareness on the part of managers of the potential value of these documents in fulfilling the management role.

Lesson Plans Inconsistent with Tasks or Needs

Often, lesson plans do not incorporate current or valid objectives and expertise and do not establish complete linkage with job task descriptions. It is best if lesson plans are written to be consistent with the job tasks and with the prioritized gaps between desired and existing competencies identified and described in the training needs analysis. Since lesson plans determine the details of the actual training provided, weaknesses in lesson plans usually translate into deficiencies in the training actually delivered. Protective force training departments often use lesson plans supplied by other agencies, particularly the National Training Center (NTC). The use of these lesson plans is acceptable as long as the contents are consistent with the training needs identified on site; if they are not, inspectors should identify whether they have been modified to meet site-specific needs. Often, instructors use the lesson plans just as they are received from the NTC without site-specific modifications, and this can result in inappropriate or incomplete subject matter coverage.

Training Not Properly Designed or Focused

A common problem encountered in protective force training is that it is "classroom oriented" in the traditional sense, requiring trainees to achieve "passing grades" and attend mandatory training sessions on all topics. In these programs, the trainees are compared to each other, rather than to their specific job requirements. Training is accomplished by repetitively targeting the whole population, rather than targeting specific members and subgroups of the population based on individual or subgroup needs. Usually, these

programs are not designed to promote continuous improvement, and momentum is lost when the arbitrary standard or grade is achieved. The standard or grade most often has no defensible rationale; that is, how good is good enough? Or, how good is 75 percent? For example, the passing grade for critical tasks, such as “arrest procedures,” is typically set at 70 to 75 percent. Momentum is usually lost when the trainee achieves 70 to 75 percent, rather than persisting until the trainee achieves 100 percent. A more constructive approach would be to set the standard at 100 percent for selected tasks, then design the training program to instruct and motivate trainees to continue to improve until they achieve 100 percent. This approach is especially important for the critical or essential tasks determined by the JTA and/or site priorities.

Lack of Qualified Training Instructors/Developers

Many protective forces still rely on uncertified instructors to develop and deliver training. Often, protective force operations supervisors are responsible for providing on-the-job or in-service training; however, they are not usually professional or certified trainers. Although untrained or uncertified instructors may be very good SPOs, their training skills may vary considerably, resulting in inconsistent training provided to the protective force. Instructor certification is easy to verify; instructor performance is more difficult to determine. Lack of adequate performance throughout the force in specific skills or significant differences in skill levels between shifts (or other subgroups) may be indicators of inconsistent quality of instruction.

Lack of Interface Between Operations and Training

Often there is insufficient communication and feedback between the operations and training elements within a protective force. It is essential that operations supervisors inform trainers of operational training needs and give trainers feedback regarding performance problems and concerns. It is also essential for trainers to ensure that any training, including exercises, provided or conducted by operations personnel meet the appropriate training needs, objectives, and standards. Without this essential interface and feedback, the effectiveness of the training program will suffer. Organizational, physical, or attitudinal isolation of the operations and training elements are obvious indications that this situation may exist. The training program inspectors should be alert to subtle manifestations of this condition; for example, a lack of training personnel involved in training-related management activities, such as performance testing, force-on-force and other exercises, and self-assessments.

Insufficient Training Resources

Some training programs lack the resources to meet all necessary training objectives. Shortfalls may be identified in certified training developers/instructors; classroom, range, and field training facilities; funds; or availability of protective personnel for training session attendance. A significant deficiency in any of these areas can seriously degrade a training program and affect the protective force's mission performance.

Lack of Adequate Supervisor Training

Some protective forces do not provide mission-oriented supervisor training. While some use the NTC leadership training package, it is not sufficient in scope or site-specificity to fully train supervisors. Neither does general (not specific to the protective force) management or supervisory training fully meet the mission-related needs of protective force supervisors. The lack of comprehensive supervisor training can have adverse effects on training, morale, and the force-wide performance of routine and emergency duties.

Lack of Performance Testing

Written or oral knowledge tests are often used to measure competency in tasks that are better evaluated by performance testing. This situation is akin to the previously mentioned use of classroom instruction when hands-on or performance training would be more appropriate. The best and only reliable way to determine whether an SPO has a particular skill is to have the SPO perform that skill. Programs that include knowledge, skills and abilities objectives, but use only knowledge testing without skill performance testing, risk producing below-standard skill levels among protective force personnel. Inspectors should emphasize the need for performance testing when skills are being learned.

Inadequate Tactical Skills Training

Unrealistic tactical skills training is a common problem. While some elements of tactical skills/ knowledge can be taught in the classroom, the proper application of most tactical skills can only be learned by repetitive practice in an appropriately realistic setting. This type of training is often minimized because it requires more time, planning, instructor skill, and logistical support than classroom training. However, lack of adequate, realistic tactical training is likely to result in a protective force that cannot adequately perform in an emergency situation requiring the application of tactical skills. Inspectors should emphasize performance testing of tactical skills during all inspections.

Response Plans and Training Not Complementary

Emergency response training frequently does not reflect the guidance provided in response/contingency plans. Protective forces normally publish response/contingency plans to govern responses to various types of emergencies. However, sometimes the response procedures training conducted by the protective force does not support, or even follow, the guidance or procedures dictated by the plans. As a result, there could be at least two different ways to respond to an emergency—that prescribed by the plan, and that practiced in training—possibly leading to mission-endangering confusion during an actual emergency. Inspectors should determine whether training activities are compatible with published and approved plans.

Unqualified Physical Fitness Trainers

While all protective forces are required to have a physical fitness program, some forces do not provide a qualified individual to administer or monitor their program. As a result, physical training may not be realistic or sufficient for helping individual SPOs achieve and maintain required physical standards.

Inadequate Individual Training Records

In some programs, individual training records do not support the training program as well as they should. This general weakness includes a number of specific problems. In some cases, records of competency tests indicate only “pass” or “fail,” and do not indicate areas of weakness that require additional training. Many training records are kept in databases, and the printouts of those records, used by trainers and managers, are often not kept current. Insufficient, incomplete, or outdated information in training records adds to the difficulty of properly managing a training program and can result in unnecessary duplication of training or failure to provide specific training needs.

Planning Activities

During inspection planning activities, inspectors interview POCs and review available documents. Elements to cover include:

- Statement of training objectives
- Annual training plan
- Curricula for basic and refresher training
- JTAs – attention should be given to the methodology used to develop JTAs; in particular, do operational supervisors participate in the development of job tasks to ensure that all critical skills are captured?
- On-the-job training (OJT) procedures – attention should be given to the qualifications of those delivering OJT, i.e., have they completed basic instructor training? Does anyone evaluate their OJT performance?
- Written tests currently in use (with answers)
- A number of representative lesson plans
- A list of protective force instructors and their qualifications, with an indication of whether they are NTC-certified
- A list of protective force firearms instructors and their qualifications/certifications
- State and local training requirements for armed and unarmed SPOs/SOs that apply to the protective force
- Recent training schedules and annotated class rosters or attendance sheets
- The training records system used for the protective force
- Achievement or performance standards and their rationale, especially for critical tasks
- Student feedback and critique forms to determine trainee receptiveness to subjects taught and instructor competency.

Inspectors should also:

- Interview site personnel to identify characteristics of the program and corroborate documentation.
- Identify training activities scheduled during the inspection and arrange to observe some or all of these activities.
- Coordinate all training inspection activities with other protective force subtopic areas to ensure that all aspects of the inspection are observed.

Performance Tests

Results of performance tests conducted to evaluate the Duties subtopic are valuable in determining the effectiveness of the protective force training program.

Data Collection Activities

Basic information about the training program is usually collected by reviewing training documents and conducting interviews with training managers and trainers. Such activities indicate whether the required elements of the training program exist and, to some extent, how active the program is.

Training staff interviews can identify how the training program operates, the responsibilities for training development and delivery, program strengths and weaknesses, and ways in which weaknesses are being remedied. SPOs are interviewed to determine whether protective force training responds to their perceived needs and to ascertain the effectiveness of training. Optimum results are most often obtained when training management interviews focus on program organization and structure, training resources, and management involvement in the training needs analysis process. Where OJT responsibilities are assigned to supervisors, subject matter experts, or experienced protective force members, it is important that these personnel also be interviewed.

When possible, inspectors should observe training activities. Observation of training in progress provides information about the effectiveness and appropriateness of the instructors and instructional methods. Observation of SPOs performing their duties provides an indication of the effectiveness of training. Written knowledge tests developed by the site can be used to test training effectiveness and retention levels of the information contained in the SPO lesson plans. Overall results of performance tests, whether administered specifically as part of the training inspection or as part of the inspection of other subtopic areas (typically Duties), provide one of the most important indicators of the effectiveness of skill training.

Training Program Development and Structure

- A.** Inspectors should review the JTAs for protective force members. Things to look for include:
- Have all jobs been the subject of a JTA? A comprehensive training program requires that JTAs be completed for all positions, not just for basic SPOs. Look for JTAs for SRT, supervisors, CAS operators, dog handlers, armorers, etc. Look for a JTA for every position description.
 - Have the JTAs been thorough in identifying and prioritizing all tasks associated with a job? It is not practical to thoroughly study JTAs during an inspection. Inspectors should review the methodology used to conduct JTAs with the appropriate personnel and determine whether necessary areas are covered. For example, in addition to entry control and tactical tasks, are such tasks as vehicle operation, report writing, and running one mile identified?
 - Are the JTAs site-specific? Some generic JTAs have been developed (for example, for basic SPOs). Some organizations operating protective forces at several facilities have developed common JTAs. To be fully effective, these generic JTAs usually require some modification for site-specific conditions. Checking job descriptions or seeing whether facility-unique activities have been incorporated will quickly answer this question.

B. Inspectors should determine whether systems exist that identify annual refresher training and in-service training requirements. An effective training needs analysis process can identify these requirements. Inspectors should interview training personnel, review documentation pertinent to the methodology used to determine training needs, and review the most recent example of work done in this area.

C. Inspectors should review the training plan and discuss it with training managers to determine whether it provides a clear roadmap for accomplishing the organization's training. This information may be contained in one or more documents, such as a training plan, a training order, an annual training plan, or a standard operating procedure for training supported by one of the above. Whatever the form, essential ingredients of a good plan include:

- Identification of site-specific training needs and goals (at least for the period being addressed)
- Description of training resources and an explanation of how they will be used to meet the training needs and goals
- All basic training requirements, both general (SPO) and specialized (SRT, CAS operator, health physics, etc.)
- All required and necessary annual refresher training, both general and specialized (normally based on a training needs analysis or similar evaluation)
- All training exercise requirements for the protective force in general, SRT, and supporting FBI/LLEA
- Identification of resources committed to OJT. Determine how OJT is used, who provides the training, whether they have appropriate qualifications as OJT instructors, and how OJT is scheduled.

D. Inspectors should review training schedules and other associated documents used to implement the training plan to determine whether training is actually scheduled and conducted so as to meet the identified needs and goals. Training schedules are normally published on a monthly or weekly basis. Inspectors need not review an entire year's training schedules; randomly selecting a few monthly or several weekly schedules is usually adequate. Another option is to select one (or more) training item(s) from the annual training plan and track it through all training schedules to see whether they collectively serve to achieve the goal.

E. Inspectors should examine the lesson plans currently in use to determine their adequacy in supporting training goals. A review of six to ten lesson plans should be adequate unless inspectors discover that lesson plans are inconsistent in format, detail, and quality; in such a case, a more extensive look may be needed. If training is going to be observed during the inspection, it is a good idea to include lesson plans for the class(es) to be observed among those reviewed. Inspectors should look for consistency in format, appropriate level of detail, and site-specificity. If lesson plans produced by other organizations, such as the NTC, are used, inspectors should determine whether they have been modified, as appropriate, for site-specific needs.

Training Records

F. Inspectors should select and review a sample of class rosters and compare them with training schedules to determine whether scheduled training was actually conducted and the required personnel attended. A review of 10 or 12 rosters is usually adequate, although more may be reviewed if necessary. Another approach is to select a particular class (or several) and look at the entire year's rosters for that class to determine whether all scheduled classes were held and all required personnel attended.

G. Inspectors should review the individual training records of a random sample of protective force personnel. Sample size may vary; for example, it may be 10 percent or it may be based on a formal population-based sample size table. Records of specialists (SRT, CAS operator, etc.) as well as basic SPOs should be included in the sample. If one or more samples of personnel are selected for other purposes, such as performance tests or written tests, training records of the same personnel may be reviewed. In some cases, each individual may have more than one record; records of all training and certifications may not be consolidated. Records should be reviewed for:

- Accessibility – information on the records should be easily retrievable, readily available to those who need it, and in a useful format.
- Currency – cross-check records against recent class rosters to see whether training received has been recorded. Also check to see that credit was not given for training not attended.
- Completeness – check to see whether all required training, evaluation, and certification information is included in the records to provide trainers/managers with an accurate and complete picture of the individual's training performance history.

H. Certification records should be reviewed to ensure that personnel on the job have met all pertinent certification requirements. From a training standpoint, these would include physical fitness, firearms qualification, and competency certifications for basic SPOs and specialized duties for SRTs and CAS operators. These records may be consolidated with training records or kept separately. A sample of individual training records may be used, and it is usually most convenient to review all individual records at the same time. Certification records should be compared with training and testing records to validate that the individual has actually completed all certification requirements.

Instructor Qualifications

I. Inspectors should review the certifications of all training instructors. Documents should be reviewed to determine whether each instructor has been trained and certified through an approved program or process.

J. Inspectors should evaluate the proficiency of instructors. Depending on the number of instructors, inspectors may evaluate all or just a sample. If supervisors or other operations personnel not on the training staff are used as instructors, they should be included in the sample. Several techniques are useful in this evaluation, including:

- Instructors can be interviewed to ascertain the scope and depth of their knowledge relating to training development and instructional techniques.

- Inspectors can review instructor products, such as lesson plans, instructional aids, and exams or performance tests for completeness, appropriateness, site-specificity, etc.
- Inspectors can observe an instructor teaching a class or directing a training event. This is a very effective way to evaluate an instructor, because it involves performance of instructional skills under real conditions. It also affords an opportunity to observe and evaluate teaching methods, instructional techniques, establishment of rapport with students, use of student feedback, and testing methods. If no training is scheduled during the inspection, inspectors may want to have the protective force schedule a class or have an instructor prepare and deliver a class to the inspectors.

Training Aids, Equipment, and Facilities

K. Inspectors should examine the training aids and support equipment available to the training program to determine whether training objectives and instructional techniques are adequately supported. Availability and functioning of the equipment should be included. Typical items to examine include:

- Videotapes, players, and other audiovisual equipment
- Facilities for making viewgraphs, slides, etc.
- Security training and evaluation shooting system (stress) or other interactive shooting systems
- ESS/MILES equipment
- Various mockups and props called for in lesson plans
- Physical fitness exercise equipment.

L. Inspectors should examine the availability and adequacy of training facilities. When appropriate, attributes such as space, climate control, and lighting should be checked. Ideally, facility attributes and availability should support the training needs; training should not be artificially designed to fit inadequate training facilities. Facilities normally necessary to support an adequate training program include:

- Classrooms
- Live fire ranges (for day/night firing and qualifications with all weapons in use by the protective force)
- Tactical training areas, including facilities/ buildings for realistic training
- Physical fitness training facilities, including a running track or other safe running course.

Training Effectiveness

M. Inspectors should determine how well the training program prepares the protective force for mission accomplishment (that is, inspectors should determine how well trained the protective force is). This question can only be answered by the assimilation of information collected by various means throughout the inspection.

- Interviews of personnel at all levels of the protective force should include appropriate questions to provide indications of general job knowledge and an overall sense of how well personnel believe the training program serves their needs.
- Oral and written knowledge tests should provide evidence of how well the training program has imparted necessary general and specialized knowledge. Site-developed knowledge tests may be used, or new tests may be developed in conjunction with the protective force training department. Although the

tests may be administered by the training inspectors, they more likely will be administered as part of the inspection of the Duties subtopic.

- The most telling and useful information regarding training effectiveness comes from the performance test results. While training inspectors may conduct some performance tests, usually involving training staff members and training-specific tasks, most performance tests will be conducted during the inspection of the Duties subtopic. Training inspectors should observe as many such performance tests as practical; detailed results of all performance tests and their training implications should be discussed among Training inspectors and inspectors who evaluated the performance tests.

Management Support of Training Program

N. Throughout the inspection process, inspectors should be alert for indications of the level and adequacy of management support for the training program. Indicators include the availability of adequate resources of all kinds, including funding; training staff and their development; facilities and equipment; and training time for all protective force members. Most data collection activities described above can contribute some information reflecting the level of management support.

Section 4: Equipment and Facilities

General Information

The protective force equipment standard requires that equipment and facilities enable the protective force to:

- Effectively, efficiently, and safely perform routine duties.
- Prevent adversaries from accomplishing their objectives by bringing necessary force to bear.
- Move in a timely manner and in sufficient number under all expected weather conditions.
- Detect the presence of adversary forces under all lighting conditions.
- Operate from fixed facilities that effectively support the overall protective force mission and are constructed in accordance with DOE specifications.

The most efficient use of inspection time and resources is achieved when data on equipment and facilities is collected in combination with data collection in other subtopical areas. For example, an inspection of an individual SPO's personal equipment can be conducted as part of an interview with that SPO, or while observing the SPO performing routine duties, i.e., during post visits.

Maintenance of firearms and the effectiveness of communications equipment can be noted during post visits and performance tests. If time or resources are limited, inspection activities in this subtopic should concentrate on the equipment and facilities critical to the protection of the highest priority targets under routine and emergency conditions.

Observation is the primary method of determining whether the protective force has the required equipment, whether it is adequate and appropriate for their mission, and whether it is properly maintained. Examination of facilities and equipment will also provide significant data in this area.

Observation, however, must be supplemented with document reviews of inventory records, maintenance records, facility specification documentation, and work orders. Moreover, when equipment or facility-related problems are identified, these problems will demand more extensive investigation. For example, if random checks of auxiliary weapons at fixed posts indicate that proper maintenance is not being performed, a follow-up examination of armorer procedures and practices, and the inspection and test-firing of a broader sample of these weapons, may become necessary.

Typical elements under the Equipment and Facilities subtopic include:

- Weapons and explosives
- Vehicles
- Protective force communications equipment
- Individual special-purpose and duty equipment
- Facilities, including fixed posts, locker rooms, fitness facilities, etc.

To prevent adversaries (identified in the generic or site-specific threat guidance) from accomplishing their objectives, the protective force must be able to bring the necessary force to bear. Thus, they must have appropriate and sufficient individual and auxiliary weapons and ammunition readily available. Fixed posts and tactical fighting positions should be positioned at key locations (i.e., near likely avenues of approach

with optimal fields of observation) in a manner that provides mutually supporting/overlapping fields of fire with adjacent posts and patrols. Further, inspectors should evaluate the placement of delay barriers to determine whether they are positioned in a manner that optimally and effectively slows the adversary assault.

It is important that armories be well organized, properly maintained, conveniently located, and secure. Out-of-service weapons are required to be tagged and segregated from operational weapons. A qualified armorer must inspect all weapons semiannually, and inventories of weapons and ammunition must be conducted in accordance with DOE requirements.

It is essential that a sufficient number of vehicles be available to ensure that the required number of protective force personnel can respond according to plan. These vehicles must be maintained in good serviceable condition, readily accessible, and appropriately identified.

At some facilities, both normal telephone and two-way radio communications are required. To be effective, protective force communications equipment must be operable, permit timely transmission of routine and emergency information, and be readily available for use. Radios are most effective when they provide multichannel capability and, when required, are equipped with a voice privacy or digital encryption capability. It is essential that a sufficient number of radio channels be dedicated for use by security personnel and that an effective redundant/backup communications capability exists (e.g., text pagers, cellular telephones, voice pagers, public address systems).

Depending on mission requirements, protective force personnel are assigned certain items of individual special-purpose and duty equipment. It is important that all items of equipment be properly carried or otherwise stowed, easily accessible, and maintained in serviceable condition. These items often include a handgun and ammunition, holster, handcuffs, flashlight, portable radio with carrier, observation devices, protective masks, personal protective armor, chemical agents, or baton. Customarily, the uniform worn by protective personnel is designed and tailored to enhance efficient performance of duties and promote a public image of professionalism.

Protective force facilities range from regular buildings and offices to specially constructed features, including reinforced doors, walls, and windows that provide specified bullet penetration resistance characteristics and other protection features. It is essential that facilities permit protective force personnel to perform their duties efficiently, protect individual SPOs from weather and temperature variations, and provide for effective communication. When examining these areas, inspectors must also be mindful of basic security concerns, such as the placement of trash receptacles or equipment obstructing gun ports.

Common Deficiencies/Potential Concerns

Inappropriate Weapons/Ammunition

Sometimes the weapons (particularly auxiliary weapons) and/or ammunition available to SPOs are inappropriate for their mission requirements, threat, or environment. For example, high-powered rifles may be inappropriate for use inside certain types of buildings, and shotguns may be of little use to a vehicle patrol operating in open country on the fringes of a facility. As site missions and facility usage change, or new facilities are constructed, protective forces may fail to re-analyze their weapons and ammunition requirements. Inappropriate weapons or ammunition can result in two types of problems: insufficient firepower to counter the threat, and unacceptable levels of collateral damage (to people and facilities).

Inspectors should be aware of the rationale behind weapon selection and look for the presence of inappropriate weapons that may not support mission requirements.

Lack of Post-Maintenance Weapon Check Procedures

Sometimes there are no procedures or practices in place to determine whether weapons are operable after being repaired or after undergoing routine maintenance. Weapons, including those worked on by offsite contract armorers, may be issued to SPOs or placed on posts with no live-fire functional check. As a result, the reliability of these weapons is unknown and will remain unknown until they are used.

Inadequate Numbers and Types of Vehicles

Inspectors may find that protective force vehicles are not adequate to support mission requirements. This may be due to an insufficient number of vehicles, the wrong types of vehicles or the failure to distinctly mark vehicles. A protective force obviously needs enough vehicles to cover all vehicle patrols, response requirements, and supervisory and transportation needs. Vehicle type and equipage is also important. Some off-road or four-wheel-drive vehicles may be needed, depending on terrain, roads, and weather. Motor pool vehicles that lack radios, gun racks, and other special equipment may not fully support protective force needs. Inspectors should examine the rationale for the vehicle fleet mixture and determine whether the vehicles available are being used to best support mission requirements. (For example, is the supervisor driving the new four-wheel-drive on paved roads, while a patrol on dirt roads and open terrain is using an older sedan?)

Poor Vehicle Maintenance

Poor vehicle maintenance procedures and scheduling are sometimes observed and can contribute to the problem mentioned above by making vehicles unavailable for use. While maintenance problems may be directly related to the age of the fleet, other contributing factors include vehicle abuse, maintenance priority, and quality of maintenance. Examination of vehicle treatment by SPOs, maintenance policies and priorities, and replacement schedules may reveal a lack of adequate supervision or management support for the vehicle fleet.

