Office of Safeguards and Security Assessments Appraisal Guide
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Office of Enterprise Assessments

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REVISION LOG

Revision Type (Minor/Major)	Revision Number	Description of Change	Section(s)	Signature of Approval
Major	**0**	**Initial issuance of EA-20 Appraisal Guide.**	**All**	Thomas C. Messer Digitally signed by Thomas C. Messer Date: 2023.02.01 16:22:39 -05'00'
Minor	**0**	**SAPOC Approval of EA-20 Appraisal Guide.**	**All**	Leonard Grassley (per email dated 7/11/23 related to RA)
Major	**1**	**Biennial update to incorporate process changes, scheduling information, and prioritization criteria.**	**All**	Thomas C. Messer Digitally signed by Thomas C. Messer Date: 2024.12.17 18:45:53 -05'00'

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Acronyms

Acronym	Definition
ARAPT	Alarm Response and Assessment Performance Test
CAT	Composite Adversary Team
CUI	Controlled Unclassified Information
DOE	U.S. Department of Energy
EA	Office of Enterprise Assessments
EA-1	Office of the Director, Office of Enterprise Assessments
EA-20	Office of Safeguards and Security Assessments
ESS	Engagement Simulation System
FAR	Factual Accuracy Review
FoF	Force on Force
GPSM	Government Program Security Manager
HQ	Headquarters
IN	Office of Intelligence and Counterintelligence
LNPT	Limited-Notice Performance Test
LOI	Line of Inquiry
LSPT	Limited-Scope Performance Test
MRB	Management Review Board
MTA	Multi-topic Assessment
NTC	National Training Center
O	Order
OFI	Opportunity for Improvement
POC	Point of Contact
PT	Performance Test
QRB	Quality Review Board
S&S	Safeguards and Security
SAP	Special Access Program
SAPF	Special Access Program Facility
SAPOC	Special Access Program Oversight Committee
SCI	Sensitive Compartmented Information
SCIF	Sensitive Compartmented Information Facility
SOP	Standard Operating Procedure
SSIMS	S&S Information Management System
TA	Trusted Agent

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OFFICE OF SAFEGUARDS AND SECURITY ASSESSMENTS
APPRAISAL GUIDE

Introduction

This guide describes the standard practices the Office of Safeguards and Security Assessments (EA-20) uses for performing appraisal activities. The guide lists the content applicable to all appraisal activities (sections 1-3), appraisal-specific information (sections 4-7), and supplemental information (attachments and appendices).

1 General

1.1 Purpose

This document provides EA-20 with a standard methodology for conducting safeguards and security (S&S) assessments. The guide provides a consistent and thorough approach to scoping, planning, conducting, reporting, and closing out an appraisal.

1.2 Applicability

This document applies to all U.S. Department of Energy (DOE) Federal and contractor personnel supporting the EA- 20 mission and meets the requirements in DOE Order (O) 227.1a, *Independent Oversight Program*, and DOE O 471.5, *Special Access Programs*. The appraisal guide also implements the responsibilities and authorities documented in the *Office of Enterprise Assessments Safety and Security Function, Responsibilities, and Authorities*. Appendix A, *Roles and Responsibilities*, lists the roles and responsibilities for EA-20 appraisal activities.

1.3 Configuration Management

EA-20 manages this guide to maintain technical accuracy and to align content with current processes. EA-20 performs a major revision to the guide biennially and captures the minor revisions that occurred between biennial updates. When minor revisions are required, EA-20 personnel identify the impacted section(s) and content, draft the necessary changes, assign a revision number, and obtain EA-20 Director approval to update the guide. EA-20 updates the revision log to record all updates to the guide, including the revision type, revision number, description of the change, and impacted section(s).

1.4 Scheduling

The DOE Office of Enterprise Assessments (EA) initiates scheduling approximately six months before each new fiscal year and completes the schedule for the upcoming calendar year in October. The EA scheduling process identifies assessment priorities and requirements for the upcoming calendar year. EA-20 also coordinates with other EA offices and field managers to consider the impact of other office appraisal activities on mission operations.

EA-20 provides the final schedules directly to the applicable program and site/field offices or the EA Office of Resources Management. EA Office of Resources Management disseminates some schedules on behalf of all of EA.

1.5 Appraisal Process Overview

EA-20 uses a five-phase approach to conduct appraisal activities. EA-20 adheres to the EA fiscal year Operational Plan, uses operational planning processes, and considers performance trends and potential risks to align appraisal activities with the EA Strategic Goals and Office-specific objectives.

Phase 1: Scoping – EA-20 uses the scoping phase to establish appraisal parameters and tailor activities. EA-20 coordinates with stakeholders to determine the location(s), programs, topics, and facilities to evaluate for each assessment. EA-20 obtains the information necessary to develop an assessment plan that documents the appraisal process(es), scope, schedule, team composition, and applicable policies and directives. EA-20 also initiates logistics coordination with the site, including site safety and security training requirements, contact information, and workspace requirements.

Scoping decisions consider:

- Asset characterization and site mission
- Applicable requirements and directives
- Policy changes, including implementation plans
- Stakeholder guidance and expectations
- Internal/external audit results
- Status of findings and deficiencies
- Incidents of security concern.

Phase 2: Planning – EA-20 uses the planning phase to select data collection methods and document the necessary activities in an appraisal schedule. EA-20 evaluates documents and data received to support the appraisal, identifies supplemental data needs, and refines applicable lines of inquiry (LOIs). EA-20 personnel tailor assessment tools to the appraisal scope and prepare for scheduled data collection activities. Additionally, EA-20 uses the planning phase to collaborate with the responsible program office and site personnel. EA-20 finalizes logistical coordination with the site, including required training, personal protective equipment and dosimetry, site workspaces, badging protocols, and site maps. EA-20 leadership also briefs the Director, Office of Enterprise Assessments (EA-1), summarizing the appraisal scope, dates, planned activities, and assigned resources.

Phase 3: Conduct – EA-20 uses the conduct phase to collect and analyze data against applicable requirements and expected performance criteria. Appraisal team members validate observed conditions and the factual accuracy of results with site personnel throughout this phase. EA-20 communicates the appraisal status to stakeholders, including EA-20 personnel, site contractor personnel, and responsible managers.

Phase 4: Reporting – EA-20 uses the reporting phase to produce a document informing stakeholders and responsible management of appraisal results. EA-20 staff documents the results of the analyses, including findings, deficiencies, opportunities for improvement (OFIs), and best practices. EA-20 leadership evaluates the report, commonly in the form of a Management Review Board (MRB), for adherence to EA-20 expectations for quality and consistency. EA-20 provides the draft report to stakeholders for factual accuracy reviews (FARs) and formal validation of appraisal results. EA-20 reports undergo technical editing and derivative classifier reviews before finalization.

Phase 5: Closeout – EA-20 uses the closeout phase to communicate the appraisal results to stakeholders. EA-20 leadership briefs stakeholders and disseminates the report, which is retained and archived for record purposes. Additionally, EA-20 leadership captures lessons learned and enhancement opportunities to focus its continuous improvement efforts.

1.6 EA-20 Assessment Tools

EA-20 maintains an internal repository (EA-20/Assessment Tools) with access controls and end-user privileges for appraisal tools and reference materials. EA-20 designates personnel who upload or update products in the repository, but all EA personnel can access the repository and download files for performing tasks and assessment activities. EA-20 organizes the Tools repository into five topic-level folders.

- *EA20/Assessment Tools/EA-20 Tools* – The EA-20 Tools repository contains the approved versions of analysis tools, planning worksheets, report templates, the peer review checklist (see attachment 1, *Assessment Tool Flowchart*), and other approved items established by management.

  Note: EA-20 does not use the Tools repository to collaborate or work on in-development products (see *In Development* repository). EA-20 also maintains products modified to conduct specific activities in designated assessment-specific repositories.

- *EA20/Assessment Tools/Templates* – The *Templates* repository contains approved templates (e.g., scoping documents and appraisal plans), deliverables, and plans required to communicate appraisal activities. The templates have the requisite formatting and content for the assessor to modify for specific purposes and appraisal-specific details such as dates and resources.

- *EA20/Assessment Tools/Forms-Protocols* – The *Forms-Protocols* repository contains approved plans, procedures, and forms to establish the processes, requirements, and expectations for an appraisal activity. Appendix C, Standard Operating Procedures, provides the current list of SOPs for appraisal activities.

- *EA20/Assessment Tools/PT Tools* – The *PT Tools* repository contains the templates associated with performance tests (PTs) and work observations, including data collection forms, test description documents, work observation documents, and PT report templates.

- *EA20/Assessment Tools/In Development* – The *In Development* repository is an optional collaborative work area for EA-20 products in the draft stage.

1.7 Analysis and Determinations

Assessment team members analyze data and evaluate identified strengths and weaknesses using the process in attachment 2, *Determination Decision Tree*. Assessment teams use this process to evaluate weaknesses individually and collectively and balance the results against identified strengths or mitigating factors to determine the overall impact. The process supports consistent and logical conclusions about compliance, effectiveness, and the significance of the results.

The team may use an "Issue Form" to inform site management of significant issues (such as an imminent danger or a major vulnerability) or to convey an emerging issue that EA-20 determines should be communicated in writing before the report is developed and validated. Additionally, EA-20 leadership will notify the cognizant DOE manager verbally as soon as possible and in writing within 24 hours when appraisal activities indicate either of the following conditions per DOE Order 227.1A, *Independent Oversight Program*:

1. Conditions or practices in the workplace where a danger exists that could reasonably cause death or serious physical harm either immediately (imminent danger) or before the abatement of such danger could otherwise be accomplished through normal work control processes.

2. A major safeguards and security or cybersecurity vulnerability (e.g., unacceptable risk of special nuclear material theft or diversion, radiological or industrial sabotage, espionage, or significant compromise of classified information).

When EA-20 identifies findings, deficiencies, or other weaknesses during appraisals, team members may communicate approaches for line management consideration to improve program performance. EA-20 presents the recommended approaches as specific OFIs in the report.

When EA-20 identifies findings or deficiencies stemming from policy (e.g., policy gaps, ambiguous or contradictory policies, or unclear implementation guidance), EA-20 may request clarification from the appropriate office of primary responsibility. EA-20 typically provides the request in a written policy paper that names the subject, provides necessary background information, states the problem, discusses its implications, and, if appropriate, recommends a course of action.