Insufficient Radio Frequencies/Lack of Redundant Communications

Most protective forces rely heavily on radios for both routine and emergency communications. However, some protective forces do not have enough radio frequencies available to effectively segregate communications functions, or they do not possess a backup communications capability. If sufficient frequencies are not available for all necessary uses, such as routine operations, tactical operations, training, or SRT, the primary frequency becomes cluttered, and the probability that important information will be lost increases. Similarly, a backup communications capability is needed in the event that primary radio communications are malfunctioning, jammed, or otherwise disabled. Problems associated with inadequate communications are exacerbated during emergencies, when communications traffic normally increases. If the protective force does not have enough frequencies or redundant communications, inspectors should examine what is being done to manage the available frequencies and/or employ alternative communications methods.

Unreliable Radio Communications

The size and/or terrain of some facilities may result in “dead spots” where radio messages cannot be received and/or transmitted. Such “dead spots” can be either outside or inside buildings. Often this problem is intensified when radios are used in the encrypted mode, which may decrease range. The resulting inability of protective personnel to communicate with each other can have serious consequences during both routine and emergency operations. When this problem exists, inspectors should determine the extent and impact of the problem and identify protective force efforts to solve the problem (e.g., install repeaters, devise compensatory radio procedures, or use alternative means of communication).

Inadequate Encryption Procedures

As protective forces have moved to comply with the requirement to provide encrypted radios to their SRTs, several problems have been observed. Even with appropriate radios in hand, some protective forces have been slow to develop procedures to install the encryption codes. Others have not established clear procedures for switching to the secure mode when necessary, or for communicating between the SRT (in the secure mode) and the rest of the protective force (in the clear mode). Inspectors should determine whether the various complications inherent in the use of encrypted radios by all or part of the protective force have been identified, analyzed, and adequately managed.

Storage and Issue of Extra/Special Equipment

Remote or inaccessible storage locations and/or problems with issue procedures (or lack of procedures) for extra or special equipment, weapons, and ammunition at some facilities decrease the availability of such resources, thus diminishing the ability to support emergency mission requirements. During an unexpected emergency, it may be necessary to distribute special equipment, additional ammunition, etc. If the equipment is not stored in an accessible location 24 hours a day, or if there are no procedures detailing how the equipment will be issued, by whom, to whom, and under what conditions, it is unlikely that the equipment will be readily available when needed. An indicator of this problem is that SPOs may be unsure about how they would get additional ammunition or a particular item of equipment when needed.

Maintenance of Post/Patrol Equipment

Equipment assigned to a post or vehicle is often not properly cleaned, maintained, or given functional checks. While procedures may call for periodic functional checks of such things as duress alarms, radios, telephones, and intercoms, they often do not address responsibilities for other items of equipment assigned to the post or vehicle. These could include auxiliary weapons, binoculars, night vision devices, respirators, flashlights, and so forth. Any of these items, under emergency conditions, may be mission-essential, yet it is not uncommon to find such items dirty, broken, with missing parts, or with dead batteries. If procedures do not clearly spell out responsibilities for these items and SPOs on post are vague about who is responsible for them, inspectors should take a close look at the serviceability of these items.

Individual Duty Equipment

Frequently, inspectors find that SPOs do not have or do not carry all necessary equipment, such as handcuff keys, operable flashlights, ammunition, extra eyeglasses, or equipment carriers. Inspectors often find that SPOs do not carry protective masks, even when required by established procedures. During spot

inspections, protective masks are sometimes found to be unserviceable or without necessary corrective lens inserts.

Inadequate Training Facilities

Training facilities may be unavailable or inadequate to support training requirements. These deficiencies most often involve live-fire ranges, tactical training areas, and physical fitness training facilities, but may even include lack of adequate classroom space at some sites. The training requirements imposed by DOE and the performance levels expected of SPOs make adequate training facilities essential.

Poorly Maintained Posts

Poorly maintained posts can be a problem, particularly in older structures. Observed problems may include such things as cracked or broken bullet-resistant glass; inoperable or inadequate climate control equipment; broken doors/locks; burned out lights; and a crowded, cluttered, or trashy appearance. Such conditions can adversely affect job performance by lowering morale, making it difficult to move about and work in the post, or providing inadequate ballistic protection.

Inadequate Fixed Posts

Some interior fixed posts are established at locations not designed or properly modified for the purpose. Some posts, including material access area entry/exit control posts, are established in halls or intersections of hallways with little or no modification to accommodate the necessary post equipment, SPO protection, or traffic control requirements. As a result, the SPOs and their weapons/equipment are accessible and vulnerable to passers-by; traffic flow (entry/egress) is difficult to control, particularly during heavy traffic periods; and the orderly conduct of post business is difficult at best.

Planning Activities

Inspectors should interview POCs and review equipment lists and facility projects (ongoing and planned). It is helpful to determine where equipment is stored to ensure that major facilities and equipment are inspected during data collection. Other elements to review include:

- Firearms inspection procedures
- List of armorers who inspect, certify, maintain, or repair protective force weapons, and whether they are NTC-certified or hold other certification
- Topographical map of the site, including all site property, and site map with all buildings, roads, security fences, and other significant features; this would include the location and description of firing ranges, physical fitness areas, armories, equipment and weapon issue facilities, and maintenance sheds
- Inventories of significant protective force equipment, including:
 - Firearms, indicating type, manufacturer, serial number, and location
 - Vehicles (including air and water craft), indicating type and model
 - Protective masks, indicating type and location
 - Non-lethal weapons, indicating type

- Chemical agents and dispersal devices
- Radios, indicating manufacturer, model, number of channels, and duress feature and data encryption capability (if any)
- Duty ammunition, pyrotechnics, and explosives, indicating type and caliber
- Metal detectors and other contraband detection devices, indicating type and location.

Performance Tests

Performance testing and interviews with protective force personnel help determine whether facilities and equipment are functional and appropriate. Most performance tests conducted to evaluate the Duties subtopic require the use of equipment, and many require the use of facilities, offering an excellent opportunity to determine whether they are adequate and functional.

Inspectors may be able to check the operation of radios, phones, and duress systems during post checks and while conducting exercises. Weapons in the armory can be randomly selected to check for operability, cleanliness, and other requirements (for example, whether the armorer set the correct “battle sight” on auxiliary weapons).

Protective force members can be asked to demonstrate deployment of their light machineguns and other auxiliary weapons, and exercises can be conducted that require the issue and deployment of stored, specialized equipment.

Data Collection Activities

Most data collection activities for this subtopic are normally conducted concurrently with data collection activities for the Duties subtopic. Most equipment and facilities are located with or in the immediate vicinity of the protective force members who use them in performing routine and emergency duties. Therefore, most equipment and facilities can be inspected and tested while protective personnel knowledge and skills are being inspected. Only a few activities, such as reviewing records and examining the armory and other storage and maintenance locations, need be conducted separately.

Weapons and Explosives

A. Inspectors should determine whether the protective force has adequate numbers of the appropriate types of weapons and ammunition (and explosives, if appropriate) properly located to comply with local and DOE requirements and to support routine and emergency missions. This information can be collected in several ways:

- Review documents, such as weapons inventories and general, special, and post orders, to determine the types of weapons and ammunition available and where they are normally located.
- Observe the types, numbers, and locations of individually assigned and post/auxiliary weapons during all inspection activities, such as post visits and tours. Post/patrol visits provide an excellent opportunity to see what weapons are where.
- Performance tests, including no-notice response tests, conducted to evaluate performance and procedures provide an excellent opportunity to determine whether adequate numbers of the appropriate

types of weapons are available in a timely manner. The collection of this data should be considered during performance test planning.

B. Inspectors should determine whether weapons and ammunition are controlled and stored safely and securely in accordance with DOE and local requirements. Armory procedures should be reviewed and their implementation observed during all shifts. During post/patrol visits, weapon/ammunition carriage and storage should be noted. If auxiliary weapons and ammunition are stored for ready access in locations other than the armory or at posts, inspectors should examine those storage locations. If the protective force has long-term bulk storage of weapons, ammunition, or explosives, storage facilities and procedures should be checked for compliance with the DOE Explosives Safety Manual (DOE Manual 440.1-1A). It should be noted that long-term storage of excess weapons should be held to a minimum. Large numbers of excess weapons can affect efficient armory operations and burden inventory processes.

C. Inspectors should determine the operability of weapons available for protective force use.

- During all live-fire inspection activities (qualification courses, stress courses, etc.), inspectors should pay close attention to weapon functioning. During these activities, SPOs should be required to use their own individually assigned weapons, including rifles, submachineguns, and shotguns, if individually assigned.
- A random sample of weapons assigned to posts/patrols should be selected, removed from post (replaced), and test fired. For weapons with adjustable sights, testing for proper battle sight setting should be included. All types of weapons available to the protective force should be included in the sample. If plans call for issuance of additional weapons from the armory during a response, armory weapons can be included in the sample. The size of the sample will depend on the total number of weapons and the time and facilities available for testing.
- Maintenance procedures should be reviewed to determine whether required preventive maintenance is programmed. Check to see whether procedures include verification of proper functioning before a repaired or inspected weapon is placed back into service. Qualifications or certifications of armorers and gunsmiths should be verified.
- Maintenance records should be checked to determine whether required inspections and maintenance are being conducted. The number of records checked will depend on the number of weapons and the time available.
- Weapons at any location may be spot-checked for cleanliness and obvious (visible) maintenance problems.

D. Inspectors should determine whether the protective force is properly accounting for weapons, ammunition, and explosives. Inspectors should review not only accountability and inventory procedures but also records of periodic inventories to determine whether they are thorough and timely. A good check of accountability practices can be made by generating a random sample of weapons, then going to the locations where records indicate those specific weapons should be and verifying the weapons by serial number.

Vehicles

E. Inspectors should determine whether the quantity and types of protective force vehicles are adequate to support routine and emergency mission requirements. The adequacy of integral vehicle equipment (light bars, radios, weapons racks, and distinctive markings) should be included in this evaluation.

- Interview managers and review any pertinent documentation that explains the rationale for the makeup of the vehicle fleet.
- Observe, during routine operations and performance tests of emergency operations (or actual responses), whether the available vehicles are adequate to support the necessary tasks.
- Inspectors should determine whether adequate vehicle maintenance support is provided.
- Inspectors should observe the condition of every protective force vehicle they encounter during the course of the inspection. Cleanliness, care, and general condition can be observed by visual inspection.
- Inspectors should review protective force and motor pool maintenance schedules to determine whether routine, scheduled maintenance is appropriate. Maintenance records should be checked for a sample of vehicles to determine whether scheduled maintenance is performed. Inspectors should also check records for excessive unscheduled vehicle down time, which might indicate inadequate maintenance or careless operation.
- SPO interviews should include questions regarding their opinions about the suitability and reliability of the vehicle fleet. Interviews of protective force and vehicle maintenance (motor pool) managers can reveal maintenance priorities afforded protective force vehicles.

Communications Equipment

F. Inspectors should determine whether the protective force has sufficient numbers of the appropriate types of communications devices required by DOE and local policies. This can be accomplished through a combination of SPO interviews, observation of routine operations, and performance tests of emergency operations to determine whether the protective force has adequate communications equipment to perform its mission requirements.

G. Inspectors should determine the reliability of communications equipment, particularly of radios. This may be accomplished by reviewing maintenance records and observing the ability of the protective force to communicate during routine operations and performance tests simulating routine or emergency operations. Interviews with SPOs, including CAS operators, can provide added data about communications reliability.

H. Inspectors should determine whether maintenance and testing of communications equipment is adequate. Maintenance and testing, and to some degree suitability, of radios is normally inspected by the physical security systems topic team, and inspectors should coordinate with that team in this area. Procedures and practices for the operational testing of other communications devices, such as telephones, intercoms, and duress alarms, should be inspected by review of procedures, observation of tests, and review of test records.

Individual Special Purpose and Duty Equipment

I. Inspectors should determine whether the uniforms and equipment required by DOE and local policies are available, appropriate, functional, and reliable. Numerous items could be included in this category, including such things as uniforms, load-bearing equipment, sidearms, handcuffs, flashlights, body armor, hand-held metal detectors, protective masks, extra eyeglasses, and mask inserts as needed.

- Inspectors should review appropriate protective force policies, orders, and equipment lists to determine what equipment is required and where it should be located.
- Information regarding availability, suitability, reliability, and functioning can be obtained through SPO interviews, observations of routine operations, and performance testing. In addition to observing equipment during performance tests of SPOs, inspectors may also select items of equipment to be performance tested for proper operation. The particular items and the size of the sample to be tested will vary with the circumstances.

Facilities

J. Fixed posts should be inspected to determine whether they meet the minimum requirements for their use. Specific things to look for include:

- Adequate environmental controls and protection from the weather
- Adequate human engineering features
- Design and equipment suitable to facilitate the SPOs' performance of required duties.

Generally, all fixed posts should be examined. If there is not sufficient time, posts should be selected on the basis of their importance to the facility protection strategy.

K. Inspectors should determine whether the fixed posts that DOE policy requires to be hardened do in fact meet the appropriate construction and materials requirements. This should be determined in coordination with the physical security systems topic team, which normally inspects this area.

L. Inspectors must determine whether fixed posts and tactical fighting positions are positioned at key locations (i.e., near likely avenues of approach with optimal fields of observation) and in a manner that provides mutually supporting and/or overlapping fields of fire with adjacent posts and patrols.

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Section 5: Duties

General Information

All protective force members must be able to effectively and efficiently operate all equipment assigned to them for the performance of routine and emergency duties. Individual and team skills must enable the protective force to protect DOE security interests from theft, sabotage, and other hostile acts that may adversely affect national security, program continuity, or the health and safety of the public. The ability to effectively perform these functions is the most important measure of the ability of the protective force to fulfill its mission and is thus, customarily, the focal point of any protective force inspection.

Inspection priorities should be established to ensure that data are collected for critical areas. These would include the duties involving protection, under routine and emergency conditions, of the highest priority targets. Specific duties that would normally always be inspected include those associated with access controls, weapons handling, tactical response, use of deadly force, and the fundamental ability to identify key special nuclear material (SNM) assets.

Although document reviews, interviews, observation, and knowledge tests are all employed in collecting data on the performance of duties, one key data collection tool is performance testing. It is only by means of testing that reasonable conclusions can be drawn concerning the overall ability of the protective force to meet the Duties requirements.

Document reviews are important in preparing to inspect this subtopic, but they play a small role in actual data collection during the inspection visit. Some records and log books may need to be examined to determine whether SPOs routinely perform various required functions.

Observation provides accurate data regarding actual performance of some routine duties, and, in some cases, may provide similar data regarding some emergency duties. Knowledge tests and interviews provide data concerning knowledge of laws, policies, and procedures. This type of data is often useful to inspectors, particularly when inspection activities do not afford the opportunity to test the actual application of this knowledge by means of performance tests.

Data collection activities should strike a balance between examination of routine and emergency duties. The ability of the protective force to respond in a tactically effective manner to a major adversarial threat may be the ultimate test of its ability, but its ability to perform routine patrols or access control is of equal importance in providing ongoing protection to DOE security interests. The selection of performance tests to be administered during a given inspection must also take into consideration the time and manpower requirements for a particular test and its impact on the overall objectives of the inspection. A large-scale tactical performance test may absorb more resources, without necessarily yielding more relevant data, than a series of smaller-scale performance tests. If the inspection team decides that a large-scale tactical performance test should be conducted, adequate manpower resources should be made available to ensure that the conduct of routine duties is not adversely impacted. Also, allowance must be made for the greater level of planning and onsite coordination required to conduct such large-scale exercises successfully.

Specific elements of protective force duties typically examined include:

- General knowledge, skills, and abilities:
 - SNM recognition
 - Observation, assessment, and reporting
 - Weapons-related skills, with specific attention to enhanced weapons systems, such as light machineguns, grenade launchers, and other force multipliers
 - Use of force
 - Individual tactics
 - Use of individual special-purpose and duty equipment
 - Driving skills (routine and stress)
 - Communications skills
 - First aid and fire protection
 - Access and egress controls
 - Alarm station operation
 - Self-defense
 - Intermediate-force weapon/aerosol
 - Knowledge of laws, policies, regulations, and orders
- Canine handling
- Aviation
- Explosive/mechanical entry techniques
- Planning tactical assaults
- Sniper/observer teams.

Although competency levels vary throughout the complex, SPOs and SOs must have the general skills and knowledge required to effectively accomplish their duties at any particular site. Basic observation and reporting skills provide the foundation for the remaining, more demanding skills. The SO must be able to identify potential problems, details of events, or potential evidence and provide clear and accurate reports involving these occurrences.

At facilities requiring armed protective forces, the SPOs must effectively master targeting skills and the use of firearms. Proficiency with firearms requires a detailed knowledge of their mechanical operation, assembly, maintenance requirements, and deployment. SPOs must be able to qualify, under both day and night conditions, with all firearms they may be required to employ while on duty. In addition to the customary handgun and rifle, this may include individual qualification with automatic weapons, anti-tank weapons, grenade launchers, and shotguns. Also, SPOs may be required to be proficient in the use of the baton, explosives, or other specialized equipment.

SPOs must also be knowledgeable in the use of radios and other communications equipment. They also may have to be familiar with the use of special purpose equipment, such as aerosol irritant systems, night vision devices, protective masks, or self-contained breathing devices. In some cases, protective force personnel will be involved with aviation, canine handling, demolitions, and sniper/observer team techniques.

Access and egress control is usually one of the most important routine functions performed by protective force personnel. To effectively perform this function, SPOs must be able to operate all items of detection

equipment, perform effective searches, and apply knowledge of the policies and guidelines governing access and visitor control.

At most sites, the CAS operators are key players in the successful accomplishment of the protective force mission. These individuals must be able to effectively operate and monitor all phases of the alarm system, initiate immediate protective force response, and maintain accurate reports and records.

Critical to all protective force operations is the effectiveness of its supervision. Supervisors must be well trained, possess good leadership skills, and be thoroughly knowledgeable of all pertinent policies, orders, and regulations. Typically, the supervisors are key elements in ensuring that protective force personnel maintain high morale, sustain necessary skill levels, remain informed, operate as a team, and display a professional image.

Common Deficiencies/Potential Concerns

Ineffective Personnel Identification Skills

Perhaps the most commonly observed set of duty-related deficiencies involves access/egress control skills. One of the most common involves failure to positively identify personnel entering or exiting security areas. Unauthorized persons, or persons with improper badges, manage to gain entrance to security areas at an unacceptable rate during performance tests. This problem is most often observed at facilities that rely solely on the SPO visually examining a badge and comparing the picture and description on the badge with the person presenting the badge.

Searches Not Conducted Properly

The ability to conduct thorough entry and exit searches of vehicles, personnel, and hand-carried items is a recurring problem. Frequently, as the result of a superficial or careless search, SPOs do not find contraband items. Inadequate searching is also a common deficiency encountered during arrest procedures and suspect-handling performance tests. Further, during the search of suspects, SPOs often unsafely mask the line of fire of backup SPOs.

Inability to Use Post Equipment Properly

Another problem often observed is the inability of SPOs to properly operate all equipment available to them on various posts. While most items of post equipment are fairly simple, others are more complex, and they all require some level of skill to place them in operation and use them properly. Generally, more problems are observed with activating, checking, and employing such items as night vision devices, metal detectors, explosive detectors, and SNM detectors rather than with flashlights, protective masks, and communications devices.

Inadequate Understanding/Application of Deadly Force Policy

Problems with the application of deadly force policy are still encountered. Past training methods emphasized the ability to memorize the DOE deadly force policy and did not address the ability to apply it properly in realistic circumstances. While knowledge of the policy is necessary in order to apply it properly, knowledge does not assure proper application. Some sites have not developed site-specific rules of engagement or clearly defined examples of actions that would constitute hostile intent. As a result, SPOs

who can recite the policy often cannot properly apply the policy (that is, make correct deadly-force decisions) in scenarios representing real-world situations. Deficient skills in this area are extremely serious because SPOs are always armed with deadly force while on duty, and misapplication of deadly force can have fatal consequences for the SPO, a suspect, or innocent bystanders.

Lack of Knowledge of Mission-Essential Information

A very basic problem, still encountered, involves the inability of SPOs to identify what they are protecting. For example, they may not know what SNM, SNM containers, or key weapons components look like. Further, SPOs may not be intimately familiar with the storage locations or pathways to these key assets. Consequently, they may not take the necessary measures to protect something that requires protection, or they may use deadly force to protect something that does not warrant that level of protection.

Deficient Tactical Weapons Skills

When using individual and auxiliary weapons, SPOs frequently fail to demonstrate proficiency in tactical weapons skills, such as proper weapon employment, fire discipline/control, clearing malfunctions, use of sights, tactical reloading, and firing while wearing a protective mask. Enhanced weaponry, such as light machineguns, grenade launchers, and heavy-caliber sniper rifles, requires special training that is difficult to accommodate and is therefore frequently postponed.

Deficient Tactical Communications Skills

Other frequently observed problems involve communications skills in a tactical environment. Specific problems include an inability to deal effectively with jamming or other interference; inadequate reporting techniques and procedures; compromising friendly positions either through communicated information or loud volume settings on hand-held radios; and failure to use alternative forms of communication (other than the radio) when appropriate.

Inadequate Tactical Skills

A common area of deficiency involves the inability to properly employ sound tactical principles. This encompasses a broad range of skills, and deficiencies are not uncommon in any of the specific skill areas. Deficiencies are encountered in all positions, from basic SPOs to SRT members. Typical deficiencies include failure to employ proper or adequate techniques in tactical movement, use of cover or concealment, tactical driving, arrest and handcuffing procedures, and other personal survival measures.

Inability to Implement Protection Strategy

For all applicable DOE sites and facilities, the protection strategy and threat are described in the approved SSSP. It is of primary concern that the appropriate organizations be able to successfully implement the protection strategy, and that the strategy be sufficient to fully defend against the adversary threats and capabilities as identified in the current threat guidance. Performance tests should be used to ensure that the facility can effectively accomplish these objectives.

Insufficient Control of Construction Personnel

It is often necessary for uncleared contractor and construction personnel to enter secured areas. It is important that procedures be in place to maintain positive control of these individuals to preclude unauthorized access to classified matter. Occasionally, the protective force (or other responsible organization) fails to establish effective procedures for this purpose, or fails to maintain effective control over these individuals throughout their stay.