Although not a typical practice, the appraisal team may provide recommended ratings. If used, the EA-20 Director approves all ratings with concurrence from the EA Director.

1.8 Tracking and Trending

EA-20 analyzes appraisal activity results to identify isolated and systemic performance indicators and communicates the results to personnel responsible for S&S programs across the complex. Periodically, EA-20 produces a report summarizing the analytical results and hosts teleconferences with program offices and security officials (Federal and contractor) to share tracking and trending results. Additionally, EA-20 leadership routinely shares appraisal results and lessons learned with senior DOE leadership, other government agencies, contractor personnel, the National Training Center (NTC), the DOE Office of Security Policy, and various DOE working groups. Attachment 3, *Periodic Report Flowchart,* outlines the tracking and trending process.

1.9 Augmentees and Observers

EA-20 uses the following protocol for external Federal employees and contractors to participate in EA-20 appraisals as augmentees or observers. EA-20 allows augmentees to integrate into the assessment team as assessors, whereas observers are not directly responsible for data collection and analysis. EA-20 uses external participation in EA-20 appraisals to help establish trust between offices/organizations, enhance working relationships, support training, incorporate field perspective, benchmark oversight activities, and identify process improvements.

The EA-20 Director is responsible for processing written (emails are acceptable) augmentee or observer requests from external organizations. The request should include the individual's name, background, summary of technical expertise, specific objectives, and overall purpose for participation. Alternatively, EA-20 may invite a candidate by name or position as an augmentee or observer. EA-20 leadership will ask the candidate via written nomination to the responsible organization for consideration. Prior to approval, EA-20 will verify that external personnel do not have a conflict of interest, obtain approval from the applicable assessed Federal organization, and assess the impact on the assessment team.

2 Data Collection

EA-20 uses the methods in this section to collect data necessary for evaluating the areas within the appraisal scope. Typically, data collection begins during the planning phase and concludes at the end of the conduct phase.

2.1 Document Evaluations

EA-20 reviews and evaluates documents received during appraisals to determine compliance with applicable policy requirements and better understand programs, plans, and procedures. Additionally, the assessors review records to evaluate performance with established protocols. The assessment team evaluates classified documents at locations with classified systems, such as DOE Headquarters (HQ) in Germantown.

2.2 Interviews

EA-20 interviews responsible personnel to evaluate aspects of performance not evident in the documentation. EA-20 uses interviews to determine personnel perceptions and understanding of procedures, responsibilities, program implementation, and management expectations.

Interviews are sometimes formal but frequently involve dialogue during work observations or PTs. Assessors are cognizant of work activities and avoid conversations during times that could distract personnel.

EA-20 has an *Interview Data Collection Form* (see Forms-Protocols repository) to document interview questions and, if needed, capture interview responses. EA-20 conducts interviews:

- Deliberately and purposefully using open-ended questions that have a logical progression, facilitate open dialogue, and align with applicable LOIs
- Using conversational, non-threatening, and non-judgmental methods
- Minimizing interviewers to avoid overwhelming interviewees.

2.3 Observations

EA-20 observes process execution, work evolutions, and field conditions to evaluate the effectiveness of S&S programs and assess performance under routine operations. EA-20 uses these observations to gain data on how work is conducted compared to documented protocols. Additionally, EA-20 uses facility walkdowns to evaluate installed equipment and systems, gain an understanding of site and facility layouts, and assess pathways described in protection strategies and response plans.

The Team Chief determines the method and formality required to communicate work observation needs. The Team Chief may designate an individual to develop a work observation document outlining the objective(s) and associated data call using input from appraisal team members (see PT Tools repository for templates). The EA-20 designee provides the work observation document, if developed, to the assessed organization during the planning phase, and EA-20 adjudicates all comments received.

Assessors may see conditions that warrant additional observations to validate results or determine significance. In this case, the assessor communicates the need and basis for the additional observation to the Team Chief or Multi-topic Assessment (MTA) Topic Team Lead. Assessment team leadership coordinates the additional observation(s) with site points of contact (POCs) and management.

2.4 Knowledge Testing

EA-20 uses knowledge testing to evaluate the comprehension of policies, procedures, asset characterization, and response plans. If used, assessors attempt to identify an existing test that will inform the applicable LOIs. If one does not exist, the assessor will collaborate with the assessed organization to develop and administer the test. EA assessors determine the personnel to test by role, assignment, or duties. Assessors also evaluate test banks (questions and answers) for compliance with

identified LOIs and specific requirements documented in plans and procedures. Assessors may also observe testing during training activities to determine the validity of testing results.

2.5 Performance Testing

EA-20 uses PTs to evaluate performance across significant S&S activities and the implementation of a performance testing program. EA-20 maintains the *Performance Testing Protocol* outlining PT coordination and execution. Assessors identify essential elements, response plans, material loss indicators, and detection methods that warrant performance testing and validate data generated through observation of executed PTs.

EA-20 designates a PT Lead to coordinate PTs with assessed organizations when an assessment includes performance testing. If PTs use engagement simulation systems (ESS) equipment, the PT Lead verifies that a Safety Coordinator evaluates the site safety measures and controls that protect test participants and observers. EA-20 coordinates the required testing (type and quantity), logistics, and scheduling with the responsible assessed organization.