Planning Activities

Inspectors should interview POCs and review documents. Elements to cover include:

- General and special orders
- Protective force post orders and other written procedures regarding performance of duties on posts/patrols
- Response and contingency plans for security emergencies
- MOUs with law enforcement and military organizations
- Current rosters of all personnel, including managers, supervisors, staff members, and SPOs (indicating those authorized to carry firearms)
- Rosters of SRT personnel
- Protective force shift rosters showing all post assignments
- List of protective force personnel performing crucial, high-risk functions
- List of protective force personnel scheduled to be on vacation or known to be on medical restriction during the period of the onsite inspection
- Description of protective force hiring and selection procedures and criteria
- Roster of SPOs who are required to wear corrective lenses
- Descriptions of approved initial qualification courses and requalification courses for all protective force duty firearms
- Descriptions of any live-fire stress courses used by the protective force.

Planning for the Duties subtopic presents the greatest challenge to the protective force topic team. It is important to focus the inspection and performance tests on the appropriate areas, and ensure that sufficient information is collected to allow the team to draw reasonable conclusions on the ability of the protective force to accomplish its mission. The review of past inspection report deficiencies and other pertinent documents and discussions with the Inspection Chief and with other topic teams help focus the activities of the protective force topic team.

Once focused, the performance tests selected should, to the extent possible, have some interrelationship, in order to provide more data points for drawing conclusions. Responsibility for planning and conducting the performance tests should be determined as early in the planning process as possible. It may be appropriate to place the major planning and coordination responsibilities on the inspected facility. Ideally, all performance tests selected will be fleshed out during the planning phase; however, final planning must often be completed on site.

Performance Tests

Performance tests can range from a single SPO demonstrating gas mask donning procedures, to alarm response exercises, to a full scale force-on-force exercise utilizing ESS/MILES equipment. A balanced approach will result in a mix of tests that evaluate individual and team skills, and together help provide the big picture on the ability of the protective force to accomplish duties.

Inspectors have a variety of performance tests from which to choose when planning for an inspection. These tests may be broadly categorized as LSPTs, individual performance tests that lend themselves to the “round robin” type of testing, and isolated, individual performance tests. The following performance tests are commonly used in the inspection of Duties:

- LSPTs
 - No-notice response (alarm or duress)
 - No-notice explosive detection (mechanical/canine)
 - Area or building containment (MILES)
 - Building/room clearing (MILES)
 - Demonstration control (MILES)
 - Convoy/SNM movement (MILES)
 - Bomb threat
 - Weapons handling/individual tactical skills (live-fire or MILES)
 - High-risk vehicle stop (MILES)

- Individual performance tests/shift readiness
 - Weapons qualification course
 - Live-fire obstacle course
 - Live-fire with protective mask
 - Range estimation
 - Vehicle search
 - Arrest procedures and suspect handling
 - Observation, assessment, and reporting
 - Night vision device operation
 - Baton or aerosol proficiency
 - Donning and clearing protective mask
 - Donning ballistic vest (if not worn)

- Individual performance tests
 - Interior patrol
 - Exterior patrol
 - Parcel search
 - Badge checks
 - Metal, SNM, explosives and x-ray detectors
 - Sniper/observer
 - Canine handling
 - Post/patrol (observation and equipment operation)
 - Tactical movement.

To make the best use of available time and resources, the protective force topic team usually schedules performance tests to evaluate as many skill and knowledge requirements as possible for both protective force and SRT personnel, or to evaluate specific deficiencies or areas of concern identified during previous inspections or inspection planning. Figure 2 shows a number of performance tests by type (LSPT, round-robin, and individual) with the corresponding skill and knowledge requirements that may be evaluated when using one or more of these tests.

Data Collection Activities

A detailed list of general skills and knowledge areas required by DOE policy appears earlier in this section. Local requirements may amend or increase this list. Inspectors use four types of data collection methods to gather information about performance of duties: interviews, observations, knowledge tests, and performance tests. These methods are discussed below, followed by a list of specific data collection activities.

Interviews

Interviews provide the inspector with valuable information regarding protective force personnel's understanding of policies, procedures, and responsibilities, as well as insight into attitude and morale. Interviews need not always be formal or scheduled activities; every conversation an inspector has with an SPO is essentially an interview in which data is being collected. Since interviews are an important source of information, they should be conducted with deliberation and purpose. Several things should be considered when conducting interviews:

- The sample of SPOs interviewed should be as large as time permits. The sample should include a representative cross-section of jobs (basic SPOs, supervisors, SRT, CAS operators, etc.) and encompass all shifts. A stratified sample can be taken from the protective force roster. However, a more common method is to conduct most formal interviews during post/patrol visits; whoever happens to be on post during the visit is interviewed. If this method is used, posts should be visited on all shifts, and categories of personnel who do not stand posts/patrols should not be overlooked. The sample is usually increased through ad hoc interviews conducted during performance tests, while entering/exiting posts, and during the many contacts with SPOs during the course of the inspection.
- At least for the formal, planned interviews, inspectors should know what they are going to ask and the types of information they are going to try to elicit. Since several inspectors will normally conduct interviews and post visits simultaneously, a list of core interview questions should be used so that

desired topics are covered uniformly in all interviews. This does not prevent an inspector from asking additional questions or further pursuing a line of questioning.

- Post visits/interviews should be conducted in a conversational and non-threatening manner. Much of the interview is essentially an oral knowledge test, and the person being interviewed will consider every question to be a test. The interviewer should not be bound by the text of prepared questions. Questions may have to be phrased and rephrased, as necessary, to elicit the desired information. The goal is to determine the SPO's true perception or understanding of the subject matter; it will take more effort to elicit that information from some people than from others.

Observation

Observation is a good way to see how personnel perform their routine duties. Observations may be either deliberate or ad hoc. For example, entry control procedures may be observed for 30 minutes during shift change to see whether proper procedures are followed; however, entry control procedures may also be observed every time the inspector passes through or by an entry control point.

- The time and location of deliberate observations should be carefully planned to provide representative and sufficient data. They should be limited to instances where the activity to be observed will definitely occur. It is a waste of time for an inspector to stand around in the hope that something will happen.
- Ad hoc observations can provide valuable information. Inspectors should be alert at all times while on site and actively pursue, as appropriate, anything they observe that is pertinent to protective force duty performance.
- For best results, the inspector should position himself/herself so that the subject being observed is unaware that he/she is being observed. In all cases, the inspector should be positioned so as not to interfere with the function being observed.

Knowledge Testing

Knowledge testing is useful to determine whether protective force personnel know and understand policies and procedures. Its use should be limited to that purpose, since it cannot reveal whether personnel can actually apply the policies or execute the procedures.

- Random sampling techniques should be used to determine who will take the test. The sample size and target population (entire force, CAS operators only, etc.) will vary with the test objectives.
- Written test questions and answers should be taken from existing protective force tests or validated by the protective force training staff before being administered. Site personnel providing this validation are to be regarded as Trusted Agents, and they must complete Trusted Agent forms before the inspection team shares draft tests for validation purposes.
- Inspectors should schedule, administer, and correct the tests. The test questions should be closely guarded.

Performance Testing

Performance testing is the best way to evaluate skills and determine whether procedures are adequate and whether protective force personnel can perform the duties required of them. A list of common performance tests appears earlier in this section. Detailed information and tools applicable to performance testing are provided in Appendices A through C. Additional things to keep in mind are:

- Performance testing should be the inspector's primary means of data collection. If a skill or duty **can** be performance tested (and most can), it **should** be performance tested.
- If the whole population or a significant portion of the population cannot be tested, use random sampling techniques to decide who to test. Make sure the sample is selected from the correct population. For

example, the population for firearms testing should be all armed personnel; the population for SRT building clearing testing should be all SRT members. Minitab, Microsoft Excel, or other approved software should be utilized for randomly selecting performance test participants.

Specific Activities

The major protective force duty areas are summarized below, with indications of the applicable and recommended data collection activities for each.

A. Inspectors should determine whether SPOs have adequate observation, assessment, patrolling, and reporting skills. This is best determined by performance testing. They may be evaluated by specific tests designed for this purpose. Pertinent skills can usually also be observed in most larger-scale performance tests that involve a tactical scenario and the use of adversaries. For example, protective force fratricide during a force-on-force exercise is an indicator that protective force personnel have not been adequately trained or equipped to effectively identify friendly forces.

B. Inspectors should determine whether armed personnel possess adequate weapons handling skills. The required skills include basic marksmanship abilities, tactical weapons handling skills, field firing techniques, and weapon safety habits. The best way to test these skills is through live-fire performance testing. Tactical weapons handling, field firing techniques, and, to a lesser extent, weapons safety can also be evaluated during non-live-fire, MILES-enhanced tactical performance tests.

C. Inspectors should determine whether SPOs possess tactical skills adequate for mission performance. These skills should be evaluated through performance testing. Most Independent Oversight performance tests address at least some tactical skills, either through team or individual tactical testing activities.

D. Inspectors should determine whether SPOs can properly operate all equipment available for their use. The routine operation of some equipment can be evaluated by observation. Skill in operating virtually all equipment can be determined by performance testing. Some tests may be specifically limited to the operation of a particular piece of equipment. However, most performance tests afford the opportunity to observe SPOs operating some items of equipment.

E. Inspectors should determine whether personnel can properly operate assigned vehicles, including appropriate equipment on the vehicles. Routine vehicle operation skills and some emergency operation skills can be evaluated by observation. Specific driving skills may be performance tested, and many tactical performance tests provide an opportunity to evaluate driving skills under emergency conditions. If facilities have armored vehicles, special off-road vehicles, watercraft, or aircraft, pertinent skills related to these vehicles should be tested, along with any weapon system(s) deployed from these vehicles.

F. Inspectors should determine whether SPOs possess adequate communications skills (that is, communications equipment operation and use of appropriate communications procedures). Routine communications skills can be evaluated by observation, including monitoring of radio nets. Tactical and special communications skills can be evaluated by performance testing. Again, both specialized tests and many emergency/tactically-oriented performance tests provide opportunities to evaluate communications skills.

G. Inspectors may wish to determine whether protective force personnel have the required first aid and fire protection skills, including the ability to operate appropriate equipment. These areas can be evaluated by

knowledge testing (including interviews) and performance testing, with performance testing providing the most useful data.

H. Inspectors should determine whether protective force personnel can properly perform access control duties, including personnel identification, searches, and operation of available detection equipment. Inspectors can determine knowledge of access control procedures through interviews. Observations allow evaluation of application of routine procedures. Performance testing is necessary to determine skills in detecting and dealing with entry attempts by unauthorized personnel, contraband items, etc.

I. Inspectors should determine whether alarm station operators can adequately perform their assigned duties. Pertinent data can be collected by observation, knowledge testing, and performance testing.

J. Inspectors should determine whether SPOs understand and are capable of applying pertinent laws, policies, regulations, and orders, including those pertaining to the use of deadly force. This data can be gathered through knowledge testing, either written or oral. Oral testing (including during interviews) is usually preferred when trying to determine an individual's understanding of a concept, because it allows more latitude to get at the depth of the person's knowledge. The ability to apply policies can be determined only through observation or performance testing.

K. Inspectors should determine whether supervisors have the appropriate skills and knowledge to perform their supervisory duties. Appropriate data can be collected through observation, knowledge testing, and performance testing. Inspectors can evaluate both routine supervisory skills by observation and tactical leadership skills during performance tests.

L. Inspectors should determine whether the appropriate personnel have the necessary skills and knowledge to perform special duties that may be required on a site-specific basis. Such special duties include dog handling, flight operations, explosive entry, and sniper operations. All data collection methods may be applicable to these areas, but observation and performance testing are most useful, with emphasis on performance testing.

Section 6: Interfaces

Integration

Integration involves the coordination and interfaces among inspection team members to achieve a more effective and organized inspection effort. Integration is possibly the most important and productive element within the inspection process. Thorough integration creates a synergism and enhances the quality and validity of the inspection report which, when combined with other unique attributes, strengthens Independent Oversight's overall capacity to provide significant, value-added contributions to the safeguards and security community, as well as to DOE as a whole.

In order to take into account the interdependency of elements of the overall protection system, the integration process between topic teams must continue throughout all inspection phases to ensure that all pertinent inspection data has been shared. This level of integration simply involves an exchange of information among different topic teams and an accompanying discussion of how information developed by one topic team influences judgments about the adequacy of the performance observed in another topical area. Information obtained through integration with other topic teams should be included with other information considered during analysis.

The fundamental goal of the integration effort is to ensure that potential systemic vulnerabilities are adequately performance tested and analyzed. The topic team's objectives in support of this goal contribute to the effectiveness and efficiency of the inspection process.

From the topic team's point of view, there are several major objectives of integration. First, integration allows topic teams to align their efforts so their activities complement, rather than detract from, one another. It would be non-productive to inspect physical security systems at one location, control of classified documents and material at a different remote location, and the protective force at a third location; using this approach, inspectors would accumulate a collection of unrelated facts. Therefore, topic teams must cooperate to make the best choices regarding what should be inspected at which locations. Early and continuing integration ensures that the activities of all topic teams are unified and contribute to the overall goal.

A second objective of integration is to allow topic teams to benefit from the knowledge, experience, and efforts of other topic teams. Sometimes ideas from one topic team can help another topic team focus inspection activities in a more productive and meaningful direction. For example, the physical security systems topic team may indicate that their planning efforts led them to the conclusion that the physical protection systems at a particular location are weak, resulting in heavy reliance on the protective force. Therefore, it may be useful for the protective force topic team to plan to spend more time assessing protective force capabilities as they relate to this weakness, rather than focusing on other areas.

The third objective of integration is to prevent topic teams from interfering with each other. Often, several topic teams concentrate their activities at the same location, resulting in multiple visits over time or a number of visits at the same time. This may cause undue disruption of the inspected facility and its personnel. Integration among topic teams can preclude this problem by having one or two topic teams visit a particular location and collect the data for several. All topic teams should be aware of what all other topic teams are doing, where they are doing it, and how it will affect their own activities.

Integration of data collection activities for performance testing is imperative. If the protective force topic team schedules a performance test that results in the prolonged lockdown or evacuation of a building, and the material control and accountability (MC&A) topic team schedules a performance test involving an emergency inventory or transfer of material in the same building at the same time, the resulting problem is obvious.

Integration by the Protective Force Topic Team

A protective force, by its very nature, does not function in a vacuum. It is an integral part of the overall protection system at a facility and therefore must interact with other elements of that system. For this reason, the protective force should not be inspected in isolation. Inspection activities must acknowledge and reflect this interaction to determine how well the required interfaces are accomplished. This requires integration with inspection teams responsible for other areas. Information developed by the protective force topic team may affect how the results of inspection activities in other topics are viewed. Similarly, results in other topical areas may have some bearing on how the adequacy of protective force performance is viewed.

Figure 3 outlines the general scope of the protective force topic and the direct interfaces with other topics and subtopics.

Planning Phase

Throughout the planning meeting, the protective force topic team must integrate its planned activities with various other topic teams. Interaction is most frequent with physical security systems, MC&A, information security, and protection program management. Some level of integration with all other topic teams is usually required. As noted, such integration allows the protective force topic team to benefit from the expertise of members of other topic teams, examine issues emanating from document reviews or DOE management, focus inspection activities, and select performance tests.

Once the performance tests have been selected, it is important to discuss those that may have implications for other topic teams. The topic teams may provide important supplemental information to the protective force topic team, desire to participate in the test, or modify the exercise so the information gained can be better used by both teams. A further aim of these discussions should be to coordinate exercises. Without coordination, the inspected organization may be overloaded or the test may interfere with the data collection activities of other teams. Finally, there may be some operations that will require joint evaluation by members of several topic teams. For example, igloo opening and closing and the intra-site movement of SNM usually require the participation of the protective force team, the physical security systems team, and the MC&A team.

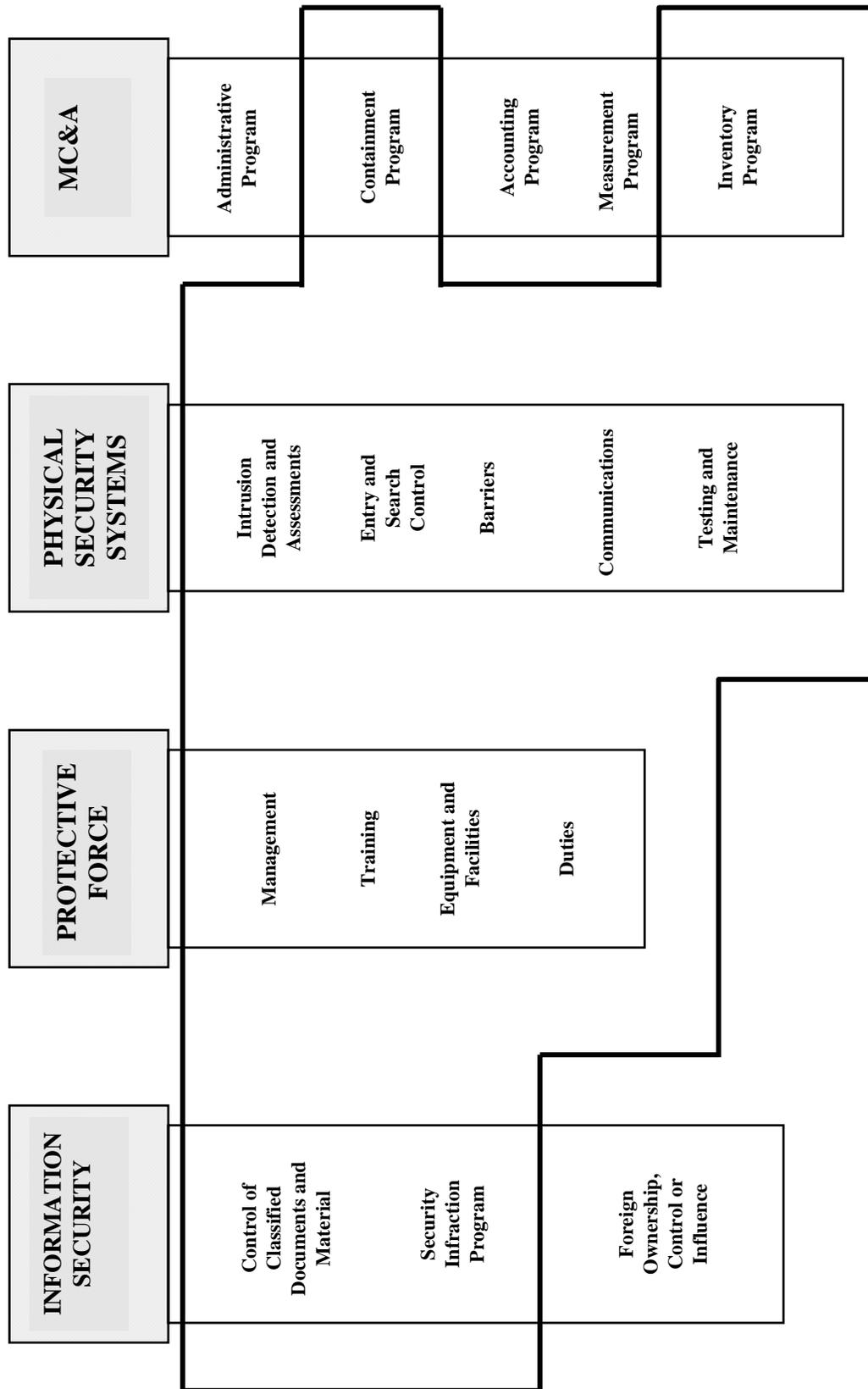


Figure 3. Areas of Direct Interface for the Protective Force Topic Team

Conduct Phase

Close integration with other topic teams is essential during data collection activities. An inspection is a complex, integrated effort, and the onsite portion of the inspection involves intensive, concurrent data collection activity by several topic teams during a limited period of time. To achieve maximum benefit from onsite data collection, close cooperation between topic teams is essential. Therefore, throughout the conduct phase of the inspection, it is important that the protective force topic team discuss findings and issues with the other teams.

Occasionally, tests conducted by the physical security systems topic team directly overlap with tests conducted by the protective force topic team—an example of this is badge checks. When such tests are planned by the protective force topic team, they must complement those conducted by the physical security systems topic team and not duplicate them. Also, testing of various alarms and sensors by the physical security systems topic team provides an opportunity for protective force inspectors to observe the reaction of SPOs to normal and abnormal sensor indications.

Another example of interface between the protective force and the physical security systems topic teams might be if site representatives indicate to the physical security systems team that a system weakness at an access portal is compensated for by posting supplementary protective force personnel at that location. In this case, the physical security systems team may request that the protective force team determine whether the compensatory measure is sufficient to effectively offset the weakness.

At most locations, protective force personnel are involved in access controls and physical checks of tamper-indicating devices on facilities or containers. In addition, some sites use protective force personnel as second persons in material surveillance programs. Moreover, the MC&A topic team conducts performance tests, such as missing-item exercises and threat message exercises, that normally require a response from the protective force. The protective force is also responsible for implementing procedures for material containment, including controlling access at portals, conducting searches, and responding to SNM alarms. Any of these procedures could be tested by the MC&A team during an inspection. In addition, SPOs are often required to maintain security during MC&A tests, open secure doors and security locks, and explain protective force roles in MC&A.

The site protective force often participates in integrated exercises with MC&A. Examples of these exercises are:

- Mock shipment of SNM
- Testing of SNM and metal detector operations
- Emergency response exercises
- Review of routine duties (observations)
- Material control exercises requiring a protective force response.

Issues raised during these exercises may necessitate changes in inspection focus, additional performance tests, or further document reviews. The bottom line is to consider the impact of every issue raised and its relevance to other topics, and to maintain a flexible approach during data collection activities.

Closure Phase

It is imperative that issues involving several topic teams be resolved, that impacts be clearly understood, and that a preliminary decision be made as to how and by whom the issue will be reported.

Interface with Other Subtopic Areas

Inspectors of the protective force Training subtopic must determine whether management provides adequate resources to support training. Protective force inspectors must also determine whether management ensures that training is integrated with operations so that training, especially in-service training, is needs-based. If the inspector of the training subtopic discovers evidence of inadequate support in the form of insufficient equipment or inadequate numbers of qualified training personnel, the causes for this must be investigated with protective force management.

Deficiencies in proficiency with protective force equipment are usually attributable at least in part to deficiencies in training. Deficiencies noted in the use of equipment should be followed up by an inspection of appropriate lesson plans and an inspection of the training schedule, to determine whether adequate plans exist to teach the material.

Any inadequacies in protective force performance during LSPTs will probably have their cause as well as their remedy in protective force training. Inspectors of the Training subtopic should be involved in the various components of the inspection involving duties.

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Section 7: Analyzing Data and Interpreting Results

Introduction

This section provides guidelines to help inspectors analyze data and interpret the results of data collection activities. Information is also included on the significance of potential deficiencies and suggestions for additional activities that may be appropriate if deficiencies are identified in a particular area.

When analyzing the data collected on a particular aspect of the site protection system, it is important to consider both the individual facets of the protection system and the system as a whole. In other words, failure of a single facet of a protection system does not necessarily mean the protection system failed. The inspection team must analyze the failure in terms of the entire protection system.

Analysis of Results

The analysis process involves the critical consideration by topic team members of all inspection results, particularly identified strengths and weaknesses (deficiencies). Analysis will lead to a logical, supportable conclusion regarding how well the protective force is meeting requirements and satisfying the intent of DOE policy. If more than one subtopic has been inspected, a workable approach is to analyze each subtopic individually and integrate the results of the individual analyses to determine the effects of subtopic results on each other and the overall status of the topic.

If there are no deficiencies, the analysis is a simple matter. If there are negative findings, weaknesses, deficiencies, or requirements that are not fully met, the analysis must consider the importance and impact of those conditions. Deficiencies must be analyzed both individually and in concert with other deficiencies, and balanced against any strengths and mitigating factors to determine their overall impact on the protective force's ability to meet protection requirements. Factors that should be considered during analysis include:

- Whether the deficiency is isolated or systemic
- Whether the protective force, contractor, and/or DOE field element management previously knew of the deficiency, and what action was taken
- The importance or significance of the requirements affected by the deficiency
- Mitigating factors, such as the effectiveness of other protection elements that could compensate for the deficiency
- The deficiency's actual or potential effect on mission performance or accomplishment
- The magnitude and significance of the actual or potential vulnerability of DOE security interests resulting from the deficiency.

The analysis must result in conclusions concerning the degree to which the protective force meets the requirements and the resulting effect on the ability of the protective force to accomplish its mission.

Ratings

The conclusions reached through the analysis of protective force inspection results typically lead to the assignment of a single rating for the topic. The topic team is responsible for assigning the rating; however, approval of final ratings rests with the Inspection Chief and the Director of Independent Oversight.

Interpreting Results

Management

Most management deficiencies have the potential to reduce the protective force's ability to accomplish its mission. Lack of adequate supervision, comprehensive planning, appropriate policies and orders, personnel resources, or an adequate training program usually indicates that management is deficient in one or more of its responsibilities. When inspectors encounter problems in these areas, they should devote additional attention to management practices to determine the full impact on protection effectiveness.

Inadequate supervision is most often a significant deficiency and can usually be traced directly to management. Indicators such as the delayed review of reports, unresponsive SPOs, lack of essential equipment, low morale, ineffective command and control during performance tests, or poor SPO appearance usually signify deficiencies in supervision. The combined effect of these deficiencies may result in the inability of the protective force to provide adequate protection for vital DOE interests. When inadequate supervision is evident, inspectors should focus on the programs designed to provide for, manage, and supervise the protective force to determine why supervision is inadequate. Inspectors may consider conducting additional interviews with managers and supervisors, reviewing management oversight procedures, examining supervisor qualifications, and reviewing hiring and compensation practices.

The lack of comprehensive plans and orders normally has an adverse effect on the fulfillment of DOE requirements, the ability of protective force personnel to accomplish their assigned duties, and LLEA support during emergencies. Management may fail to adequately consider the threat, understate or fail to consider all site vulnerabilities, or overestimate the capabilities of their response forces in preparing their plans and orders. Inspectors should compare management plans and orders with DOE policies, local requirements, and the site protection strategy to determine whether they are appropriate and sufficiently detailed to facilitate implementation.

The failure of management to provide sufficient personnel resources can be the result of contractual arrangements, personnel policies, compensation, or other factors. Whatever the cause, lack of sufficient personnel resources usually has a significant adverse impact on the performance capabilities of the protective force. Inspectors should review policies and procedures governing personnel, conduct additional SPO interviews, and review contractual and payroll documents in determining the root cause of the lack of personnel resources.

Training

Usually, the failure of protective force personnel to adequately perform assigned duties is an indication of a deficiency in training. Problems that appear to be related to training may result from defects in the design of the training program itself or a failure by management to provide adequate oversight and resources to guide and support the program. Nevertheless, a deficient training program can significantly degrade the performance capabilities of protective force supervisors and personnel alike. Inspectors should closely

examine all aspects of the training program, including management's involvement in the program, to determine why training is inadequate.

Frequently, problems in the training program emanate from a failure to tailor the program around complete, accurate, site-specific job tasks. This systemic failure can have a notable adverse impact on a training program's capabilities and the abilities of individual protective force members. When it appears that training material is not in concert with site-specific conditions or individual SPO needs, inspectors should examine site documents such as SSSPs, local directives, training documents, and lesson plans to determine whether they are consistent with job tasks and training needs.

A tendency to persist in “business as usual” can have a significant impact on protective force training programs. Most effective training programs are innovative, up-to-date, and designed to promote continuous improvement. They normally include interested and talented instructors who focus with enthusiasm on site-specific requirements and individual SPO training needs. Inspectors should be aware that some training programs may meet the minimum requirements (mere compliance), but they may not fully satisfy the training needs or potential of the protective force.

Equipment and Facilities

It is important that weapons be appropriate to both the mission and the threat. Changes in mission and threat may lead to the protective force being armed with inappropriate weapons or weapons that are no longer effective against the threat. Such a development could result in a significant deficiency and could place DOE facilities, material, and interests at risk. Also, changes in the threat or mission may justify the removal of lethal weapons from protective forces. Inspectors should be thoroughly familiar with the site mission, threat, and protection strategy in order to determine whether assigned weapons are appropriate.

The absence of adequate communications equipment or an insufficient number of radio channels dedicated to security use will have a significant impact on the capabilities of the protective force. One of the most important factors in ensuring that the protective force responds in a timely, coordinated, and effective manner is the ability of its members to communicate. If deficiencies exist, inspectors should determine the full extent of the problem (for example, lack of planning, budget constraints, or inadequate replacement policies).

Poor accountability practices, incomplete inventories, insufficient replacement parts, and missing items of critical equipment are indicators of a systemic problem that most often can be traced to inadequate supervision and a lack of management attention. Inspectors should consider reviewing the relevant aspects of the management program to determine the root causes of these deficiencies.

Duties

In the Duties subtopic, identified deficiencies often have as their root causes deficiencies in training or supervision or both. If there are a significant number of deficiencies in a specific area, it may be necessary to determine whether findings in duties, training, management, or all three are appropriate. It is important for inspectors to clearly determine the root cause to enable management to permanently resolve the issue.

The inability to properly use assigned equipment generally indicates inadequate training. Deficiencies in such skills as clearing of malfunctions and the proper use of weapon sights can usually be remedied by providing training on the use of the appropriate weapons. Also, the failure on the part of SPOs to operate

certain kinds of equipment, such as radiation, metal, and intrusion detection equipment, can usually be traced to a lack of training.

Sometimes, the inability to use auxiliary weapons may be related to a lack of policy guidance by management that would provide the opportunity to use and test the equipment. Without such guidance, these weapons may remain in storage without being used. Inspectors should check management policies to determine whether provisions have been made for an adequate training program and whether the program is functioning properly.

The inability to properly conduct thorough entry and exit searches of vehicles, personnel, and hand-carried items usually results from a lack of proper training or supervision. When these conditions continue to recur, they may be directly attributable to the lack of management involvement.

Failure of the protective force to accomplish its denial/containment mission is a significant deficiency and usually is the result of a lack of management oversight, ineffective supervision, or inadequate training. Inspectors should examine all aspects of the supervisory, management, and training programs to determine the root cause of this deficiency.

The inability of the protective force to gain control of SNM after a hostile takeover may result from a lack of adequate plans, a failure on the part of supervisors, a lack of management involvement, or a failure to adequately train response personnel in all of the environments that may be encountered (smoke, gas, booby traps, etc.).

The inappropriate application of the use of deadly force is usually related to a lack of proper training. Often, the rules governing the use of force are not clearly understood by the trainers or supervisors. It is essential that this condition be corrected through training and strong management intervention.

Integrated Safeguards and Security Management

DOE Policy 470.1, *Integrated Safeguards and Security Management (ISSM) Policy*, formally sets out an integrated management concept that had formerly been used primarily in environment, safety, and health inspections. The ISSM framework encompasses all levels of activities and documentation related to DOE safeguards and security management.

The inspection team uses ISSM concepts in planning and conducting inspections and in analyzing data on program effectiveness. Further, because ISSM principles can be useful in diagnosing the root causes of identified weaknesses, the inspection team may use ISSM to organize inspection results in a manner that highlights root causes. For example, inspectors may find that a required action is not being completed. Upon further investigation, the inspectors may determine that the reason is that there has not been a clear designation of responsibility for completing the required action. This situation may indicate a weakness related to line management responsibilities. In such cases, the inspectors would cite the deficient condition (i.e., the failure to complete the required action) as the finding and reference the requirement. In the discussion and opportunities for improvement, however, the inspectors may choose to discuss the general problem with assignment of responsibilities as a contributing factor.

As part of the analysis process, Independent Oversight inspectors should review the results (both positive aspects and weaknesses/findings) of the review of the protective force topic in the context of the integrated security management concept. Using this diagnostic process, inspectors may determine that a number of

weaknesses at a site or particular facility may have a common contributing factor that relates to one or more of the management principles. For example, a series of problems in protective force training could occur if line management has not placed sufficient priority on protective force training and has not provided adequate resources to implement an effective training program. In such cases, the analysis/conclusions section of the protective force report appendix could discuss the weaknesses in management systems as a contributing factor or root cause of identified deficiencies.

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APPENDIX A

PERFORMANCE TEST PROCEDURES

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Appendix A: Performance Test Procedures

INTRODUCTION

Performance testing plays a significant role in the data collection activities of the protective force topic team. This appendix addresses the procedures for planning and conducting performance tests in general, without dealing with specific tests. The purpose, importance, and scope of protective force performance testing are addressed, followed by a detailed discussion of the procedures and considerations involved in planning and conducting performance tests.

PURPOSE OF PERFORMANCE TESTING

Performance testing has a single purpose: to determine how well a tested subject (person, team, piece of equipment, procedure, or system) functions. The results provide two significant elements of information: 1) whether the required functions were adequately performed, and 2) if not, the areas of weakness or substandard performance. In protective force performance testing, the objective is to look for evidence and identify trends that indicate whether the protective force has the ability to accomplish its mission.

IMPORTANCE OF PERFORMANCE TESTING

Performance testing is critically important to a valid evaluation of a protective force. A protective force, including all of its elements, exists to perform its designated functions in its site-specific environment. A valid assessment of protective force capabilities cannot be made solely by reviewing documents and other information pertaining to force employment, training, procedures, equipment, and so on. Security police officers must demonstrate that they can perform their routine and emergency duties by actually performing those duties. Equipment reliability and suitability must be demonstrated by actual operation in a realistic environment. Some performance can be observed under actual conditions; however, chance does not allow the spontaneous observation of sufficient routine and emergency functions during the course of an inspection. Therefore, the topic team must stage performance tests to provide opportunities to observe the protective force performing its various functions.

SCOPE OF PERFORMANCE TESTING

Performance testing of a protective force involves a wide range of activities. Activities include both no-notice and announced performance tests, involving both routine and emergency situations. Tests range from the simple, such as determining whether a weapon fires or a Security Police Officer correctly performs entry control procedures, through moderately complex tests of individual or team tactical skills, to more complex, integrated, engagement simulation system/multiple integrated laser engagement system (ESS/MILES) enhanced tests conducted in conjunction with Emergency Management or Material Control and Accountability performance tests. Almost any function that has to be performed by a protective force or one of its elements can be tested, including:

- Individual routine and emergency duties
- Team routine and emergency duties
- Suitability of procedures
- Functionality and suitability of equipment.

GUIDING GOALS

There are several goals that are so important to valid, useful performance testing that they must be considered at every step of test planning and conduct:

- **Realism** - In order to elicit an accurate response, tests must be conducted under conditions that are as realistic as possible. It is often impossible or impractical to test under totally realistic conditions; however, a continuous effort must be made to make tests and test conditions as real as possible, and to attempt to ensure that artificialities have a neutral impact on the outcome.
- **Safety** - The safety of personnel and facilities is as important as any other aspect of a performance test. No test conducted by Independent Oversight is important enough to justify serious bodily injury or significant facility damage. However, there is always an element of risk in testing protective force functions, just as there is an element of risk in the protective force's everyday activities. The challenge in performance testing is to find ways to conduct realistic and meaningful tests in as safe a manner as possible without exposing participants to undue hazard.
- **Test the Right Thing** - It is important that the objective of the performance test be relevant to the assigned mission of the protective force. The objective of each performance test must be clearly understood, and each test must be conceived, planned, and conducted with the objective in mind.
- **Collect the Necessary Data** - The purpose of a test is to collect required data. If a test does not yield the needed data, the time, effort, and money that went into the test are wasted. A data collection plan must be developed, and all test planning and conduct must support data collection requirements.

PLANNING

Planning is important to any performance test. No matter how simple or complex the test, the planners have to determine the who, what, when, where, why, and how before they can execute the test properly. While planning may be relatively uncomplicated and quick for simple tests, planning for more complex performance tests is the most time-consuming, detailed, and difficult part of the test procedure. However, proper planning pays off; if a test has been thoroughly and skillfully planned, it will generally yield the required data, and frequently will do so even if unforeseen events occur. The planning considerations described below are comprehensive in scope and will accommodate planning needs for the most complex performance tests the protective force topic team will undertake. For simpler performance tests, some of the planning considerations will be quickly accomplished and others may not be applicable at all.

The Planning Team

The topic team may choose to plan a test or may require the facility to plan a test in coordination with and using guidelines provided by the topic team. Typically, the topic team will plan and conduct limited-scope performance tests (LSPTs) and alarm response and assessment tests. Responsibility to plan and conduct force-on-force (FOF) exercises rests with the inspected site, as their ability to safely and effectively conduct an FOF is also being evaluated. Independent Oversight, through the Test Director, Exercise Coordinator, and Safety Representative, must work very closely with site personnel in order to convey specific evaluation criteria, provide adversaries, MILES and associated equipment, evaluators, attack scenarios, rules of engagement, and safety considerations during the planning phase. All of these activities will be discussed in more detail below. The planning team for each performance test is responsible for devising a test that fairly and realistically achieves the stated test objectives. The size of the planning team will vary with the complexity of the test. At a minimum, the team should include a Test Director, Exercise Coordinator, and the point(s) of contact who will be acting as the DOE field element and/or contractor trusted agents for the test. For most tests, a safety representative will be a part of the planning process as a trusted agent, but more often the role of the safety representative will be to provide safety approval of test plans rather than participating as an active planner. For more complex performance tests, it may be necessary to include additional trusted agents, one or more insiders, and representatives from the Composite Adversary Team (CAT).

The Test Director is ultimately responsible for planning the performance test for LSPTs, while the Exercise Coordinator has primary responsibility for coordination with the site during FOF planning. This individual works out all of the planning details with the trusted agents and others to ensure that the test objective(s) will be met through a fair and realistic test. The Exercise Coordinator is also responsible for completing all required planning documents.

Whenever possible, the topic team must anticipate all special resources that may be required and initiate action to obtain them. If they anticipate the use of ESS/MILES equipment or other specialized equipment, they should alert the Inspection Chief. If they anticipate that a CAT will be needed, they must alert the Inspection Chief and the CAT Coordinator, who will arrange for CAT members with the appropriate skills to be available.

The trusted agents work closely with the responsible inspectors and represent their organization as illustrated in Table 1 in planning the details of the performance test. They provide site-specific knowledge and expertise during the planning process. They are also responsible for arranging all personnel, facilities, and logistical support to be provided by the site or operations office.

Table 1: Roles and Responsibilities

Site	Independent Oversight
<p>Exercise/Test Director</p> <ul style="list-style-type: none"> • Has overall authority and responsibility for planning, coordinating, and conducting the exercise and after-action activities. 	<p>Test Director</p> <ul style="list-style-type: none"> • Ensures test plans and conduct meet Independent Oversight needs. • Works with site Test Director.
<p>Senior Controller</p> <ul style="list-style-type: none"> • Responsible for exercise preparation and conduct. • Responsible for all Controller activity. 	<p>Exercise Coordinator</p> <ul style="list-style-type: none"> • Works with Senior Controller. • Ensures planning details and conduct procedures are agreeable and support performance test goals. • Assigns evaluators to key locations.
<p>Primary Trusted Agents/Exercise Planners</p> <ul style="list-style-type: none"> • Agree upon scenario events, simulations, and other details of exercise conduct. • Often the primary Trusted Agents are the Exercise Director and Senior Controller. 	<p>Primary Trusted Agents/Test Planners</p> <ul style="list-style-type: none"> • Agree upon scenario events, simulations, and other details of test conduct. • The primary Trusted Agents are the Test Director and the Exercise Coordinator.
<p>Safety Representative</p> <ul style="list-style-type: none"> • Identifies and mitigates potential hazards and monitors exercise planning/conduct to ensure that accepted reasonable risk levels are not exceeded. • Coordinates/executes adequate safety walkdowns. • Develops the safety plan. • Coordinates with emergency management personnel to ensure emergency medical/fire protection services will be present or on call for duration of exercise. • Presents safety portion of exercise briefings (general and area safety rules, including safety portion of rules of engagement, associated risk assessment information, medical response, munitions and firearms safety, and vehicle/personnel safety). 	<p>Safety Representative</p> <ul style="list-style-type: none"> • Works with the site Safety Representative. • Ensures that test planning and conduct address identified hazards and other safety issues.
<p>Controller/Evaluators</p> <ul style="list-style-type: none"> • Perform assigned duties under the direction of the Senior Controller. This ensures that the test is conducted safely and according to approved plans. • Assess/evaluate performance during the test. 	<p>Evaluators</p> <ul style="list-style-type: none"> • Assess/evaluate performance during the test. • Perform assigned duties under the direction of the Test Director.

Site	Independent Oversight
<p>Adversaries</p> <ul style="list-style-type: none"> • Play the part of the adversaries during the exercise. 	<p>CAT</p> <ul style="list-style-type: none"> • Plays the part of the adversaries during the performance test. • Conducts scenario briefback to site.
<p>Opposition Force Coordinator</p> <ul style="list-style-type: none"> • Perform assigned duties under the direction of the Senior Controller. This ensures that the test is conducted safely and according to approved plans. 	<p>Exercise Coordinator</p> <ul style="list-style-type: none"> • Perform assigned duties under the direction of the Test Director.
<p>Insider</p> <ul style="list-style-type: none"> • If necessary, participates as a part of the adversary team during planning and, if appropriate, during test conduct. 	
<p>Role Players</p> <ul style="list-style-type: none"> • If necessary, play the parts of workers or any “players” in the test other than the protective force and adversary team players. Assist as needed/requested. 	
<p>Protective Force</p> <ul style="list-style-type: none"> • Plays the part of the Protective Force during the exercise. 	
<p>Limited Trusted Agents</p> <ul style="list-style-type: none"> • Accomplish planning and coordination details (e.g., facility managers, Safety Representative). <p>Any site personnel who must be present or standing by during performance tests to comply with site requirements or agreements (e.g., Shadow Force, building managers, emergency services).</p>	

Safety representatives, designated by both Independent Oversight and the DOE field element, are responsible for ensuring that planned activities fall within acceptable safety limits. Their responsibilities include suggesting changes or compensatory measures that would facilitate both safety and realism. Safety representatives are treated as trusted agents for purposes of confidentiality.

Occasionally, one or more members of the adversary team may be involved in planning. Their input is solicited when necessary and appropriate, normally to assist in planning specific scenario events.

Determining Test Objectives

Before serious planning can commence, the objective(s) of the test must be clearly defined and stated. This is necessary whether or not the type of test can meet more than one objective. For example, an Entry Control Performance Test could test the adequacy of entry control procedures, or it could test a Security Police Officer's ability to properly apply those procedures. Detailed planning must be aimed at satisfying clearly understood objectives. The objective may be to see whether all protective force flashlights work, or whether all rifles are properly battle-sight zeroed, or whether protective personnel can properly perform certain specific skills or adequately execute specific procedures.

Determining Test Attributes

After determining the test objectives, the planner must select a testing protocol that provides maximum achievable realism, assures adequate safety, and satisfies the test objectives. This determination involves several components:

- **How to Test** - The type of performance test and specific testing techniques must be determined. Test objective, realism, safety, available resources, and all other applicable variables must be considered in determining an acceptable testing method. The planner has to determine what skill, duty, or function is to be tested, and then devise the best method of testing it. The best way to test is to make the subject actually demonstrate the skill, perform the duty, or operate the equipment under conditions that are as realistic as possible.
- **Where to Test** - Test location is important and, in some cases, has a significant impact on realism. Generally, the best location is the location where the event being tested would actually occur. For example, if the test is to determine the tactical skills of the protective force in protecting the vital areas of a reactor, the test should be conducted at the reactor. An acceptable alternative might be a similar reactor that is off-line or shut down. A poor alternative would be a non-reactor building or facility which does not resemble a reactor. If testing entry control procedures, the tests should be conducted at actual entry portals, preferably at a representative sample of such portals.
- **When to Test** - The timing of the test also affects realism. When testing night firing skills, it's best to test at night. When testing day shift personnel on felony vehicle stop procedures, it's best to test in daylight. When testing entry control procedures, it's best to conduct the bulk of the tests during normal working hours, including shift change, when most entries and exits occur. When testing an event that would normally take place at a crowded facility, the test should take place when the facility is crowded, not after hours when it is deserted except for protection personnel.
- **How Many Tests to Conduct** - The number of iterations of a particular performance test will depend on the nature of the test and the available resources. Detailed planning requires an early determination of the number of tests to be conducted; this is especially true of complex tests and tests involving large numbers of personnel or use of scarce facilities.

Scenario Development

Once preliminary decisions such as test objectives, location, and time have been made, planning of specific scenario events can begin. The scenario consists of those events that create the situation that will test the subject. The complexity of the scenario is directly related to the complexity of the test. For example, an LSPT might be conducted to determine whether flashlights work. The scenario would be as simple as to switch on the selected flashlights and see if they illuminate.

Scenario development requires the planner to devise and think through a logical series of events that will elicit realistic responses and accomplish the test objective. As scenarios become more complex, particularly those involving adversaries and tactical procedures, there will be a wide range of scenario event options. It is important to judiciously choose among the options to select events that are realistic, within the appropriate threat guidance, and logical (in the sense of the flow of scenario events), and that also serve to fully satisfy the test objective. It is helpful to keep scenario events as simple and straightforward as possible unless there is a specific requirement to include intricate or complicated events.

For large-scale ESS performance tests, Independent Oversight normally develops the scenarios based on the objectives, which will then be coordinated closely with the site trusted agents to ensure the test objectives can be exercised. The primary trusted agents from both the site and Independent Oversight will give written concurrence agreeing to the scenarios.