EA-20 management and the PT Lead determine the number of required assessors for optimizing data collection while minimizing disruption to test conduct. If a PT covers multiple topics, EA-20 leadership will consider team input and finalize the number of assessors and team members who will observe test conduct.

The responsible Team Chief determines the method and formality required to communicate performance testing needs. EA-20 appraisal staff may develop a Test Description Document (see PT Tools repository for template) outlining test objectives, evaluation criteria, and associated data call. EA provides the test description documents, if developed, to the assessed organization for feedback and resolves any comments.

Assessors aim to use existing test plans and will tailor data collection forms (see PT Tools repository) for the planned PTs. Assessors will observe and appraise the conduct of the tests and document the results on the data collection forms. Assessors consider scenario realism and test results, safety controls, test props, controller information (i.e., injects), and the number of exercise observers/controllers in the test area. During testing, assessors have stop work authority and the responsibility to immediately communicate any safety concerns to responsible personnel. Assessors also attend and evaluate required pre- and post-test briefings.

EA-20 performance testing activities include:

Limited-scope Performance Tests (LSPTs) – EA-20 observes LSPTs to evaluate a specific skill, operation, or element of S&S programs in a manner that replicates potential threats and defined scenarios.

System Effectiveness Testing – EA-20 observes system effectiveness testing to evaluate multiple components of the S&S program in a single, comprehensive scenario, including the notifications and communications between various workgroups or safeguards disciplines. Organizations may document test criteria in a single comprehensive PT plan or multiple test plans conducted in sequence.

Alarm Response and Assessment Performance Testing (ARAPT) – EA-20 observes ARAPTs to assess response to a specific location under alarm protection, such as a vault or vault-type room. EA-20 observes the site conduct ARAPTs to evaluate all aspects of the response, including response time, command and control, communications, individual and team tactics, decision-making, personal protective measures, and equipment availability and serviceability.

Comprehensive Force-on-Force (FoF) Testing – EA-20 observes FoF testing to evaluate protective force responses to adversarial actions and execution of emergency duties consistent with approved scenarios and testing protocols.

3 Validation

EA-20 uses the validation methods provided in this section to ensure the accuracy of collected data and communicate identified weaknesses and their impacts to responsible managers and organizations.

EA-20 assessment teams conduct validation in the following ways:

- *On the Spot* – EA-20 personnel use on-the-spot informal validations to communicate and confirm information at the time of occurrence or as soon as possible following the completion of an appraisal activity.
- *Daily Briefings* – EA-20 team leadership communicates completed activities, observations, and preliminary results daily with site POCs and management.
- *Summary Briefing* – The assessment Team Chief is responsible for conducting a summary briefing of assessment results with the responsible personnel.

4 Multi-topic Assessments

EA-20 uses MTAs to comprehensively evaluate the overall S&S system, including Federal and contractor compliance, performance, and overall protection of assets. Attachment 4, *MTA Flowchart*, and attachment 5, *MTA Timeline*, summarize the routine tasks and timelines associated with an MTA.

The MTA Team Chief manages the resources, tasks, and timeline for completing the assessment. EA-20 maintains the MTA Assessment Planner template (see Templates repository) to assist the Team Chief in tracking and managing the MTA process.

4.1 MTA Scoping

EA-20 uses the scoping phase to identify the focus of the assessment (i.e., specific facilities and operations and areas of concern), review the appraisal process, solidify dates, provide the Team Briefing template, discuss logistical considerations and needs (e.g., site safety and security training requirements, POCs, and workspace requirements).

The Team Chief is responsible for obtaining pre-scoping documents and coordinating a scoping meeting with the applicable Federal and contractor management. The Team Chief also coordinates development of an MTA scoping packet (see Templates repository) outlining the agenda, a preliminary appraisal schedule, a priority scoping matrix of the facilities and assets, and appraisal topics and subtopics. The Team Chief uses the results of scoping activities to coordinate development of an assessment plan documenting the assessment process, logistical needs, areas of focus, overall schedule, timeline, and code of conduct.

Data Call Request

EA-20 uses the scoping meeting results, assessment plan, assessment tools, and pre-scoping documents to identify any documents and records needed to complete the assessment. Assessment team members review and tailor the *Baseline Data Call* request (see EA-20 Tools repository) to specify the necessary documents, ensuring each requested document addresses one or more applicable LOIs. The Team Chief is responsible for providing the data call request to the EA-20 Director for approval at least 75 days before field activities.

The EA-20 Director is responsible for issuing an assessment memorandum to the relevant offices, communicating the appraisal dates, and transmitting the assessment plan and data call request to the appropriate managers.

4.2 MTA Planning

EA-20 uses the planning phase to establish resources, meet with stakeholders, interface with POCs, obtain data, coordinate logistics, and align tasks to an integrated schedule. Assessors use approved EA-20 tools (*EA20/Assessment Tools/EA-20 Tools*) to identify data collection methods and expected results, and then tailor the products to the scope of the MTA.