Simulation

There is some amount of simulation or artificiality in most performance tests. To preserve realism, it is best to keep simulation at a minimum. Performance tests involving live adversaries usually require the greatest amount of simulation, generally because of safety or test control requirements. The following are some typical simulations encountered in protective force performance tests:

- **Response Times** - To keep protective force players within the test area, it is frequently necessary to place players who would normally respond from outside the test area into a holding area and release them into test play according to a predetermined schedule. The best way to determine the release schedule is to conduct a no-notice response test and record the actual response time for each responder.
- **Explosives** - Typically, inert dummy explosives and related equipment are carried, and deployed as actual explosives would be. A controller is required to verify that the explosives are properly set, at which time he/she simulates the effects of the explosives, which may include throwing a grenade simulator, opening a door or gate, and assessing casualties.
- **Initial Player Positioning** - At times, adversaries are pre-positioned in the test area. For example, in Containment Performance Tests, it is usual to place the adversaries inside the target building before the test. If this approach is taken, the protective force players must be briefed on the simulated events (through alarm chain, eyewitness observations, etc.) by which the adversaries entered the building. Similarly, protective force players are sometimes pre-positioned in their response positions or in a holding area for scheduled release. These positions may have been determined based on previous observations of routine posts and patrol activities.

- **Personnel and Time Limits** - At most sites, over a period of time, more and more protective personnel and local law enforcement personnel would be able to respond to a security incident. For test purposes it may be desirable to limit protective force players to a manageable yet realistic number; for example, those personnel in a target area and those who could respond to the area within 15 minutes. Utilizing this strategy, it is reasonable to also limit the running time of the test, so that the protective force players do not have to continue long after they would have realistically received more resources.
- **Target Material** - If special nuclear material or other sensitive devices are involved in scenario play, it is usually simulated using other materials or devices of similar size, weight, and configuration.
- **Location** - If the actual facility or building cannot be used, the test must be conducted at an alternative location. The layout and attributes of the test facility should be as similar as possible to the actual facility.
- **Controller Presence/Actions** - The mere presence of controllers is artificial, but necessary. At times, controllers must simulate scenario events, such as alarms, explosive effects, and breaching of barriers, or they may have to intervene to enforce safety rules or rules of engagement. Generally, controllers should intervene in test play only when necessary and otherwise avoid interfering with test play.

Control Measures

Conducting an orderly and safe test requires the planning and enforcement of various control measures. Some control measures are restrictive, so it is important to strike a balance between the need for realism and the need to control the test. Without being overly burdensome, sufficient control measures should be planned to ensure that the scenario can be executed properly and realistically, the test can be conducted safely, and the necessary degree of control can be exerted by the Exercise Coordinator during the entire test.

Control measures generally apply to both sides and the desired condition is that the cumulative effect of all control measures be neutral. The following are some typical control measures:

- **Boundaries** - Boundaries establish the limits of the test area. Players are not allowed to leave the test area, and armed protective personnel are not allowed to enter the test area except under controlled conditions.
- **Off-Limits Areas** - At times, certain areas (rooms, buildings, rooftops, and excavations) within the test area boundaries must be placed off limits, usually for safety or operational reasons. Radiation areas, construction areas, and rooms where armed protective personnel are sequestered are typically placed off limits. These areas are off limits to players on both sides and frequently off limits to controllers and other non-player participants also. Locations of off-limits areas must be fully explained, and they must be locked, marked, or otherwise physically identified to all participants. The number of off-limits areas should be kept to a minimum. As agreed to by safety and operational trusted agents, it is sometimes sufficient to caution participants about the hazards in an area rather than place the area off limits.
- **Rules of Engagement** - This is a set of rules by which players on both sides must abide during tests involving live adversaries. While there is a fairly standard set of rules of engagement, they may be

amended as conditions require for each test. For more details on specific rules of engagement, see *Protective Force Protocols and Rules of Engagement*, March 12, 2007.

- **Safety Rules** - This is a set of safety-related rules by which all test participants must abide. There is a fairly comprehensive set of standard safety rules. These rules are normally modified to accommodate the scope and nature of the specific performance test and site-specific safety requirements.
- **Controller Actions** - Controllers are responsible for enforcing the rules of engagement, conduct, and the safety. They may also have specific preplanned or spontaneous responsibilities, such as opening doors, passing messages to alarm station operators, releasing responders from a holding area, or assessing casualties.
- **Communications** - In any test where not all participants are at the same restricted location, reliable communication is essential. The Exercise Coordinator must be able to communicate directly with all evaluators and either directly or indirectly with all controllers and players. Suitable methods of coordinating with the shadow force or summoning an ambulance, if necessary, must be established.
- **Test Initiation and Termination** - Conditions for starting and stopping the test must be established. Generally, a test is started when all participants are in place and all safety and other requirements are satisfied. Conditions and procedures for temporarily stopping the test must be established and briefed to all participants prior to the start of the exercise. Temporary delays should be avoided if possible, but are occasionally caused by safety or security incidents or administrative holds to reposition players during an FOF. Conditions for terminating the test are usually based on completion of the test scenario or reaching a predetermined time limit, but may also include the occurrence of a major safety or security event at the site, whether or not it involves test participants.

Logistics

Some logistical planning is necessary for even the simplest performance test; complex tests may require extensive and detailed logistical planning. While the trusted agents are responsible for accomplishing most of the logistical tasks, it is up to the Exercise Coordinator to ensure that all logistical needs have been identified and that the trusted agents deliver the required support. The following list includes some typical logistical planning considerations:

- **Personnel** - The total number and attributes of participants must be determined. This includes the number of protective force personnel or other facility personnel and who they will be (that is, which individuals, shift, and Special Response Team). It also includes the number of adversaries that will be needed and any special qualifications they require. The required number of controllers and evaluators must be determined and their sources decided. Each controller and evaluator must be assigned a position and specific test responsibilities. All participants must be notified of their selection and told when and where to report and what to bring with them. It may be necessary to provide a general notification to all personnel working in the vicinity of the test area.
- **Facilities** - All facilities necessary for test preparation and conduct must be identified and scheduled. These would include the test area, briefing rooms, weapon and equipment issue, and recovery areas, and possibly adversary training areas.

- Equipment - All equipment that is to be used in the test must be identified, the source of each item must be identified, and responsibility must be assigned for providing each item. Normal equipment categories are as follows:
 - Props - Various props are needed for testing purposes. A prop could be almost anything, including false or real badges, simulated explosives, rubber knives, replica weapons, briefcases, furniture, or safes.
 - Weapons/MILES/Ammunition - Total numbers and types of weapons, ESS/MILES equipment, and blank ammunition must be determined. Protective force weapons and ammunition are generally limited to what they actually have available. Adversary weapons and ammunition are limited only by the threat guidance, what can reasonably be made available to them, and what they can transport. Any pyrotechnics to be used by controllers must also be identified.
 - Duty Equipment - The protective force is limited to their normal duty equipment. The adversaries are unlimited, within reason and current threat guidance. Controllers will need radios, ESS/MILES controller guns, and perhaps flashlights and other items.
 - Vehicles - Types and numbers of test vehicles (vehicles that will be used by players or will be in the scenario play) must be determined. Additionally, any vehicles needed for test control purposes must be identified.
 - Uniforms and Clothing - The protective force players usually wear their normal uniforms. Adversary uniforms or clothing will depend on the scenario. Controllers/evaluators/observers will be issued some form of distinctive apparel, such as a traffic vest, cap, etc. Weather conditions should be taken into account, and cold weather or rain gear should be available, if needed.
 - Special Equipment - Special equipment to be used by the protective force players should be identified and should be limited to such equipment as they normally have available to them. Special adversary equipment needs must generally be identified early, so that equipment can be located and obtained before it is needed.
- Transportation - As necessary, arrangements must be made to transport all test participants to briefing areas, the test area, and the site of their specific assignment. Return transportation needs must also be identified and provided.
- Food/Drink - If the test involves outdoor activity in extreme weather conditions, either hot or cold, plans should be made to provide hot or cold drinks at appropriate places and times. Depending on the time and duration of the test, it may be appropriate to provide box meals to all test participants.

Safety

Safety must be considered during all planning activities. Safety considerations will vary with the type of test activity, but may include general personal safety, weapons safety, vehicle safety, aircraft safety, and availability of medical, fire, and ambulance services.

Every inspection-related performance test that has any safety implications, including most protective force performance tests, requires review by Independent Oversight and approval by DOE field element and/or site safety representatives. The safety representatives should be involved early and throughout the planning process so that potential safety problems can be solved in a timely manner without causing delay or cancellation of the test.

Standard safety plans and risk assessments exist for various types of performance tests, but the standard plans are frequently modified to accommodate the particular test and the site-specific conditions and requirements. Safety plans are developed by the site in accordance with local procedures. An example of a standard safety plan is provided in Appendix D.

Security

During any performance testing of protective force personnel or equipment, the security of the site must be considered. When personnel or equipment are taken off post or out of service for testing, or when personnel on post are carrying ESS/MILES weapons instead of live weapons, compensatory measures are frequently needed to provide for the minimum security needs of the facility. Any test, even a simple one involving only one or two security police officers on post, may require compensatory measures if the test has the potential to divert the attention of on-duty personnel from their normal responsibilities.

For most performance testing, test subjects are either brought in from off duty for testing, or they are relieved from their posts during the testing period; in these situations, other on-duty personnel provide the needed security. For some tests, such as no-notice tests at entry control portals, any needed compensatory measures would have to be more subtle, to avoid compromising the test element of surprise. For larger-scale tactical tests where all normal security posts in the test area are manned by players equipped with ESS/MILES weapons, the common compensatory measure is to place armed shadow force personnel in strategic locations in or adjacent to the test area. Shadow force locations must be off-limits areas, and all shadow force personnel must be under the positive control of a controller at all times.

The need for compensatory measures should be determined by the local operations office. Whether they are employed is a decision to be made by the trusted agent or his/her superiors. However, the Test Director/Exercise Coordinator does have an obligation to raise the question if he/she believes compensatory measures may be required. If compensatory measures are required, the Test Director/Exercise Coordinator has a definite interest in what they are and should be involved in their planning. As with any other planning consideration, the goal for these measures is to affect test realism and safety as little as possible. In this case, however, the final decision rests with the site, and the Test Director/Exercise Coordinator must rely on persuasion, if necessary, to influence a reasonable solution.

Evaluation

Evaluations of protective force performance tests are based on the requirements contained in various DOE policies. It is the topic team member's responsibility to identify the appropriate order citations that apply to a particular performance test. When necessary, he/she should also develop and provide an Evaluator Worksheet or Data Collection Form to assist evaluators. Examples of Evaluator Worksheets are provided in Appendix C.

The responsible Exercise Coordinator must make appropriate plans to debrief all evaluators, consolidate and reconcile their evaluations, and produce a statement of the results of the performance test.

Schedule of Events

A schedule of events helps tie test plans together and helps ensure that a time and place have been allotted for every required major test activity to be conducted on the day of the test. Items on the schedule should include all preparatory briefings or classes, equipment issues, test windows, debriefings, and equipment turn-in. The schedule of events is included in the test plan, when appropriate.

Briefings

Except for protective force personnel being tested on a no-notice basis, all participants usually receive some kind of briefing regarding the test and their parts in it. At a minimum, for even the simplest test, the controller(s) and evaluator(s) must be briefed on the scenario and their responsibilities. For many tests, three separate briefings are conducted: 1) a protective force player briefing, 2) an adversary player briefing, and 3) a controller/evaluator/observer briefing. Each briefing should be prepared by the responsible topic team member and should be tailored to the specific audience.

Protective force players are briefed on the objective and scope of the test, how they will be evaluated, simulations and control measures they need to be aware of, allowable weapons and equipment, the schedule of events, the safety plan, and the rules of engagement. They are not provided information about the adversary or about scenario events of which they would not be aware in an actual emergency situation.

Adversary players are briefed on the test objective, their mission, simulations and control measures, the safety plan, the rules of engagement, the schedule of events, the scenario, and any other information they need to know.

Controllers/evaluators/observers typically sit in on the protective force player briefing and are then separately briefed on their specific instructions and responsibilities, as well as more complete scenario details.

Planning Documents

The essential results of the planning activities described above are formally recorded on planning documents that are then approved and become official guidance for the conduct of the performance test. Depending on the size and complexity of the test, the planning documents will be prepared in one of two forms. For small-scale or simple tests, a standard site Performance Test Safety Plan may be used. For larger or more complex performance tests, a customized Performance Test Plan must be written.

Performance Test Safety Plan

The Performance Test Safety Plan is a printed, formatted form that addresses how specific hazards will be mitigated during the test. Appendix D provides an outline of the most common safety related issues which

must be addressed. Any necessary information not called for on the form may be added by attaching additional pages. This form is suitable for many of the performance tests conducted by the protective force topic team.

Performance Test Plan

Large-scale and complex performance tests require a formal plan that provides more detailed information than is included on the safety plan form. The Performance Test Plan is normally developed by the site and consists of a basic plan and several appendices and should be in accordance with DOE orders and/or manuals. The essential requirement is that all necessary information be included in the plan.

Approvals

Before a performance test can be conducted, the scenarios and simulations are approved by the appropriate persons. Generally, signatures required include those of:

Site:

- Exercise Director
- Senior Controller
- Federal Field Element Representative
- Vulnerability Assessment Representative

Independent Oversight:

- Test Director
- Exercise Coordinator

Coordination

A final word on planning involves the absolute need for coordination. As noted above, planning for some performance tests involves working out many details concerning facilities, personnel from various organizations, large quantities of equipment from various sources, and so forth. It is essential that the topic team test planner monitor the progress of those items assigned to the trusted agents, coordinate those items assigned to Independent Oversight and its support contractors, and coordinate as necessary with other topic teams.

A Performance Test Planning Checklist is provided in Figure A-1 to assist in ensuring that all critical areas have been addressed. This checklist is designed for a complex performance test; for simpler tests many of the entries will not be applicable.

Conduct

Although planning is the most difficult and time consuming part of many performance tests, test conduct is no less important. If the test plan is not properly carried out, the planning effort and all other resources spent on the test will have been wasted to some degree. The conduct of a test merely involves the execution of the

performance test plan. If the plan is detailed and thorough, the test should run smoothly from a control standpoint, and there should be built-in capabilities to deal with most unexpected events. However, there are still a number of tasks for the Test Director and Exercise Coordinator to accomplish during test conduct, as outlined below. Figure A-2 provides a Performance Test Conduct Checklist that may be used to ensure that necessary pre-initiation and post-test actions are accomplished.

Briefings

The conduct phase of a performance test begins with the first briefing. The content of the various briefings, outlined above, varies with the type of test. The briefings are the best and often only opportunity to ensure that all test participants receive all necessary information and instructions. The briefing presenter should ensure that all essential information, especially safety-related information, is understood by all personnel before a briefing is adjourned.

Final Coordination

Final coordination of all aspects of test preparation should be made before the test window is scheduled to open. This includes ensuring that all necessary participants are present, facility preparations are complete, and all logistical requirements have been met.

Control

Once the test begins, the Exercise Coordinator must monitor test events to ensure that:

- All pre-planned scenario events and injects are executed as planned.
- Controllers are provided necessary supervision and advice.
- Timely decisions are made to resolve any problems that may arise.
- Planned scenario events are adjusted as necessary.
- The test is conducted in a safe manner.
- The test is terminated when the appropriate conditions are met.

Figure A-1. Performance Test Planning Checklist**Planning/Scheduling**

- Identify site's test director/safety rep/senior controller/CAT point of contact for coordination purposes.
- Obtain site's FOF testing plan/procedure; review for thoroughness and acceptability.
- Review PF Security Incident Response Plan.
- Conduct day/night tours of site.
- Identify threat level to be tested against.
- View target locations to include initial safety walkdown.
- Obtain floor plans.
- Obtain listing of protective force posts, including protective force weapons/armor/ammo, etc.
- Identify exercise command structure.
- Identify insider and level.
- Determine whether wounded players will be played.
- Note whether on-duty shift or volunteer overtime players will participate.
- Identify test objectives, scenario(s), and/evaluation criteria.
- Identify critical safety concerns, e.g., smoke, contamination, carbon monoxide.
- Issue/collect/file trusted agent forms, keeping the number of trusted agents to a minimum.
- Identify protective force configuration (weapons, personal protective equipment, etc.) and review LSPT data indicating donning time for personal protective equipment.
- Coordinate agreement on the following and communicate to CATs/evaluators.
 - Task times
 - Detection point
 - Use of red herrings
 - Rules of engagement
 - Objects to be used as targets
 - Simulations (such as aircraft)
 - Access to elevated positions
 - "Snapshot" for starting location of protective force (evaluators only)
 - Whether barriers will be breached or simulated
 - Tag-off process (as necessary)
 - Use of drop cards vs. actual alarm inputs
 - Whether a player is allowed to take other players' equipment and/or ammo
 - Terminology of freeze, halt, hold, danger close, etc.
 - Whether knives are acceptable equipment
 - Use of smoke/bangs
 - Speed limits/safety requirements for vehicles
 - Contingency LSPTs if needed.
- Obtain copy of Performance Test Plan.
- Obtain written concurrence on scenarios, contingency LSPTs, and simulations.

Logistical Support Activities

- Identify and obtain site-specific training and dosimeters for CATs and evaluators.
- Coordinate scheduling of CATs.
- Obtain practice location.
- Ensure safety brief for CATs, including light anti-tank weapon (fire hazard) smoke and stun grenades.
- Identify MILES/CAT equipment necessary (including ammo) and arrange for transport.
- Identify dud handling procedure/personnel.
- Issue equipment to CATs and verify that blank firing adaptors and live round inhibitors are installed.
- Schedule brief-back.
- Identify and assign evaluators, including area evaluators.
- Ensure safety brief for evaluators.
- Identify and obtain radios for CATs and evaluators.
- Issue radios for evaluators.
- Obtain protective force radio for Exercise Coordinator/test director to monitor communications.

Figure A-2. Performance Test Planning Checklist

Evaluator Briefing

- Test objectives and scenarios, including process (e.g., live ammo check, controller calls)
- Schedule of events
- PF anticipated actions
- PF codes and special call signs
- Evaluator assignments
- Radio channel
- Shadow force response process
- Shadow force locations
- Off-limits areas.

Executing FOF

- Conduct safety walkdown day before.
- Conduct CAT brief-back to the site day before.
- Communicate danger/off-limits areas.
- Signal for shadow force response (e.g., lights and sirens for freeze).
- Conduct radio check of CATs and evaluators.
- Open performance test window.
- Radio roll call for freeze.
- Incorporate scenario changes based on inspection.
- Ensure adequate controllers for shadow force.
- Ensure exercise control cell has communications to shadow force.
- Ensure live ammunition pat-down.
- Ensure safe deployment of diversionary devices and smoke.
- Close performance test window.

After Action

- Download weapons turn-in data.
- Police area for brass/exercise equipment.
- Conduct “hot wash.”

Analyze Data For Trends

- Brief site personnel as to initial good/bad comments.
- Conduct summary validation with site.
- Identify lessons learned.
- Finalize report.

Debriefing

When test play is terminated, a debriefing with participants should be conducted immediately by the Exercise Coordinator. For larger-scale ESS tests, the debriefing may involve only controllers and evaluators. During the debriefing, players from both sides, as well as controllers/evaluators, review the test events. The purpose of the debriefing is to ensure that all relevant information regarding test events is revealed and understood. The debriefing is quite important and is necessary to develop a clear understanding of test events, because in many tests, each participant is able to actually observe only a small part of the test activity. It is particularly important to evaluators, who must be able to place their own observations into the context of overall test events.

APPENDIX B

PERFORMANCE TEST DESCRIPTIONS AND COMMENTARY

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Appendix B: Performance Test Descriptions and Commentary

INTRODUCTION

This appendix contains generic performance test descriptions for a representative selection of the most commonly performed Duties performance tests. When performance tests are conducted for other subtopic areas, they are usually adaptations of the Duties performance tests. The results of Duties performance tests are always analyzed for their implications in other areas and factored in accordingly.

The generic performance test descriptions follow the standard outline format employed by Security Evaluations for protective force inspections. The level of detail included in each outline is the level customarily required. Each individual outline is followed by a brief commentary, which incorporates safety, planning, and conduct considerations not addressed in the outline descriptions. Safety plans will be developed by the site or existing plans may be used.

The individual performance test descriptions are grouped according to the standard subheadings used in various policy documents that describe protective force duties. Some subheadings will contain no generic descriptions. These represent areas where performance tests are not commonly administered or where the subject matter to be tested is ancillary to that of other areas. In these instances, the commentary discusses the alternative methods of data collection employed.

GENERAL SKILLS AND KNOWLEDGE

Identification, Observation, Assessment, and Reporting

The three standard performance tests in this area include two patrol and observation tests (interior and exterior) and the critical asset identification test, which are described below. Many different variations can be developed from these tests to provide data on identification, observation, assessment, and reporting skills. Many other performance tests (chiefly those discussed under the headings of Individual and Team Tactics and Access and Egress Control) also contribute useful data related to these criteria.

- Exterior Patrol and Observation Test
 - Objective: To test the awareness and capacity for observation of mobile exterior patrols and fixed-post personnel.
 - Scenario: An item of equipment, such as a ladder, is placed adjacent to the perimeter fence, in a location that can be observed by fixed-post personnel or roving patrols. The item will be clearly located within the designated clear zone. A label will be affixed to the item, identifying it as a performance test item and instructing the finder to complete all necessary notifications, clearly indicating that these notifications are in response to an exercise situation.

Evaluation criteria:

- 1) Do patrol personnel maintain proper patrol routes and observe irregularities within their patrol areas?
 - 2) Do fixed-post personnel properly observe irregularities within their assigned areas of observation?
 - 3) Do these personnel take proper action and make appropriate notifications when irregularities or violations are observed?
- Safety plan: A safety plan will be completed for this performance test.

Commentary

This test is relatively simple to organize and administer. The primary difficulty encountered is the placement of the test object in the clear zone without being detected by non-protective force personnel (which invalidates the test). This difficulty is compounded by the need to run multiple iterations of this test, at different locations and on different shifts, in order to create a representative sample. The most effective procedure for overcoming the first difficulty has been to run these tests at the end of the day shift, when the attention of non-security personnel is focused on other matters, and to have the site point of contact arrange for the item to actually be placed by site construction or maintenance personnel, whose coming and going near the perimeter area tend to arouse less notice.

This test may be easily adapted to fit a variety of locations other than a protected area perimeter. It also can provide useful information on equipment (for example, effectiveness of perimeter lighting or the capability of night vision devices) and facilities (fields of observation from fixed posts).

- Critical Asset Identification

- Objective: To evaluate critical asset identification capabilities of individual protective force personnel.
- Scenario: Protective force personnel are required to identify photographs of authentic critical assets, which are intermingled among numerous other photographs of spurious nuclear weapons components, nuclear devices, special nuclear material (SNM), or other material resembling critical assets stored at the respective site. The test should not be limited to identification, but should also require personnel to identify likely storage locations and indicators for unauthorized movements/shipments of critical assets.
- Evaluation criteria:
 - 1) Are protective force personnel able to quickly identify critical assets?
 - 2) Are protective force personnel familiar with likely storage locations of critical assets?

- 3) Are protective force personnel able to identify indicators of unauthorized movements/shipments of critical assets (e.g., lack of specified paperwork or dispatch to a particular type of alarm)?
- Safety plan: A safety plan will be completed for this performance test.