The Team Chief is responsible for providing the assessed location with the Team Briefing template prior to planning week (see *Templates* repository) to verify that the team receives the following:

- Overview of the overall S&S program
- Summary of recent changes
- Description of current processes and operations
- Status of issues and corrective actions.

Resources and Logistics

The Team Chief, with input from Topic Team Leads and contractor management, develops resource lists and obtains EA-20 Director approval. Topic Team Leads use the resource list to assign assessors areas of responsibility and corresponding subtopics. The Team Chief considers the following aspects of the MTA when determining resources:

- Topic and subtopic areas within scope
- Size of the S&S program
- ESS and Composite Adversary Team (CAT) for performance testing
- Computer support and equipment, including sensitive and classified systems (via memorandum)
- Supplemental personnel (augmentees and observers).

The Team Chief, with assistance from the Field Coordinators, is responsible for logistical planning and notifying designated personnel. The Team Chief initiates logistical planning with the POCs to determine pre-arrival logistics needs and information. The Team Chief uses input from the Field Coordinator(s) and HQ Administrative Staff when determining the space and equipment needs relevant to the team size and dates. The Team Chief is responsible for verifying computer support is available, including obtaining the approved number of computers and supplies needed, establishing computer set-up and tear-down dates and times, and identifying the POCs for shipping and receiving.

The Team Chief is responsible for establishing and maintaining an assessment dashboard throughout the assessment. Topic teams use the dashboard to align team members to assigned tasks, provide assessment progress, capture significant information, and identify cross-cutting concerns. Topic Team Leads are responsible for updating the dashboard before team meetings to facilitate discussions and inform management of critical information.

Data Call Receipt

The Team Chief, with support from HQ Administrative Staff, is responsible for coordinating data call receipt with external sources (e.g., organizations being assessed, Program Offices, Nuclear Material Management and Safeguards System). Once received, the Team Chief coordinates cataloging the documents in the designated assessment repository as defined in the *EA-20 Protocol for the Request and Management of Site Data Call* (see Forms-Protocols repository).

Planning Week

The Team Chief is responsible for designating the time and venue for planning activities, generally at the DOE-HQ facility in Germantown, Maryland. The Team Chief uses planning week to communicate appraisal objectives, scope, and expectations to assessment team members. The Team Chief also coordinates briefings and discussions with external stakeholders, such as program offices, policy, and the Office of Enforcement, to obtain information relevant to the site and the assessment. During Germantown planning activities, assessment team members prioritize classified document evaluations.

The Team Chief is responsible for coordinating a video teleconference with assessed locations counterparts and establishing a brief based on the provided Team Briefing template from the organization to help the team gain an overview of the S&S program, discuss recent programmatic changes, ask preliminary questions, and finalize performance testing coordination.

Assessment team members use the planning week to finalize assessment data collection methods, update topic analysis tools, prepare for interviews, evaluate data, and draft topic team schedule inputs. Additionally, the Topic Team Leads and Field Coordinators work with site POCs to identify additional logistical impacts, such as:

- Advance notice required for entry into security areas
- Issuance of personal protective equipment
- Dosimetry and radiological protection requirements
- Inclusion in facility schedules such as the "Plan of the Day"
- Approval of medical devices.

Topic Team Leads and the PT Lead are responsible for coordinating work observations and performance testing with designated POCs to develop a baseline schedule. The Team Chief is responsible for coordinating the integrated schedule with all vested parties, including assessment team members and assessed organization POCs.

4.3 MTA Conduct

EA-20 uses the MTA conduct phase to collect, validate, and analyze data during one or more trips. The assessment team executes the appraisal according to the assessment plan, defined scope, and integrated schedule.

The conduct phase includes the following activities:

- Team Workspace Operations
- Data Collection and Analysis
- Interface Meetings.

Team Workspace Operations

The Team Chief, with support from Field Coordinators, is responsible for establishing and maintaining workspaces. The Team Chief is also responsible for the adherence to federally approved protocols for the following security duties:

- Access control for workspaces and classified matter
- Document control (classified and controlled unclassified information [CUI])
- Classified processing, reproduction, transmission, and destruction
- Personnel accountability, including emergency contact information
- Capturing time-sensitive information.

Data Collection and Analysis

The Team Chief is responsible for assessment team adherence to the integrated schedule and coordinating any schedule changes with POCs. The Team Chief also requires assessment team members to attend any required training or briefings and follow all written and posted safety and security requirements.

The assessment team uses the assessment tools (attachment 1, *Assessment Tool Flowchart*) to evaluate observed conditions following section 2 of this guide.

Interface Meetings

The Team Chief is responsible for allocating time for interface meetings, both internal to the MTA team and external with the site. The Team Chief uses the meetings to communicate the status of planned and completed assessment activities, coordinate resources and scheduling, and validate assessment observations.

The Team Chief is responsible for providing an inbrief to the assessed organizations management team during the conduct phase, routinely on the first day of on-location data collection. The briefing communicates the assessment scope, data collection activities, and schedule.

The Team Chief is responsible for conducting daily internal team meetings to verify that planned assessment activities adhere to the integrated schedule and are within scope. Before the internal end-of-day meeting, Topic Team Leads are responsible for updating the dashboard to reflect the status of assessment activities, significant results or concerns, and validation status. Each Topic Team Lead, or designee, briefs the data collection activities and significant results for the day. The Team Chief uses the end-of-day meetings to gain further awareness and understanding of concerns and emerging issues.

The Team Chief routinely coordinates morning meetings with the assessed organization's senior Federal and contractor management team to communicate assessment status and validate results. To facilitate the discussions, the Team Chief uses a subset of the updated dashboard information to ensure consistency between the MTA team and the site regarding data collection activities and appraisal results.

4.4 MTA Reporting

EA-20 produces an assessment report to document assessment results and inform stakeholders and site management of applicable findings, deficiencies, OFIs, and best practices. When possible, the assessment team develops the draft report, performs peer reviews, and interfaces with the MRB on location. The MTA Reporting phase includes:

- Report preparation
- Cross-topic peer reviews
- MRB
- Four-hour FAR
- MTA outbrief
- Final FAR
- Report finalization and Quality Review Board (QRB).

Report Preparation

The assessment team prepares the report following guidance from the *EA-20 Guiding Principles for Report Writing* and the *EA Editorial Style Guide.* Assessors draft technically and factually accurate report inputs that document assessment results with supporting narrative (see EA-20 Tools repository). Each

Topic Team Writer consolidates the inputs and updates content for consistency in formatting, active voice, plain language, flow, and tone. Each topic team performs an internal review of the topic team input and provides comments on the draft report.

Assessment team members may conduct peer reviews for other topic areas to confirm distinct and logical connections in the report narrative, and for clarity to readers not directly involved in data collection and analysis. Additionally, cross-topic reviews identify potential issues or concerns with cross-cutting narrative statements.

The Team Writer and Topic Team Lead resolve any comments received during reviews and develop any supporting documentation requested by the MRB, which may include issue forms. Topic Team Leads and Team Writers are also responsible for providing an overview of topic-level assessment results with talking points for the outbrief, which generally includes three strengths and three areas requiring attention. When possible, the topic team keeps the briefing materials at a CUI level or lower. The topic teams give all products (i.e., outbrief content, issue forms, and report input) to the MRB simultaneously.

The Lead Writer receives direction from the Team Chief and uses the assessment dashboard and management outbrief slides to develop the report introduction and executive summary. Additionally, the Lead Writer provides direction on specific terminology and helps Team Writers with content when needed.

Management Review Board

The Team Chief, Deputy, Lead Writer, and contractor management typically comprise the MRB. The EA-20 Director may have other personnel support the MRB.

The MRB members review the topic-level drafts and provide comments and feedback to the topic teams. The MRB focuses on consistency and cohesiveness between topic area sections and that each section contains logical and adequate information to support the conclusions. The MRB also reviews the executive summary to verify that the results reflect the primary strengths and weaknesses at the site. The Lead Writer captures and consolidates MRB comments and feedback during the MRB process.

Each Topic Team Lead works with the Team Writer to adjudicate all comments received from the MRB. The Topic Team Lead is responsible for responding to all MRB comments detailing how the team adjudicated the comment. When requested by the MRB, the Topic Team Lead provides the updated section(s) to the MRB for final concurrence. Once completed, the Topic Team Leads use the MRB-reviewed products to conduct a summary validation with their site counterparts.

Four-hour Factual Accuracy Review

The FAR and comment resolution process is critical to ensuring the report is correct. The Team Chief identifies the method to record the comments, typically a comment log, and submits the draft report to the DOE field office designee for the site FAR. The Team Chief is responsible for facilitating a four-hour review of the report with the applicable Federal Office and providing any comments to the assessment team.

Topic Team Leads address factual accuracy comments, update the report narrative as necessary, and provide the updates to the Team Chief for review. The team may conduct additional interviews or document evaluations to address the inputs provided from the FAR.

The Team Chief is responsible for verifying that each topic team addresses all comments received, updates the report appropriately, and communicates comment resolutions with respective POCs before the outbrief.

Multi-topic Assessment Outbrief

The Team Chief is responsible for providing an outbrief with the site Federal and contractor management to officially conclude the conduct and reporting phases.

Final Factual Accuracy Review

The Team Chief is responsible for allocating 10 calendar days and formally providing the draft report to the responsible DOE field office and program managers to conduct the final FAR. The Team Chief requests that the program office consolidates and submits all comments from the assessed location and program office.

Topic Team Leads review each comment from the final FAR and document an explanation for acceptance, partial acceptance, or consideration without incorporation. The Topic Team Leads, with other team members as needed, work with the Team Chief/Deputy to update the report narrative to resolve all accepted or partially accepted comments. The Team Chief is responsible for reviewing the resolution of all comments with the program office and communicates the justification for any rejected comments. EA-20 uses the processes in DOE O 227.1A in the event of a comment impasse.

Report Finalization and QRB

The Team Chief is responsible for submitting the report to technical editors and resolving any residual comments before scheduling the QRB. The EA-20 Director serves as the QRB chair on S&S appraisal reports. The *EA Quality Review Board Business Policy* documents the QRB process, roles, and responsibilities.

The EA-20 Director is responsible for obtaining a derivative classifier review of the final report and ensuring that the product is appropriately categorized and marked. The EA-20 expectation is to provide a final report to the EA Office of Resources Coordination for processing within 60 calendar days from the outbrief.