Commentary

This test is relatively simple to organize and administer. The primary difficulty encountered is displaying all photographs in a manner that does not indicate which photographs are false. This difficulty is compounded by the fact that many photographs of critical assets may be classified. One method of circumventing this obstacle is to place all photographs in identical document protectors, place opaque tape over portions of the document protector where classification markings are visible. This performance test may be employed as part of a larger “shift readiness” performance test, which typically includes numerous, easily administered performance tests where a representative sample of the protective force is selected for participation.

Weapons-Related Skills

Numerous performance tests can be performed in this area; most of them, however, are variations on a single theme, which is summarized in the firearms proficiency test outline included below. Many of the criteria in this area relate to such skills as weapons handling and target identification, which can be tested without the use of live fire. Many of the Individual and Team Tactics performance tests can provide data relating to these criteria.

- Firearms Proficiency Test
 - Objective: To evaluate the ability of the protective force to meet U.S. Department of Energy (DOE)-established firearms proficiency standards.
 - Scenario: A representative sample of security police officers (SPOs) is selected to fire the DOE-approved course for the weapons employed by the protective force. Shooters will be under the direction of site firearms instructors. The courses of fire will consist of the DOE-approved day-and low-light handgun courses.
 - Evaluation Criteria:
 - 1) Is the range operated in accordance with accepted safety procedures?
 - 2) Does the instructor manage the qualification course in an appropriate and effective manner?
 - 3) Are shooters capable of passing the qualification course?
 - Safety plan: A safety plan will be completed for this performance test. The performance test will be conducted in accordance with all site-approved range safety procedures.

Commentary

This basic outline is adaptable to virtually all live-fire, limited-scope performance tests. The outline appears very simple, almost cursory, but it fully expresses the most important underlying premises for these performance tests. First, inspectors, no matter how qualified, do not supervise shooters. Supervision is provided by the site's qualified firearms instructors, who are most familiar with the facilities and whose terminology is that with which the shooters are most familiar. Second, the course of fire is one for which the shooters have been trained. Acting upon these premises should eliminate any controversy about safety (at least so long as the site itself is currently operating a safe firearms training program — if inspectors have any doubt about this, *no* firearms testing should be performed).

This approach also permits the performance test to serve data collection needs in the Training area, as well as the area of weapons-related skills under Duties. If shooters cannot meet the site's own approved standard, then there is reasonable evidence of a training problem.

The outline can also be adapted to courses of fire other than qualification-type courses. It can, for example, also be used in the case of live-fire "stress" courses or other specialized courses of fire. Since these courses are not standardized at most DOE facilities, course development and detailed safety plans must be developed in conjunction with site firearms instructors and safety personnel. As in all live-fire activities, safety is the highest priority.

Individual and Team Tactics

The performance tests discussed in this section are duress response, alarm response, containment operations, denial operations, and building entry/clearing. These performance tests can be performed on a very limited scale. They may be elaborated or combined to create large-scale exercises that test a broad range of protective force capabilities (with appropriate planning and coordination). Limited-scale duress response and alarm response tests are frequently run as no-notice tests. Tests involving an adversary element are generally engagement simulation system/multiple integrated laser engagement system (ESS/MILES) enhanced and therefore subject to the standard ESS/MILES safety plans and rules of engagement. Taken together, they represent an extremely useful and flexible set of tests, which can yield worthwhile data in this area and in many other Duties areas.

- Duress Response Test
 - Objective: To determine whether the central alarm station (CAS) operator is able to perform required response functions and whether the protective force can conduct an effective response, using sound individual and team tactics.
 - Scenario: The inspection team initiates a no-notice duress test by having an on-duty SPO activate his duress instrument because he feels faint and is about to pass out. Receipt of the duress alarm, reporting, and dispatch of protective forces will be monitored at the CAS. Actions of the responding forces will be evaluated at the scene.

- Evaluation criteria:
 - 1) Is the CAS being properly monitored?
 - 2) Is dispatch of security patrols prompt?
 - 3) Are protective force communications effective?
 - 4) Are proper individual and team tactics demonstrated?
- Safety plan: A safety plan will be completed for this performance test.

Commentary

Properly conducted, even a small-scale, limited-resource duress response test can yield data on a wide range of areas such as command and control; alarm station operation; individual tactics; team tactics; communications; and observation, assessment, and reporting. The use of an on-duty SPO obviates the need for additional role players, yet gives responders something concrete to assess (for example, do they observe the SPO slumped at his post, do they attempt to raise him on the radio, what conclusions do they draw?). Depending on response procedures at the site and additional scenario inputs, the test can also drive a broader range of tactical actions.

It is vital to stress that both the initial duress alarm and all subsequent communications be accompanied by appropriate notification that these are exercise-related activities. It is also necessary to ensure that appropriate response exercise safety procedures be carefully reviewed for each oncoming shift during the period in which test exercises are to be conducted.

- Alarm Response Performance Test

- Objective: To evaluate the ability of the protective force to respond to an alarm in a safe, effective manner.
- Scenario: An alarm will be activated by a trusted agent. When the alarm annunciates at the CAS, the CAS operator will be advised by a controller that a test is taking place. Alternatively, the controller at the CAS may simply advise the CAS operator to dispatch patrols to an interior motion alarm within a critical structure as a scenario input. The CAS operator will initiate alarm procedures (with an accompanying notification that this is a drill). The protective force will then respond in accordance with established procedures.
- Evaluation criteria:
 - 1) Is the alarm received by the CAS?
 - 2) Is the alarm processed in a timely manner?
 - 3) Did protective force personnel don tactical equipment prior to response?

- 4) Do protective force personnel use proper individual and team tactics?
 - 5) Are the numbers of responding personnel adequate?
 - 6) Is the alarm adequately assessed before being reported as cleared?
 - 7) If the alarm was an interior motion alarm, did protective force personnel fully attempt to identify possible breach points (i.e., breach points through walls as to avoid causing a door alarm)?
- Safety plan: A safety plan will be completed for this performance test.

Commentary

Regardless of how the alarm is initiated, there are few significant differences between the Duress Response and Alarm Response performance tests. In small-scale, no-notice versions, there will be no role player (which is a positive safety factor). In larger-scale, ESS/MILES-enhanced tests, Composite Adversary Team (CAT) role players may be used.

Other considerations are noted in the Commentary section under Duress Response, above.

- Building Entry/Clearing Performance Test
 - Objective: To evaluate the effectiveness of the special response team in planning and executing a building entry and clearing operation.
 - Scenario: In a simulated containment situation, the special response team is required to plan and execute a building entry and clearance mission against a simulated adversary force.
 - Evaluation criteria:
 - 1) Are command and control effective?
 - 2) Are planning and coordination effective?
 - 3) Are individual and team tactics sound?
 - Safety plan: A safety plan will be completed for this performance test.

Commentary

When this is conducted as a stand-alone performance test, adversary elements are pre-positioned within the designated building and protective force personnel begin from established containment positions around the building. When conducted as part of a sequence of Alarm Response/Containment/Building Clearing tests, the action may be allowed to flow in a less structured manner, although adversary elements must eventually barricade themselves in the target location to drive the scenario to the building entry stage. Building Entry/Clearing tests should be performed with active adversaries and ESS/MILES enhancement. This test yields data for a wide variety of areas other than Individual Tactics.

Use of Individual Special Purpose and Duty Equipment

Typical performance tests in this area simply require that protective force personnel demonstrate the required skill in operating the specified items of equipment. Much performance testing in this area can be achieved indirectly from exercises in the Individual and Team Tactics and Access and Egress Control areas. (Examples would include the employment of night vision devices in tactical exercises or the use of metal detectors during search tests.) More systematic evaluation of the ability of protective force personnel to use this equipment is usually conducted as part of post visits, with the individual SPO being interviewed concerning his/her knowledge of the use of the equipment and being observed demonstrating his/her understanding of the equipment. One such example is the Donning of Tactical Equipment Performance Test.

- Donning of Tactical Equipment Performance Test
 - Objective: To evaluate the speed and proficiency at which protective force personnel are able to don tactical equipment.
 - Scenario: During a two-part, timed exercise, protective force personnel are required to don tactical equipment from the same configuration as equipment normally available on post/patrol. Part one typically includes donning equipment such as body armor, a tactical vest with additional magazines, and assuming a low-ready position with the primary firearm. Part two of the timed exercise entails donning and clearing the chemical protective mask and assuming a low-ready position with the primary firearm.
 - Evaluation criteria:
 - 1) Are personnel able to easily and rapidly don tactical equipment?
 - 2) What are the time requirements for personnel to don tactical equipment and assume a low-ready position with the primary firearm?
 - 3) What are the time requirements for personnel to don and clear the chemical protective mask and assume a low-ready position with the primary firearm?
 - Safety plan: A safety plan will be completed for this performance test.

Commentary

This performance test may be performed as part of a comprehensive shift readiness test or during post/patrol visits. Due to the obvious safety considerations and as a pro-active safety measure, a training aid may be utilized in lieu of actual firearms. The data collected as part of the test provides realistic equipment donning timelines for protective forces, which may be used to supply appropriate delay times during force-on-force exercises.

Driving Skills

Routine driving skills are observed during visits to roving vehicle posts. Emergency driving skills are evaluated by observation during the course of tactical exercises. Document review may also be employed to check emergency vehicle operator certification training records.

Communications Skills

Communications skills are evaluated by observation during post visits. Further data in this area are generated during tactical exercises.

First Aid and Fire Protection

Document review is employed to evaluate training and certification in these particular areas. Protective force personnel may also be interviewed concerning their knowledge in this area and may be asked to demonstrate specific first aid techniques. Formal performance tests, however, are generally not employed for data collection in this area.

Access and Egress Controls

Performance tests conducted in this area include identification of personnel (badge check), entry/exit search of hand-carried parcels, and vehicle search performance tests. These performance tests are usually supplemented with post visits to access control points, observation of personnel carrying out these tasks, and interviews with these personnel.

- Identification of Personnel Test
 - Objective: To evaluate the SPO's adherence to specified badge check procedures and ability to prevent misuse of badges to evade access and egress controls.
 - Scenario: Two badged employees are directed to exchange valid badges before entering the security area. Alternatively, fake badges containing a variety of errors are employed in attempts to enter the security area. The inspection team will observe the SPO's performance at this control point before, during, and after these attempts. Such attempts will be repeated using various personnel at other access control points and on other shifts to form a representative evaluation.
 - Evaluation criteria:
 - 1) Does the SPO understand and apply the identification of personnel procedures?
 - 2) Can the identification of personnel process be defeated by misuse of the badging system, permitting access of unauthorized personnel to critical areas?

Commentary

Although these are among the simplest of performance tests to conduct, there are difficulties that must be overcome. First, inspectors and CAT members become well-known faces at access control points. For this reason, the most suitable role-players for these tests are regular facility employees. However, care must be taken in selecting these personnel to ensure that their identities are not also well known to the SPO on post. The site point of contact should employ a suitable number and variety of these personnel to permit a significant range of performance tests.

A second consideration is that the inspector and the point of contact must be near the test location to observe the test. Their presence tends to raise the alertness level of post personnel, which can invalidate the test. Inspection personnel must therefore attempt to maintain a low profile while observing these tests.

- Entry/Exit Search of Hand-Carried Parcels Test
 - Objective: To evaluate the SPO's ability to conduct an effective search of hand-carried parcels while processing pedestrian access.
 - Scenario: The inspection team places items of contraband, simulated classified information, and metal objects configured to represent SNM or instruments of sabotage in briefcases, lunch pails, and other hand-carried containers. These will be carried by badged employees attempting to enter or exit appropriate security areas. The inspection team will observe the parcel search actions of the SPO during this attempt.
 - Evaluation criteria:
 - 1) Does the SPO understand the procedures governing search of hand-carried parcels?
 - 2) Does the SPO make proper use of available search equipment (X-ray or metal detectors) as specified in post orders?
 - 3) Is the SPO capable of conducting an effective search of a hand-carried parcel?
 - 4) Does the SPO understand the correct actions to be taken and notification to be made when discovering:
 - a) Contraband
 - b) Classified information
 - c) SNM
 - d) Weapons or explosives?
 - Safety plan: A safety plan will be completed for this performance test.

Commentary

Most of the considerations discussed under identification of personnel test also apply to the personnel search tests. In addition, great care must be exercised to ensure that when the simulated prohibited item used might represent an immediate threat to the protective force personnel on post (e.g., a weapon or explosive device),

that the test itself is halted *as soon as the item is detected*. Once the SPO has been informed that a test has taken place, he/she may be allowed to continue with the notification portions of the test.

- Vehicle Search Performance Test
 - Objective: To determine the SPO's understanding of search procedures and his/her ability to apply these procedures effectively.
 - Scenario: An item of contraband is placed in a vehicle subject to search at an access control point. The inspection team will observe the actions of the SPO in conducting the search to determine whether correct procedures are followed and the item is discovered.
 - Evaluation criteria:
 - 1) Does the SPO understand which vehicles are to be searched?
 - 2) Does the SPO understand how to conduct a proper search?
 - 3) Does the SPO understand the proper procedures to be followed when a prohibited item is discovered?
 - Safety plan: A safety plan will be completed for this exercise.

There are two specialized variants of this plan, for use in particular vehicle search conditions. The first focuses on the discovery of explosives. The second concerns attempts to conceal SNM on an exiting vehicle.

- Vehicle Search Performance Test (explosives)
 - Objective: To determine the SPO's understanding of search procedures and of procedures to be followed when explosives are discovered, and to determine the SPO's ability to take appropriate and effective action based on these procedures.
 - Scenario: An immediately recognizable simulated explosive device is hidden in a vehicle subject to 100 percent search or random search. The SPO will search the vehicle in accordance with prescribed procedures. If the device is discovered during the search, the SPO will be given the opportunity to make the appropriate notifications. The inspection team will observe the actions of the SPO conducting the search, other SPOs on the scene, the CAS operator, and the site security commander. If the device is *not* discovered during the search, the test will be halted and the device pointed out to the SPO on the scene; then the response and notification portions of the drill will be completed as described above.
 - Evaluation criteria:
 - 1) Does the SPO understand how to conduct a proper vehicle search?
 - 2) Does the SPO understand the appropriate actions to be taken and notifications to be made when explosives are discovered?

- Safety plan: A safety plan will be completed for this performance test.
- Vehicle Search Performance Test (SNM theft)
 - Objective: To determine the SPO's understanding of vehicle search orders, regulations, and procedures and the SPO's ability to apply this understanding to prevent theft of SNM.
 - Scenario: A metal object or container, configured and labeled to represent shielded SNM, is placed in a contractor vehicle (i.e., a vehicle subject to 100 percent search upon leaving the protected area). The driver will present the vehicle for search at an appropriate portal. The inspection team will observe the actions of the SPO at the portal during this event.
 - Evaluation criteria:
 - 1) Does the SPO understand when vehicles are to be inspected/searched?
 - 2) Does the SPO understand how to conduct a detailed and thorough inspection and search of a vehicle?
 - 3) Does the SPO understand the appropriate actions and notifications to be made when SNM is discovered?
 - Safety plan: A safety plan will be completed for this performance test.

Commentary

Most of the considerations concerning selection of role-players to drive the vehicles are the same as those discussed in relation to the identification of personnel performance tests. Similar care must be exercised in the selection of vehicles that are both 1) subject to 100-percent search, and 2) not likely to arouse suspicion simply by virtue of their appearance.

The explosives variant of this test recognizes that procedures at many sites call for the SPO to immediately report the discovery of a prohibited item to a supervisor; this task is done by radio at many vehicle search locations. Procedures, however, also call for radio silence in the presence of explosive devices and the immediate evacuation of the immediate area. This variant is designed to test not only the SPO's ability to conduct a search, but also his/her ability to think clearly when the search uncovers a serious threat.

The SNM theft variant recognizes that special circumstances may apply at SNM portals. It also emphasizes the importance of selecting test objects that present a fair test to the SPO (since SNM shielding could come in many innocent-looking shapes and sizes).

Alarm Station Operator

Performance testing of alarm station operators generally is carried out in conjunction with alarm response and other tactical performance tests. These tests are supplemented by post visits, observation, interviews, and document reviews.

Self-Defense

Because of the possibility of injury in conducting performance tests in this area, data are also collected by having a random sample of personnel demonstrate competence in this area in a training environment (using mats and other safety equipment), with the site self-defense instructor serving as a sparring partner. This approach may also provide useful data with respect to self-defense portions of the Training subtopic.

- Use of Force, Apprehension, and Search Performance Test
 - Objective: To evaluate the ability of SPOs to apply DOE policy on the use of force in practical site-specific scenarios; additionally, to evaluate the application of self-defense, subject control, and arrest techniques.
 - Scenario: A representative sample of SPOs is selected for this test. These personnel will receive a detailed briefing, which will stress adherence to safety procedures and the limitations governing the application of physical force during these tests. In particular, the briefing will stress the special safety prohibitions that will govern scenarios in which the baton might be drawn. A non-firing exercise handgun will be substituted for the SPO's service weapon during the performance test.

SPOs will encounter a variety of situations in an office building requiring them to take action and apply some degree of force, up to and possibly including deadly force, to resolve the situation. The scenarios may include an altercation among employees, theft of classified documents, burglary, intoxicated or psychologically disturbed employee, and/or suicidal employee. The scenarios will be played by CAT members. SPOs will be required to demonstrate a range of self-defense, subject control, and arrest techniques. SPOs may also be required to draw a baton or a non-firing exercise handgun, substituted for their service weapon.

- Evaluation criteria:
 - 1) Does the SPO apply only the amount of force necessary and in compliance with DOE policy to resolve the situation while protecting his/her life and the lives of others?
 - 2) Does the SPO identify and preserve items of evidence?
 - 3) Does the SPO demonstrate proper techniques for approaching, handling, and controlling hostile and non-hostile subjects?
 - 4) Does the SPO use proper self-defense techniques?
 - 5) Does the SPO use proper arrest and search techniques?
- Safety plan: A safety plan will be completed for this performance test. This plan will incorporate special controls upon the application of physical force in contact situations.

Commentary

This test may be repeated with variations to test many different responses. The variations are introduced by having role players respond in different ways during the scenarios. Great care must be given in coaching the role players to perform in ways that will elicit the desired responses. Great care must also be taken to ensure that role players do not offer levels of resistance that could lead to uncontrolled grappling, with its attendant risk of injury; therefore, role players will become passive during actual physical contact, allowing themselves to be controlled and handcuffed. This “passive role” must be written into the test plan and safety plan, and role players must be fully briefed on the limitations on level of resistance. This issue must also be addressed thoroughly in briefing protective force participants prior to initiating the scenarios. Again, it should be emphasized that the focus of these drills is on the selection of the right techniques and levels of force. Tests of the SPO’s actual ability to fully apply restraint techniques must be conducted only in an appropriate training environment, with proper safety equipment and a qualified sparring partner (typically, the site’s own self-defense instructor).

In addition to providing data in this area, these exercises provide useful information on areas including individual and team tactics, and observation, assessment, and reporting. This latter area can be served by having each participating SPO complete a protective force standard incident report at the scenario site. A comparison of this report with the actual events observed by controllers during the scenario yields data concerning the SPO’s ability in this area.

- Shoot and No-Shoot Tabletop Performance Test
 - Objective: To evaluate the ability of SPOs to apply DOE policy on the use of force in a tabletop scenario.
 - Scenario: Individually and in a notional tabletop forum, SPOs receive a detailed scenario briefing that includes types of alarms that have been communicated by the CAS and other pertinent environmental descriptors. As the scenario unfolds, the SPO is shown several photographs of adversaries in the context of varying threat levels.
 - Evaluation criteria:
 - 1) Given a photograph and a scenario briefing, the SPO must correctly identify the appropriate level of force by responding, “shoot” or “no-shoot” for each photograph/scenario.
 - Safety plan: A safety plan need not be completed for this performance test.

Commentary

This test may also be configured to test the entire force continuum simply by incorporating varying levels of threat. Other than the obvious safety benefits gained when compared to the practical format, this method of testing permits inspectors the ability to test a significantly larger pool of participants with fewer resources and within tighter time constraints.

Supervisory Skills

This area is evaluated using document review, interviews, and observation. Supervisory skills are also demonstrated during many of the performance tests described under Individual and Team Tactics and Access and Egress Control.

- Command and Control Tabletop Exercise
 - Objective: To evaluate the notional command and control capabilities of protective force supervisors and other first responders to direct assets and implement site plans for a given security incident.
 - Scenario: Tabletop participants selected for testing usually include a representative sampling of shift supervisory personnel, CAS operators, and other key first responders who may be working on any one given shift. Testing is conducted in a notional tabletop forum, where participants are arranged around a sand table mock-up of site facilities and/or detailed facility maps. An inspector begins by providing participants with a detailed scenario briefing for a chemical attack, recapture/recovery of SNM, emergency evacuation, or similar incident. The briefing should be configured to include types of alarms that have been communicated by the CAS and other pertinent environmental descriptors that require an escalating level of response. As the scenario unfolds, participants are shown various photographs or provided with key elements of information that would involve specific response actions noted in site incident response plans. Participants should be permitted reasonable amounts of time to utilize appropriate plans, procedures, and documentation while articulating response actions, issuing orders, making notifications, simulating the deployment of an entire protective force shift, and requesting information and intelligence, as appropriate. Facility maps or a sand table mock-up should be utilized to illustrate each participant's response actions.
 - Evaluation criteria:
 - 1) Are participants able to quickly articulate required/appropriate response actions?
 - 2) Are participants familiar with associated plans, procedures, and memoranda of understanding?
 - 3) Are participants able to collectively execute response plans and/or formulate appropriate solutions?
 - Safety plan: A safety plan need not be completed for this performance test.

Commentary

This test may be repeated with scenario variations to test many different responses. Reviewing a variety of response procedures and vulnerability assessments, and identifying specific actions required for a given incident will assist in the development of challenging scenarios. Great care should be given to inconspicuously prompt participants to act upon the desired scenario inject. A comparison of test results with the actual events observed by controllers during the force-on-force exercise yields valuable data concerning the overall command and control capabilities of the protective force.

Knowledge of Laws, Policies, Regulations, and Orders

This area is generally evaluated by observation during performance testing in other areas and during post visits. Interviews and written knowledge tests are also employed.

CANINE HANDLING

Evaluation of canine handling is generally performed by having the handler and his/her dog demonstrate their capabilities to an inspector. With appropriate safety precautions, canine team performance can also be tested in conjunction with other performance tests such as building entry/clearing and vehicle search.

AVIATION

Aviation operations are tested in conjunction with system performance tests and large-scale tactical limited-scope performance tests requiring the employment of aviation assets. Further evaluation is conducted by reviewing certification records and other documents of aviation personnel and by interviewing these personnel.

EXPLOSIVE ENTRY TECHNIQUES

The tactical context of these techniques is generally simulated as part of other tactical exercises. Further evaluation is conducted by interviewing protective force explosives technicians and tactical personnel.

PLANNING TACTICAL ASSAULTS

This area is evaluated as part of the various tactical exercises described above, supplemented by observation and interviews with shift supervisors and tactical team leaders.

SNIPER/OBSERVER TEAMS

Tactical criteria in this area are evaluated by observing the participation of these teams in tactical exercises. Marksmanship capabilities of these teams will be evaluated in an appropriate range environment, under the guidelines described above for firearms proficiency testing.

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APPENDIX C

EVALUATION CRITERIA AND WORKSHEETS

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Use of Force/Deadly Force Performance Test	C-72
HS-61 Morale Questionnaire.....	C-73
Force-on-Force Evaluation Sheet	C-76

Appendix C: Evaluation Criteria and Worksheets

EVALUATION CRITERIA

Evaluation of protective force performance during performance tests is normally based on the requirements of U.S. Department of Energy (DOE) policy documents and other applicable documents.

Evaluator Worksheets

It is often helpful, even necessary, to develop Evaluator Worksheets to assist evaluators in recording, analyzing, and evaluating performance. These worksheets are particularly useful for complex performance tests and those that employ numerous evaluators. They help ensure that all evaluators know which criteria are applicable to the specific test and assist in achieving complete evaluation coverage.

Once the appropriate criteria have been identified for a particular performance test, it is a simple matter to construct an Evaluator Worksheet. Evaluator Worksheets may be constructed for any performance test.

Sample Evaluator Worksheets

Sample evaluator worksheets provided are:

	Page
• Adversary Apprehension Performance Test (long form).....	C-3
• Adversary Apprehension Performance Test (abbreviated form).....	C-10
• Air/Ground Tactics Performance Test	C-11
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Evaluator's Worksheet

ADVERSARY APPREHENSION PERFORMANCE TEST

EVALUATOR NAME: _____ FACILITY: _____

ACTIVITY/LOCATION: _____ DATE: _____

CRITERIA

Authority

- A. Was a single security police officer clearly in charge?
- B. Were commands to adversaries given in a forceful manner?
- C. Were commands clear, simple, and non-conflicting?
- D. Were reactions to stalling or arguing appropriate and met with continuous commands to maintain authority?
- E. Did the bearing and conduct of security police officers clearly establish their authority over the adversaries?
- F. Was overall authority effective?

COMMENTS/JUSTIFICATION: _____

ADVERSARY APPREHENSION PERFORMANCE TEST

Application of Force

- A. Was the minimum level of legal force that is necessary applied to accomplish adversary apprehension?
- B. Was the minimum level of legal force that is necessary applied to prevent the adversaries' escape?
- C. Was the level of force excessive to the extent that it caused an escalation of the problem?
- D. Was the applied force effective, minimizing the danger to the security force and other non-hostile personnel?
- E. Was fire discipline and fire control maintained, with appropriate use of tactics, target acquisition, and selective fire?
- F. Did conditions justifying the use of deadly force exist before deadly force was applied?
- G. Was overall application of force appropriate?

COMMENTS/JUSTIFICATION: _____

ADVERSARY APPREHENSION PERFORMANCE TEST

Approach

- A. Were suspects placed in a position of incapacitation that provided a tactical advantage to the security police officers?
- B. Were suspects separated beyond reach from each other, yet remaining in full view of the security police officers?
- C. Was a search officer clearly designated?
- D. Did the movement of the search officer avoid masking the fire of the cover officer(s)?
- E. Was each adversary visually searched, from behind protective cover, prior to the approach?
- F. Did the visual search detect all observable details (e.g., weapons)?
- G. Did commands for the visual search facilitate easier observation of weapons?
- H. Upon sighting a weapon, did the security police officer announce that fact to his/her partner(s) and initiate an effective disarming technique?
- I. Was the approach handled appropriately overall?

COMMENTS/JUSTIFICATION: _____

ADVERSARY APPREHENSION PERFORMANCE TEST

Handcuffing

- A. Were handcuffs readily available to the search officer?
- B. Was maximum control maintained over the suspect while the handcuffs were being applied?
- C. Was the handcuffing technique used effectively and did it minimize the potential for injury to the suspect and security police officer?
- D. If steel handcuffs were used, were they double-locked?
- E. Were adversary's hands cuffed behind his/her back?
- F. Was the handcuffing procedure effective?

COMMENTS/JUSTIFICATION: _____

ADVERSARY APPREHENSION PERFORMANCE TEST

Body Search

- A. Were adversaries placed at a disadvantage?
- B. Were all areas of the body searched and all contraband discovered and removed?
- C. Was the search officer equipped with an appropriate weapon?
- D. Did the search officer keep his/her weapon secured in the holster?
- E. Was maximum control of the suspect maintained during the search?
- F. Did the searching officer avoid masking potential fire of the covering officer?
- G. Were adversaries denied access to security police officers' weapons?
- H. Overall, was the body search successful?

COMMENTS/JUSTIFICATION: _____

ADVERSARY APPREHENSION PERFORMANCE TEST

Removal

- A. Was maximum control maintained over suspects during removal?
- B. Did the removal technique minimize the potential for injury to suspects and security police officers?
- C. Was Miranda warning given if appropriate?
- D. Was removal accomplished safely and effectively?

COMMENTS/JUSTIFICATION: _____

Abbreviated Evaluator's Worksheet

ADVERSARY APPREHENSION PERFORMANCE TEST

SPO Name: _____

Facility: _____

Date: _____

	YES	NO
Did the SPO evaluate the situation correctly?	_____	_____
Did the SPO establish authority?	_____	_____
Were SPO commands clear, simple, and non-conflicting?	_____	_____
Were SPO reactions to suspect stalling or arguing appropriate?	_____	_____
Did the SPO request backup?	_____	_____
Did the SPO act as command officer to avoid confusion?	_____	_____
Did the SPO indicate that he/she had an arrest plan in mind?	_____	_____
Were weapons located in visual search handled immediately, effectively, and safely?	_____	_____
Did the SPO concentrate attention on the hands of the suspect(s)?	_____	_____
Was the SPO in maximum control and minimum danger when handcuffing and searching the suspect(s)?	_____	_____
Did the searching officer avoid masking potential fire during handcuffing and searching?	_____	_____
Was the search thorough? (All weapons found?)	_____	_____
Was the level of force appropriate?	_____	_____

Remarks: _____

Evaluator's Name: _____ Evaluator's Signature: _____

Evaluator's Worksheet

AIR/GROUND TACTICS PERFORMANCE TEST

EVALUATOR NAME: _____

FACILITY: _____

ACTIVITY/LOCATION: _____

DATE: _____

CRITERIA

Planning

- A. Were appropriate existing plans utilized?
- B. Did the air/ground team develop a viable ad hoc plan?
- C. Were alternative plans developed?
- D. Was the amount of time required to plan or discuss actions excessive?
- E. Was overall planning effective?

OVERALL COMMENTS/JUSTIFICATION: _____

AIR/GROUND TACTICS PERFORMANCE TEST

Individual Ground Tactics

- A. Were proper movement techniques (crawl, rush, etc.) used?
- B. Were cover and concealment used properly?
- C. Was minimum exposure maintained during firing?
- D. Was route selection sound?
- E. Were camouflage techniques used effectively?
- F. Were fire control and fire discipline maintained?
- G. Were individual movements such that covering fire was not masked?
- H. Was noise discipline maintained?
- I. Was light discipline maintained?
- J. Was the SPO aware of his/her overall surroundings?
- K. Were overall individual tactics sound?

COMMENTS/JUSTIFICATION: _____

AIR/GROUND TACTICS PERFORMANCE TEST

Ground Team Tactics

- A. Were covered and/or concealed routes used?
- B. Were alternate routes planned and used?
- C. Were tactical formations and dispersion used?
- D. Were exposed movements covered by observation and fire?
- E. Was effective coordination maintained?
- F. Were overall team tactics sound?

COMMENTS/JUSTIFICATION: _____

AIR/GROUND TACTICS PERFORMANCE TEST

Helicopter Search Procedures

- A. Was search pattern based on best available intelligence?
- B. Was search pattern methodical?
- C. Were altitude and air speed appropriate to threat and search mission?
- D. Was IR/FLIR used effectively?
- E. Was search light/landing light used effectively?
- F. Overall, were helicopter search tactics effective/efficient?

COMMENTS/JUSTIFICATION: _____

AIR/GROUND TACTICS PERFORMANCE TEST

Air/Ground Coordination

- A. Was mission commander appropriately located?
- B. Were adequate frequencies available for air/ground communications?
- C. Were air and ground force activities appropriately coordinated?
- D. Were air and ground activities mutually supporting?
- E. Were codes/call signs/procedures mutually understood?
- F. Were air and ground commanders familiar with each other's plans?
- G. Was air/ground coordination system capable of responding to changing situations?
- H. Overall, was air/ground coordination effective?

COMMENTS/JUSTIFICATION: _____

AIR/GROUND TACTICS PERFORMANCE TEST

Helicopter Tactical Employment

- A. Was helicopter exposure to hostile fire minimized consistent with mission requirements?
- B. Were air safety requirements appropriately observed?
- C. Was helicopter employment as a search element appropriate?
- D. Was helicopter employment as a blocking/screening element appropriate?
- E. Was helicopter employment as a weapons platform appropriate?
- F. Overall, was helicopter tactical employment sound?

COMMENTS/JUSTIFICATION: _____

Abbreviated Evaluator's Worksheet

ALARM RESPONSE PERFORMANCE TEST

SPO Name: _____

Facility: _____

Date: _____

	YES	NO
A. Was the alarm received by the CAS?	_____	_____
B. Was the alarm processed in a timely manner?	_____	_____
C. Was dispatch of security patrols prompt?	_____	_____
D. Did protective force personnel don tactical equipment prior to response?	_____	_____
E. Did protective force personnel use proper individual and team tactics?	_____	_____
F. Were the numbers of responding personnel adequate?	_____	_____
G. Were communications clear and understandable?	_____	_____
H. Was radio circuit discipline maintained?	_____	_____
I. Was security discipline maintained?	_____	_____
J. Were overall communications effective?	_____	_____
K. Was the alarm adequately assessed before being reported as cleared?	_____	_____
L. If the alarm was an interior motion alarm, did protective force personnel fully attempt to identify possible breach points (i.e., breach points through walls as to avoid causing a door alarm)?	_____	_____

ALARM RESPONSE PERFORMANCE TEST

Remarks: _____

Evaluator's Name

Evaluator's Signature

Evaluator's Worksheet

BUILDING CLEARING PERFORMANCE TEST

EVALUATOR NAME: _____

FACILITY: _____

ACTIVITY/LOCATION: _____

DATE: _____

CRITERIA

Command and Control

- A. Was the command authority within the area security force clear and effective?
- B. Was the command authority between separate elements clear and effective?
- C. Did the security force leaders control the actions of the security force?
- D. Was the succession of command pre-designated?
- E. Was any exchange of command appropriate and effective?
- F. Was overall command and control effective?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Planning

- A. Did viable response plans exist?
- B. Did viable building search plans and procedures exist?
- C. Was available time used to develop situation-specific plans?
- D. Was all available information used in developing situation-specific plans?
- E. Were all plans clear, complete, and concise?
- F. Did all personnel understand the plans?
- G. Was overall planning effective?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Assessment

- A. Did the on-scene security force properly assess all initial information, including alarm information?
- B. Did the assessment of the situation include conditions observed during approach and arrival at the scene (e.g., lights, open doors/window, suspicious vehicles)?
- C. Did the on-scene security force continue to assess all additional information as it became available until final resolution of the problem?
- D. Did overall assessment effectively contribute to successful mission accomplishment?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Containment

- A. Did containment positions provide cover and/or concealment?
- B. Did containment provide complete observation and fire coverage over the incident site?
- C. Were containment positions mutually supporting?
- D. Was containment effective?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Communications

- A. Were radios used excessively when other methods of communication were available and appropriate?
- B. Was radio circuit discipline maintained?
- C. Was radio discipline maintained?
- D. Were codes and authentication systems used?
- E. Were communications clear and understandable?
- F. Were communications effective?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Individual Tactics

- A. Was minimum exposure maintained during observation and firing?
- B. Was cover and concealment used properly?
- C. Were danger areas crossed tactically?
- D. Was noise discipline maintained?
- E. Was light discipline maintained?
- F. Was route selection sound?
- G. Were fire control and fire discipline maintained?
- H. Was individual movement covered by friendly observation or fire?
- I. Were SPOs aware of their total surroundings?
- J. Overall, were individual tactics sound?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Team Tactics

- A. Were movement techniques tactically sound?
- B. Were exposed movements covered by observation and fire?
- C. Was appropriate equipment (mirrors, flashlights, doorstops, etc.) available and used effectively?
- D. Was the building search conducted in a systematic fashion?
- E. Were cleared rooms identified or secured?
- F. Was the building entry diversion used effectively?
- G. Were appropriate weapons used by the search team?
- H. Were captured suspects removed through areas previously searched?
- I. Did the search team maintain 360-degree security?
- J. Did the search continue until the entire building was cleared?
- K. Did teams function in a coordinated manner?
- L. Were team tactics effective?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Suspect Handling

- A. Were commands to suspects given in a forceful manner?
- B. Were commands to suspects clear, simple, and nonconflicting?
- C. Were reactions to stalling or arguing appropriate?
- D. Did a single security police officer act as the command officer to avoid confusion?
- E. Did the security police officer show evidence through the command process that he/she possesses a firmly established prearranged arrest plan in his/her mind?
- F. Were any weapons that were located in the visual search of the suspects handled immediately, effectively, and safely?
- G. Did the security police officers concentrate their attention on the hands of the suspects?
- H. Were the suspects handcuffed and searched with the security police officer in maximum control and minimum danger?
- I. When possible, was the suspect covered by a backup officer's unmasked potential fire during the handcuffing and searching?
- J. Was the suspect search thorough, and were all weapons found?
- K. If a Miranda warning was necessary, was it given but not at the expense of diverting the security police officer's attention from a perceived threat?
- L. Was the removal of the secured suspect, when appropriate, done with maximum control and minimum danger to the security police officer, through a portion of the building already searched?

COMMENTS/JUSTIFICATION: _____

BUILDING CLEARING PERFORMANCE TEST

Application of Force

- A. Was the minimum level of force that is necessary applied to locate and neutralize all adversaries in the building?
- B. Was the level of force excessive to the extent that it caused an escalation of the problem?
- C. Was the applied force effective in minimizing the danger to the security force and other non-hostile personnel?
- D. Did all personnel maintain fire discipline and fire control, using appropriate tactics, target acquisition, and selective fire?
- E. Did conditions justifying the use of deadly force exist before deadly force was applied?
- F. Was the overall application of force appropriate?

COMMENTS/JUSTIFICATION: _____

Evaluator's Worksheet

COMMAND AND CONTROL PERFORMANCE TEST

EVALUATOR NAME: _____

FACILITY: _____

ACTIVITY/LOCATION: _____

DATE: _____

CRITERIA

Planning

- A. Were response contingency plans developed?
- B. Were contingency plans specific?
- C. Was available time used for detailed planning?
- D. Were plans mission-oriented?
- E. Were all plans viable?
- F. Were ad hoc plans rapidly developed to address the problem?
- G. Were the plans clear, complete, and concise?
- H. Was overall planning effective?

COMMENTS/JUSTIFICATION: _____

COMMAND AND CONTROL PERFORMANCE TEST

Assessment and Decision-Making

- A. Was incoming information correctly analyzed?
- B. Were decisions logical?
- C. Were decisions based on full evaluation of available information?
- D. Were decisions clearly and concisely disseminated to appropriate levels?
- E. Were overall assessments and decision-making effective?

COMMENTS/JUSTIFICATION: _____

COMMAND AND CONTROL PERFORMANCE TEST

Allocation of Resources

- A. Was the command element aware of all available security resources?
- B. Were the capabilities of all available security resources understood by the command element?
- C. Was the commitment of available resources based on the situation and target priorities?
- D. Was overall allocation of resources effective?

COMMENTS/JUSTIFICATION: _____

COMMAND AND CONTROL PERFORMANCE TEST

Command

- A. Was authority for the commitment of security assets clear and effective?
- B. Were plans made for authority in depth (succession of command)?
- C. Were transitions of authority appropriate, effective, and timely?
- D. Were overall command and control effective?

COMMENTS/JUSTIFICATION: _____

Evaluator's Worksheet

CONTAINMENT OPERATIONS PERFORMANCE TEST

EVALUATOR NAME: _____ FACILITY: _____

ACTIVITY/LOCATION: _____ DATE: _____

CRITERIA

Command and Control

- A. When security personnel initially arrived on scene, was one person clearly in charge?
- B. Was any exchange of command appropriate and effective?
- C. Was the succession of command pre-designated?
- D. Was authority between separate elements clear and effective?
- E. Did security force leaders control the actions of the security force?
- F. Were the commander and the command post located out of the line of fire?
- G. Was overall command and control effective?

COMMENTS/JUSTIFICATION: _____

CONTAINMENT OPERATIONS PERFORMANCE TEST

Planning

- A. Did viable containment plans exist?
- B. Were existing containment plans used?
- C. Was the available time used to make or alter situation-specific plans?
- D. Were all plans clear, complete, and concise?
- E. Did all personnel understand the plans?

COMMENTS/JUSTIFICATION: _____

CONTAINMENT OPERATIONS PERFORMANCE TEST

Communications

- A. Were radios used excessively when other methods of communication were available and appropriate?
- B. Were alternate methods of communication used where appropriate?
- C. Was radio circuit discipline maintained?
- D. Was security discipline maintained?
- E. Were codes and authentication systems used?
- F. Were communications clear and understandable?

COMMENTS/JUSTIFICATION: _____

CONTAINMENT OPERATIONS PERFORMANCE TEST

Tactics

- A. Were covered or concealed approach routes used?
- B. Did occupied positions provide cover or concealment?
- C. Were danger areas crossed tactically?
- D. Was noise discipline maintained?
- E. Was light discipline maintained?
- F. Were fire control and fire discipline maintained?
- G. Were movement techniques tactically sound?
- H. Were exposed movements covered by observation and fire?
- I. Were tactics sound and effective overall?

COMMENTS/JUSTIFICATION: _____

CONTAINMENT OPERATIONS PERFORMANCE TEST

Containment

- A. Did inner containment provide complete observation and fire coverage over the incident site?
- B. Were inner containment positions mutually supporting?
- C. Were all viable avenues of escape blocked or covered by observation and fire?
- D. Was there rapid compensation for gaps in inner containment caused by casualties?
- E. Were workers and bystanders safely evacuated from the incident site?
- F. Was an outer containment perimeter established?
- G. Did outer containment effectively isolate the incident site?
- H. Was containment effective?

COMMENTS/JUSTIFICATION: _____

Abbreviated Evaluator's Worksheet

CRITICAL ASSET IDENTIFICATION PERFORMANCE TEST

SPO Name: _____

Facility: _____

Date: _____

	YES	NO
A. Were PF personnel able to quickly identify critical assets?	_____	_____
B. Were PF personnel able to quickly identify critical asset storage containers?	_____	_____
C. Were PF personnel familiar with likely storage locations of critical assets?	_____	_____
D. Were PF personnel able to identify indicators of unauthorized movements/shipments of critical assets (e.g., lack of specified paperwork or dispatch to a particular type of alarm)?	_____	_____

Remarks: _____

Evaluator's Name

Evaluator's Signature

Evaluator's Worksheet

DEMONSTRATION PERFORMANCE TEST

EVALUATOR NAME: _____ FACILITY: _____

ACTIVITY/LOCATION: _____ DATE: _____

CRITERIA

Command and Control

- A. Was command authority within the area security force clear and effective?
- B. Was command authority between separate response elements clear and effective?
- C. Were plans made for authority in depth (succession of command)?
- D. Did all personnel know the chain of command?
- E. Did the response force leader control the actions of the security force(s)?
- F. Was any exchange of command appropriate, effective, and timely?
- G. Were responding security elements notified of changes in command?
- H. Was the authority line between the appropriate HQ/EOC and the on-scene commander clear and effective?
- I. Was overall command and control effective?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Planning

- A. Were response contingency plans developed?
- B. Were contingency plans specific?
- C. Was available time used for detailed planning?
- D. Were plans mission-oriented?
- E. Were all plans viable?
- F. Were improvised plans rapidly developed to address the problem?
- G. Did all personnel understand the plans?
- H. Were the plans clear, complete, and concise?
- I. Was overall planning effective?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Communications

- A. Were initial notifications and requests for assistance made quickly and clearly?
- B. Were radio communications relied on too heavily?
- C. Were alternative means of communications used where appropriate?
- D. Was communications security discipline maintained?
- E. Was radio circuit discipline maintained?
- F. Were codes and authentication systems used?
- G. Were communications understandable?
- H. Were communications between the scene and HQ/EOC effective?
- I. Were communications with demonstrators clear and effective, projecting a positive public image in a professional manner?
- J. Were communications with non-participants in the area clear and effective, projecting a positive public image in a professional manner?
- K. Were overall communications effective?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Team Tactics

- A. Were appropriate approach routes planned and used?
- B. Were tactical formations and dispersion used?
- C. Were movement techniques effective?
- D. Was supporting equipment used effectively?
- E. Were tactical vehicles used effectively?
- F. Were coordination, command, and control effective?
- G. Was control maintained over key areas and facility assets?
- H. Were tactical formations, such as crowd control skirmish lines, controlled to disallow independent action by individual SPOs?
- I. Were team tactics effective?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Application of Force

- A. Was the minimum level of legal force necessary applied to prevent the demonstrators from penetrating the facility?
- B. Was the minimum level of legal force necessary applied to protect facility assets?
- C. Was the minimum level of legal force necessary applied to effect arrests?
- D. Was the level of force excessive to the extent that it caused an escalation of the problem or an unnecessary adverse media event?
- E. Was the applied force effective in minimizing the danger to the security force, demonstrators, and non-participants?
- F. Did the level of force escalate appropriately; that is, did force increase in direct proportion to resistance?
- G. Was any use of chemical agents, batons, K-9s, etc., justified, proper, and effective?
- H. Did conditions justifying the use of deadly force exist before deadly force was applied?
- I. Was overall application of force appropriate?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Intelligence

- A. Was intelligence-gathering attempted in an organized, coordinated manner?
- B. Were essential elements of information identified and sought?
- C. Were all forces aware of their intelligence-gathering responsibilities?
- D. Were technical assets used for intelligence-gathering when available and appropriate?
- E. Was intelligence passed effectively to the EOC or appropriate level?
- F. Following the demonstration, were witnesses adequately debriefed?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Security Force Discipline

- A. Were security force members responsive to supervisors?
- B. Did security force members maintain a positive, confident attitude and professional manner?
- C. Did security force members' conduct project a positive self, community, and national image?
- D. Were pre-exercise preparations conducted in a professional manner?
- E. Were exercise conduct and safety rules observed?
- F. Was overall security force discipline adequate?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Response and Control

- A. Was the involved area isolated quickly and effectively?
- B. Was the arrival of the demonstration response force tactical and timely?
- C. Was the demonstration response force properly organized and equipped?
- D. Were normal facility activities permitted to continue as much as possible without compromising control or endangering non-participants?
- E. Were effective crowd control tactics used?
- F. Was the incident handled with minimum danger to security police officers?
- G. Was the incident handled with minimum danger to demonstrators?
- H. Was the incident resolved in a timely manner, with an appropriate balance between caution and speed?