4.5 MTA Closeout

EA-20 uses the closeout phase to communicate the assessment results to senior management and archive the report.

Briefings

The Team Chief is responsible for preparing, obtaining EA-20 Director approval, and scheduling a post-assessment briefing with the EA-1 Director to summarize appraisal activities, including:

- Team composition
- Appraisal scope
- Assessment methods and activities
- Appraisal results, strengths, and weaknesses.

The Team Chief is also responsible developing the transmittal memorandum and providing any additional briefings to responsible DOE personnel and stakeholders as directed by EA management.

Report Archiving

The EA-20 Director, with support from HQ Administrative Staff, is responsible for routing for final approval, dispatching the report, and archiving the report appropriately, including entry into the S&S Information Management System (SSIMS). The EA-20 Director also verifies that the HQ Administrative Staff update EA document lists to reflect the issuance of the report.

5 Focused Assessments

EA-20 uses focused assessments to evaluate a specific location, activity, operation, organization, program, or project at a site or facility, including Special Access Program Facility (SAPF) and Sensitive Compartmented Information Facility (SCIF) locations. Attachment 6, *Focused Assessment Flowchart*, outlines the process and applicable sections for conducting focused assessments.

SAPFs: EA-20 conducts focused assessments of programs that protect special access program (SAP) assets. These assessments examine specific security subtopics emphasizing elements identified by the Special Access Program Oversight Committee (SAPOC) and/or the Government Program Security Manager (GPSM).

SCIFs: EA-20 conducts focused assessments on programs that protect sensitive compartmented information (SCI) assets. These assessments examine specific subtopics and associated national requirements and DOE directives, emphasizing elements identified by senior DOE managers, including the DOE Office of Intelligence and Counterintelligence (IN).

5.1 Focused Assessment Scoping

EA-20 uses the scoping phase in focused assessments to establish appraisal parameters. EA-20 coordinates with stakeholders to determine the applicable location(s), programs, topics, and facilities to evaluate.

Focused Assessments

EA-20 uses the scoping meetings to discuss the appraisal process, tentative dates, scope (e.g., facilities and operations), focus areas, and logistical concerns (e.g., site safety and security training requirements, POCs, and workspace requirements).

The EA-20 Director is responsible for coordinating and conducting the necessary scoping meetings with the applicable program office, field office, and stakeholders to discuss assessment activities. After determining the assessment scope, the EA-20 Director assigns a Team Chief that is responsible for is issuing an assessment memorandum to the assessed location and relevant program office. The memorandum officially communicates the appraisal dates, documents special considerations, and identifies logistical needs from the assessment site. The memorandum also communicates when EA will send the assessment plan and data call request to the site and identifies any additional scoping activities and dates required for performance testing.

The Team Chief is responsible for developing an assessment plan that outlines the preliminary schedule, the assessment scope, team composition, relevant topics and subtopics, and assessment LOIs.

Focused Assessments for SAPF and SCIF

The EA-20 Director is responsible for coordinating with the respective DOE program offices (i.e., National Nuclear Security Administration [NNSA] and IN) and stakeholders, such as SAPOC, to identify assessment locations and develop the schedule for the upcoming calendar year. The EA-20 Director oversees the development and transmittal of an annual assessment plan to the Director of IN for SCIF assessments and the NNSA Administrator and the SAPOC Chair for SAPF assessments. EA-20 uses the assessment plan to officially communicate the appraisal dates, locations, special considerations, and team composition. EA-20 typically evaluates program planning management, including elements of program-specific access, physical protection systems, alarm response, information security, operations security, and the technical security program.

5.2 Planning

EA-20 uses the planning phase to define resources, meet with stakeholders, obtain data, identify logistics, and align tasks to a formal schedule. EA-20 personnel use assessment tools (see attachment 1, Assessment Tool Flowchart) to determine the applicable LOIs, identify data collection methods and expected results, and tailor the products to the scope of the focused assessment.

Resources and Logistics

The Team Chief is responsible for identifying the resources needed to support the assessment and obtaining EA-20 Director approval. The Team Chief is also responsible for developing and tailoring the data call request to identify the site documents needed for the assessment and instructions on how to submit the data call response. The Team Chief also coordinates with the designated POC(s) to develop a schedule for activities approximately 60 days before arriving on site.

Focused Assessments for SAPF and SCIF

The EA-20 Director maintains indoctrinated personnel with authorized program access to conduct the SAPF and SCIF assessments. The Team Chief is responsible for transmitting a 90-day notification that includes a Planning Questionnaire, data call request, and other assessment needs to the applicable personnel. The Team Chief is also responsible for obtaining the requested information from the applicable personnel 60 days before the assessment. The Team Chief coordinates assessment planning using the Planning Questionnaire results, stakeholder inputs, applicable directives, and results from previous assessments.

5.3 Conduct

EA-20 uses the conduct phase of focused assessments to collect, validate, and analyze data on location.