COMMENTS/JUSTIFICATION: _____

DEMONSTRATION PERFORMANCE TEST

Arrest Procedures

- A. Were demonstrators given the opportunity to leave before being placed under arrest if appropriate?
- B. Were proper notifications (notice of trespass, notice of arrest) made to demonstrators if appropriate?
- C. Were effective commands used to cause the suspect to comply, and was reaction to non-compliance safe and effective?
- D. Were restraint and handcuffing effective and safe?
- E. Were search procedures thorough and effective?
- F. Were searches conducted by a security police officer of the same gender, when possible?
- G. Were proper procedures used in dealing with juveniles, if any were present?
- H. Was there an effective documentation and accountability system for arrestees' personal effects?
- I. Were arrestee movement techniques appropriate, effective, and safe for the security police officers and the demonstrators?
- J. Was control maintained over arrestees after they were placed in transport vehicles?
- K. Were post-arrest administrative procedures performed effectively?
- L. Was each suspect provided Miranda warning, if appropriate?
- M. Were arrest procedures effective?

COMMENTS/JUSTIFICATION: _____

Evaluator's Worksheet

INDIVIDUAL AND SMALL-TEAM TACTICS PERFORMANCE TEST

EVALUATOR NAME: _____

FACILITY: _____

ACTIVITY/LOCATION: _____

DATE: _____

CRITERIA

Planning

- A. Were appropriate existing plans utilized?
- B. Did the team develop a viable ad hoc plan?
- C. Were alternative plans developed?
- D. Was the amount of time required to plan or discuss actions excessive?
- E. Was overall planning effective?

COMMENTS/JUSTIFICATION: _____

INDIVIDUAL AND SMALL-TEAM TACTICS PERFORMANCE TEST

Communications

- A. Were radios used excessively when other methods of communication were available and appropriate?
- B. Were alternate means of communication (hand and arm signals, etc.) used?
- C. Were communications clear and understandable?
- D. Was radio circuit discipline maintained?
- E. Was security discipline maintained?
- F. Were overall communications effective?

COMMENTS/JUSTIFICATION: _____

INDIVIDUAL AND SMALL-TEAM TACTICS PERFORMANCE TEST

Individual Tactics

- A. Were proper movement techniques (crawl, rush, etc.) used?
- B. Were cover and concealment used properly?
- C. Was minimum exposure maintained during firing?
- D. Was route selection sound?
- E. Were camouflage techniques used effectively?
- F. Were fire control and fire discipline maintained?
- G. Were individual movements such that covering fire was not masked?
- H. Was noise discipline maintained?
- I. Was light discipline maintained?
- J. Was the SPO aware of his/her overall surroundings?
- K. Were overall individual tactics sound?

COMMENTS/JUSTIFICATION: _____

INDIVIDUAL AND SMALL-TEAM TACTICS PERFORMANCE TEST

Team Tactics

- A. Were covered and/or concealed routes used?
- B. Were alternate routes planned and used?
- C. Were tactical formations and dispersion used?
- D. Were exposed movements covered by observation and fire?
- E. Was effective coordination maintained?
- F. Were overall team tactics sound?

COMMENTS/JUSTIFICATION: _____

Abbreviated Evaluator's Worksheet

TACTICAL GEAR DONNING PERFORMANCE TEST

SPO Name: _____

Facility: _____

Date: _____

A. What are the time requirements for personnel to don tactical equipment (i.e., personal protective armor, tactical vest, etc.) and assume a low-ready position with the primary firearm?

Time: _____

YES **NO**

- | | | |
|--|-------|-------|
| 1. Are personnel able to easily and rapidly don tactical equipment? | _____ | _____ |
| 2. Do protective force personnel store their equipment in an easily accessible manner? | _____ | _____ |
| 3. Do protective force personnel understand when they should don their tactical equipment? | _____ | _____ |
| 4. Is protective force tactical equipment serviceable and appropriate for the mission? | _____ | _____ |

B. What are the time requirements for personnel to don and clear the chemical protective mask and assume a low-ready position with the primary firearm?

Time: _____

YES **NO**

- | | | |
|---|-------|-------|
| 1. Are personnel able to easily and rapidly don their chemical protective mask? | _____ | _____ |
| a. Straps correctly adjusted? | _____ | _____ |
| b. Positive pressure check? | _____ | _____ |
| c. Negative pressure check? | _____ | _____ |
| d. Air tight seal? | _____ | _____ |
| 2. Do protective force personnel store their chemical protective mask in an easily accessible manner? | _____ | _____ |
| 3. Do protective force personnel understand when they should don their chemical protective mask? | _____ | _____ |

TACTICAL GEAR DONNING PERFORMANCE TEST

	YES	NO
4. Is the chemical protective mask serviceable, and is it fitted with the appropriate filter for the mission?	_____	_____
5. Is the mask fitted with corrective lenses (if applicable)?	_____	_____

Remarks: _____

Evaluator's Name

Evaluator's Signature

Evaluator's Worksheet

VEHICLE STOP PERFORMANCE TEST

EVALUATOR NAME: _____

FACILITY: _____

ACTIVITY/LOCATION: _____

DATE: _____

CRITERIA

Planning

- A. Did viable vehicle stop plans and procedures exist?
- B. Was available time used to develop situation-specific plans?
- C. Were plans clear, complete, and concise?
- D. Did all personnel understand the plans?
- E. Was overall planning effective?

COMMENTS/JUSTIFICATION: _____

VEHICLE STOP PERFORMANCE TEST

Preliminary Actions

- A. Was a single point of command established prior to the stop?
- B. Was the risk level associated with the vehicle to be stopped clearly understood?
- C. Was communication of pertinent information concerning the vehicle immediate?
- D. Were commands to the suspect vehicle occupants given in a tactically sound manner?
- E. Was the level of force available adequate to meet the perceived threat; if not, was assistance requested?
- F. Did the security police officer concentrate on the greatest threat, the vehicle occupants, and act upon that threat in an effective, timely, and defensive manner during the vehicle stop?
- G. Did preliminary actions support overall mission accomplishment?

COMMENTS/JUSTIFICATION: _____

VEHICLE STOP PERFORMANCE TEST

Teamwork

- A. Was a single security police officer clearly in charge?
- B. Was all exposed movement covered by observation and potential fire?
- C. Were all individual movements such that covering fire was not masked?
- D. Did security police officers communicate clearly and efficiently with each other?
- E. Was the amount of time required to plan or discuss actions excessive?
- F. Was the transition of responsibilities (such as the provision of covering fire) immediate?
- G. Was teamwork effective?

COMMENTS/JUSTIFICATION: _____

VEHICLE STOP PERFORMANCE TEST

Vehicle Stop Procedures

- A. Was the vehicle stop made at a location advantageous to the SPO (in terms of lights, noise, terrain, and available support)?
- B. Did the stopping distance from the suspect vehicle allow for optimum visual coverage and maximum control with voice commands?
- C. Was the security vehicle positioned to maximize its protective cover from the suspect vehicle?
- D. Was the security vehicle or other barrier used properly for cover?
- E. Was the method of communicating orders to the suspects effective?
- F. Was the suspect vehicle covered at all times with an appropriate weapon?
- G. Were the vehicle stop procedures effective overall?

COMMENTS/JUSTIFICATION: _____

VEHICLE STOP PERFORMANCE TEST

Vehicle Clearing

- A. Were suspects removed from the vehicle appropriately (e.g., one at a time, same side of vehicle)?
- B. Were suspects given an opportunity to react to commands?
- C. Was the vehicle search covered by observation and potential fire?
- D. Were all persons, contraband, and other significant items in the vehicle found?
- E. Were search and clearing procedures consistent with existing facility guidelines?
- F. Did search and clearing procedures maximize control of the suspect and minimize danger to the SPO?
- G. Were the vehicle clearing procedures effective overall?

COMMENTS/JUSTIFICATION: _____

VEHICLE STOP PERFORMANCE TEST

Suspect Handling

- A. Were commands to suspects given in a forceful manner?
- B. Were commands to suspects clear, simple, and non-conflicting?
- C. Were reactions to stalling or arguing appropriate?
- D. Did a single security police officer act as the command officer to avoid confusion?
- E. Did the security police officer show evidence through the command process that he/she had a firmly established, pre-arranged arrest plan in mind?
- F. Were any weapons located in a visual search of the suspects handled immediately, effectively, and safely?
- G. Did the security police officers concentrate their attention on the hands of the suspects, while maintaining an awareness of their total surroundings?
- H. Were the suspects handcuffed and searched with the security police officer in maximum control and minimum danger?
- I. Was the suspect covered by a back-up officer's unmasked potential fire during the handcuffing and searching, when possible?
- J. Was the suspect search thorough, and were all weapons found?
- K. If a Miranda warning was necessary, was it given but not at the expense of diverting the security police officer's attention from a perceived threat?
- L. Was removal of the secured suspect, when appropriate, done with maximum control and minimum danger to the security police officer?
- M. Was overall suspect handling effective?

COMMENTS/JUSTIFICATION: _____

VEHICLE STOP PERFORMANCE TEST

Application of Force

- A. Was the minimum level of force necessary applied to neutralize all adversaries in the vehicle?
- B. Was the level of force excessive to the extent that it caused an escalation of the problem?
- C. Was the applied force effective in minimizing the danger to the security force and other non-hostile personnel?
- D. Did all personnel maintain fire discipline and fire control, using appropriate tactics, target acquisition, and selective fire?
- E. Did conditions justifying the use of deadly force exist before deadly force was applied?
- F. Was overall application of force appropriate?

COMMENTS/JUSTIFICATION: _____

NO-NOTICE EXPLOSIVE DETECTION LSPT

EVALUATOR NAME: _____ FACILITY: _____

ACTIVITY/LOCATION: _____ DATE: _____

CRITERIA

Prior to conduct of LSPT planning

- A. Location and time of LSPT are agreed upon between evaluator and trusted agent.
- B. A vehicle (type) will be chosen that guarantees a search will be conducted.
- C. Trusted agent involved has acquired and secured test source.
- D. Safety and actions briefing is conducted by trusted agent with driver (if used).
- E. Evaluator has read procedure/lesson plans and been briefed by trusted agent on expected actions to be demonstrated by SPO(s).

LSPT conduct

- A. Test vehicle has source hidden in location known to evaluator and trusted agent.
- B. Evaluator and trusted agent keep distance from test location, still able to observe.
- C. Test vehicle enters search area as if conducting normal business.
- D. Driver follows all normal entry procedures and adheres to all verbal direction from SPO(s).
- E. Observe actions of SPO(s) and radio traffic.
- F. Trusted agent stops LSPT if actual security alarm is annunciated, any unsafe actions are witnessed, or SPO(s) know they are being tested.

Actions observed

	Yes	No
1. Did SPO(s) follow procedures pertaining to explosive detection?	_____	_____
2. Did SPO(s) follow procedures pertaining to vehicle search?	_____	_____
3. Did SPO(s) detect an explosive substance on vehicle being searched?	_____	_____
4. Did SPO(s) conduct a second explosive detection test?	_____	_____
5. Did SPO(s) control and question suspect?	_____	_____
6. Did SPO(s) request and receive back-up and/or supervisor?	_____	_____

NO-NOTICE EXPLOSIVE DETECTION LSPT

Communications

	Yes	No
1. Did SPO(s) contact anyone and inform about a suspected explosive?	___	___
2. Did SPO(s) make contact via landline and/or verbal only?	___	___
3. Were communications clear and concise?	___	___
4. Was radio discipline maintained?	___	___
5. Were overall communications effective?	___	___

OVERALL COMMENTS/JUSTIFICATION: _____

Evaluator's Name

Evaluator's Signature

FIRE AND MANEUVER FROM ARMORED VEHICLE LSPT

EVALUATOR’S NAME: _____ FACILITY: _____

ACTIVITY/LOCATION: _____ DATE: _____

CRITERIA

Prior to conduct of LSPT planning

- A. Location and time of LSPT are agreed upon between evaluator and training staff.
- B. A range area will be chosen that matches protected site facilities.
- C. Scenario is a probable protective force protection strategy.
- D. Safety and actions briefing will be conducted by training staff to SPO(s).
- E. Evaluator has read procedure/lesson plans and been briefed by trainer on expected actions to be demonstrated by SPO(s).

LSPT conduct

- A. Test scenario and objectives are briefed to all involved.
- B. Evaluator keeps safe distance from test location, but is still able to observe.
- C. Observe actions of SPO(s) ability to fire, maneuver, and manipulate weapon from an armored vehicle.
- D. Training staff stops LSPT if any unsafe actions are witnessed.

LSPT actions observed

	Yes	No
1. Were efficient and effective fire and maneuver practices utilized?	___	___
2. Did the team (driver and gunner) develop a viable ad hoc plan?	___	___
3. Were alternative plans developed?	___	___
4. Was any vehicle cover used during maneuvering and firing on target?	___	___
5. Was overall ability to land hits on target effective?	___	___

FIRE AND MANEUVER FROM ARMORED VEHICLE LSPT

Communications

Yes No

- 1. Were there communications between driver and gunner? ___ ___
- 2. Were alternate communications used (hand and arm, verbal, etc.)? ___ ___
- 3. Were communications clear and concise? ___ ___
- 4. Were overall communications effective? ___ ___

OVERALL COMMENTS/JUSTIFICATION: _____

Evaluator's Name

Evaluator's Signature

Abbreviated Evaluator's Worksheet

USE OF FORCE/DEADLY FORCE PERFORMANCE TEST

EVALUATOR NAME: _____ FACILITY: _____

ACTIVITY/LOCATION: _____ DATE: _____

Actions Observed	YES	NO
1. Was SPO able to quickly identify threat from non-threat?	_____	_____
2. Did SPO utilize one or more of the guidelines for deadly force listed in 10 CFR 1047 in their decision?	_____	_____
3. Did SPO utilize all four elements of justification before using deadly force?	_____	_____

Remarks: _____

Evaluator's Name

Evaluator's Signature

HS-61 Morale Questionnaire

SPO _____: _____ SRT: _____ Date: _____

Do not place names or identifying marks on this questionnaire. Confidentiality will be strictly maintained. Answer as truthfully and candidly as possible. Participation and completion of the questionnaire is voluntary.

1) _____ I believe the **overall morale** of the Protective Force to be good.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

2) _____ I believe my **personal morale** to be good.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

3) _____ I believe Protective Force **morale** is higher now than it was 18 months ago.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

4) _____ I believe that training staff are knowledgeable and capable of conducting required training.

- a) strongly agree
- b) somewhat agree

- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

5)_____ I believe that the cleanliness and adequacy of training areas/facilities and training criteria are good.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

6)_____ I believe that the Protective Force operability and serviceability of weapons, equipment, radios, personal gear, and vehicles are good.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

7)_____ I believe that the Protective Force is **absent** of **racial prejudice**.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

8)_____ I believe that the Protective Force is **absent** of **sexual harassment**.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

9)_____ I believe that the Protective Force is **absent** of **intimidation/harassment** by supervision.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

10)_____ I believe that Protective Force management is looking out for my health, safety, security, and on-the-job needs.

- a) strongly agree
- b) somewhat agree
- c) no opinion, or does not apply
- d) somewhat disagree
- e) strongly disagree

Force-on-Force Evaluation Sheet

Evaluator Name: _____ Date: _____ Evolution #: 1 2 3 4

Player Name: _____ Controller name: _____

Position: _____ Harness number(s): _____

Number of FoFs participated in during the last 3 years: _____

Synopsis of routine duties: _____

Synopsis of emergency duties: _____

SALUTE (Size, Activity, Location, Uniform, Time, Equipment) report at end of exercise:

Was player neutralized? Yes / No TIME:
If yes, was it harness kill or controller call?

Rate each category and subcategory 1 (poor), 2 (adequate), 3 (excellent), or N/O (not observed). Any rating of 1 or 3 REQUIRES explanation in the indicator column. Insert and rate additional subcategories as observed.

PLANNING: Planning provides predetermined sets of activities and orders to accomplish the overall security mission in any situation that could reasonably be anticipated; to provide for the expeditious and orderly development of ad hoc plans to address situations that could not have been reasonably anticipated; and to enable the protective force to act and react in a confident, effective, and timely manner. **1 2 3**

Subcategory	Performance Indicator	
Do responders understand the plans? 1 2 3 N/O		Time:
Does the plan channel the adversary into attrition areas by barriers and interlocking fields of fire? 1 2 3 N/O		Time:
Does PF control high ground by physical presence or by weapons fire? 1 2 3 N/O		Time:

Subcategory	Performance Indicator	
Are PF defensive positions mutually supporting? 1 2 3 N/O		Time:
Are high volumes of fire brought onto key terrain and adversary routes of travel? 1 2 3 N/O		Time:
Is a coordinated barrier and fire control plan initiated; if so, was it effective? 1 2 3 N/O		Time:
Are likely avenues of approach defended with sufficient force to compel a decisive engagement with the adversary? 1 2 3 N/O		Time:

COMMUNICATIONS: Communications provide rapid, accurate, and understandable exchange of essential information between members of a protective force element, elements of the protective force, and appropriate command and control agencies without compromising friendly information or allowing the successful injection of spurious information. **1 2 3**

Subcategory	Performance Indicator	
Was the responder able to receive radio traffic from CAS/SAS? 1 2 3 N/O		Time:
Was the responder able to send radio traffic to CAS/SAS? 1 2 3 N/O		Time:
Was the responder able to receive radio traffic from other SPOs? 1 2 3 N/O		Time:

TEAM TACTICAL SKILLS: Team tactics are used to move and deliver fire in a coordinated team effort that provides for mutual support, minimizes exposure to adversary observation, detection or fire, and brings the maximum force practical to bear on the adversary at the optimum time and place for mission accomplishment. **1 2 3**

Subcategory	Performance Indicator	Time:
Do teams provide supporting/cover fire for movements? 1 2 3 N/O		Time:
Are shooters aware of the locations of adjacent forces? 1 2 3 N/O		Time:
Do driver and gunner work together in identifying adversary locations? 1 2 3 N/O		Time:
Do driver and gunner work together to engage adversaries? 1 2 3 N/O		Time:
Are vehicles used to support foot patrols? 1 2 3 N/O		Time:
Is 360° cover maintained? 1 2 3 N/O		Time:
Is building/room entry coordinated and executed properly? 1 2 3 N/O		Time:
Do responders maintain appropriate separation? 1 2 3 N/O		Time:
Are appropriate weapons deployed to support mission? 1 2 3 N/O		Time:
Did responders communicate their position if different from their response position? 1 2 3 N/O		Time:

APPLICATION OF FORCE: Protective force personnel apply the proper amounts and types of force required (and in a timely manner) to counter an immediate threat of death/severe bodily

injury (to himself/herself, other facility personnel, or members of the public) and/or to defend a facility (or transport) against intruders attempting to gain unauthorized access into areas/transportation vehicles containing strategic special nuclear material. Danger to protective force personnel and non-hostile personnel is minimized. **1 2 3**

Subcategory	Performance Indicator	
Is minimum force necessary used? 1 2 3 N/O		Time:
Is force escalated appropriately? 1 2 3 N/O		Time:
Is good fire discipline and target identification demonstrated? 1 2 3 N/O		Time:
Are PF knowledgeable of IFF procedures (near, far, night)? 1 2 3 N/O		Time:
Is IFF effectively utilized? 1 2 3 N/O		Time:

RESPONSE PLAN EXECUTION: Responding protective force personnel are well versed in protection objectives delineated in approved site protection policies and plans (e.g., denial of the adversaries’ access to target and/or containment of intruders to preclude the removal of nuclear weapons, nuclear weapons components, or SNM) and effectively execute (in a timely manner and with appropriate forces) the response. **1 2 3**

Subcategory	Performance Indicator	
Are initial response locations reached in a timely manner? 1 2 3 N/O		Time:

Subcategory	Performance Indicator	Time:
Are appropriate weapons available & deployed? 1 2 3 N/O		
Are responders redirected as situation dictates? 1 2 3 N/O		
Are avenues of escape appropriately sealed off? 1 2 3 N/O		
Are recapture operations initiated appropriately 1 2 3 N/O		
Are protective force weapons utilized in accordance with the weapons capabilities? 1 2 3 N/O		

CONDUCT OF EXERCISE 1 2 3

Subcategory	Performance Indicator	Time:
Are controllers knowledgeable of weapons effects for MILES? 1 2 3 N/O		
Do controllers make timely and appropriate calls? 1 2 3 N/O		
Do controllers maintain a safe exercise? 1 2 3 N/O		
Do controllers move without compromising players position? 1 2 3 N/O		
Do controllers refrain from coaching players? 1 2 3 N/O		
Do controllers maintain noise/radio discipline? 1 2 3 N/O		

Sketches and notes:

APPENDIX D
PERFORMANCE TESTING SAFETY PLAN

Appendix D: Performance Testing Safety Plan

The Site Safety Plan should contain the following elements:

1. Description of the Performance Test

2. Performance Test Date and Time

3. Scenario

Step-by-step description of how the performance test will be conducted

4. Drill Announcements

How and when they will be conducted

5. Performance Test Boundaries

Restrictions on performance test participant movement

6. Off-Limits Areas

How they will be designated

7. Required Safety Equipment

Requirements for all participants (players, controllers, evaluators, etc.)

8. Specific Safety Hazards

Requirements for mitigating them

9. Radiation Safety Provisions

Requirements for the area in which the performance test will be conducted

10. Personnel Safety Provisions

- Hazardous areas to be avoided by exercise participants
- Gas, smoke, explosive simulators, or other types of burning or exploding munitions to be used by exercise participants
- Etc.

11. Environmental Conditions

Provisions for heat, cold, rain, lightning, physiological stress, etc.

12. Vehicle Safety Provisions

13. ESS/MILES Safety Provisions

14. Personnel Assignments

Specific assignments in regards to safety (fire watch, event controllers, etc.)

15. Shadow Force Safety Provisions

16. LLEA Response Provisions

- If LLEA response is desired, then LLEA should be notified that their response is part of a drill **immediately** after response is initiated.
- If LLEA response is not desired, then LLEA headquarters and LLEA units in the field should be notified that the exercise will not require their response.

17. Participant Holding Area Provisions

How participants will be segregated from any live weapons

18. Any other pertinent information specific to the safe execution of this performance test

19. Review and Concurrence

Document should be reviewed and signed by appropriate site personnel.