Data Collection and Analysis

Assessment team members adhere to the provided schedule as much as possible and coordinate with site POCs to collect the necessary data to evaluate their assigned topic area(s). The Team Chief is responsible for communicating if EA adjusts specific topic areas, required work observations, and performance testing needs to respond to emerging concerns, requests from senior DOE managers, or performance trends observed during data collection. If observations indicate a need to deviate substantially from the documented scope or schedule, the Team Chief coordinates the changes with the appropriate DOE office and site POC. Additionally, the Team Chief coordinates team needs with the site personnel, including interactions with external organizations that provide services to those facilities (i.e., technical security programs, intrusion detection systems, Counterintelligence).

The assessment team uses planning and analysis worksheets (attachment 1, *Assessment Tool Flowchart*) to assess observed conditions against expected results for performance- and compliance-based data collection methods. The analytical process ensures that all aspects of the assessed program, system, or function are completely and consistently analyzed to identify program strengths and weaknesses. Using the established assessment tools, team members evaluate compliance with and performance of requirements. When EA-20 identifies a weakness, assessors use the analysis worksheets to determine the corresponding narrative statements and LOIs to further isolate the issue.

Interface Meetings

The Team Chief is responsible for allocating time during assessment activities for interface meetings, both internal with the appraisal team and external with the location being assessed.

The Team Chief uses internal team meetings to ensure that planned assessment activities adhere to the schedule and approved scope. Each assessor informs the Team Chief on assessment activities, significant results or concerns, and validation status.

The Team Chief is responsible for providing an inbrief on the first day of on location data collection to communicate planned appraisal activities, schedule, and scope. Additionally, the Team Chief coordinates daily meetings with the site's Federal and contractor management team to communicate the status of planned and completed assessment activities, coordinate resources and schedules, and validate assessment observations. On the last day of the appraisal, the team chief conducts an out-brief with the federal and site contractor management to communicate preliminary results for each topic area.

5.4 Reporting

EA-20 uses the reporting phase for focused assessments to produce a draft report on site or remotely, informing stakeholders and responsible management of appraisal results.

Report Preparation

Writers prepare an assessment report using the assessment tools, *EA-20 Guiding Principles for Report Writing, EA Editorial Style Guide*, and the report template. Assessors use the report template as the baseline input to document the results for their assigned areas of responsibility. Assessors update the content of the report template for their assigned topics or subtopics to reflect the observed assessment results and ensure the technical accuracy of each narrative statement. When individual topic and subtopic report drafts are complete, assessors provide the drafts to the Team Writer to consolidate into the initial draft report. Additionally, the Team Writer finalizes the executive summary and ensures the technical accuracy of assessment results, consistency in formatting, and tone of the initial draft report.

During the report preparation process, the Team Chief, Team Writer, and assessors review the initial draft report to ensure quality and consistency. Upon completion of the collaborative review process, the Team Chief is responsible for adjudicating comments and providing a draft report to the MRB.

Management Review Board

The MRB ensures that all topic and subtopic sections are consistent, logical, and contain adequate information to support the conclusions. The MRB focuses on cohesiveness across all assessed topics and cross-cutting aspects within the report. The MRB also reviews the executive summary to verify that the results reflect the primary strengths and weaknesses. The MRB reviews the draft report and provides comments and feedback to the Team Chief. The Team Chief is responsible for adjudicating all comments received from the MRB.

Focused Assessment

EA-20 uses the FAR and comment resolution process to ensure that the report is factually correct and presents an accurate evaluation of the effectiveness of the facility and program. The Team Chief is responsible for verifying the accuracy of the draft report content, submitting the draft report for technical editing, and transmitting the draft report for factual accuracy to the applicable program or field office as follows:

- SAPFs – GPSM or designee, who further disseminates to the appropriate representatives
- SCIFs – IN Security Division Director or designee, who further disseminates to the assessed location.

The Team Chief is responsible for providing a comment resolution form and requesting consolidation of all comments within ten calendar days. The Team Chief, with support from the assessment team, is responsible for reviewing each comment, documenting an explanation for acceptance, partial

acceptance, or consideration without incorporation, communicating the resolution of all comments with the appropriate program office, and updating report narrative appropriately.

Report Finalization

The EA-20 Director serves as the QRB chair on focused assessment reports to ensure that the quality, tone, and content align with the office's mission and strategic goals. EA-20 documents additional details on the QRB process, roles, and responsibilities in the *EA Quality Review Board Business Policy.* Before report finalization, the Team Chief is responsible for verifying that the report is factually accurate and receives a technical edit and final derivative classifier review. The EA-20 strategic goal is to submit the final report for processing within 60 calendar days after the outbrief.

5.5 Focused Assessment Closeout

EA-20 uses the closeout phase to communicate the assessment results to senior management and finalize the report.

Briefings

The Team Chief prepares for and schedules, with EA-20 Director approval, a post-assessment briefing with the EA-1 Director. The Team Chief summarizes appraisal activities, including:

- Team composition
- Appraisal scope
- Assessment methods and activities
- Appraisal results, specifying strengths and weaknesses requiring management attention.

The Team Chief is responsible for coordinating additional briefings with responsible DOE personnel and stakeholders.

Report Archiving

HQ Administrative Staff routes the report for final approval and works with the Team Chief to develop the transmittal memorandum. Once approved, the Team Chief works with HQ Administrative Staff to disseminate and archive the report. HQ Administrative Staff update EA document lists to reflect the issuance of the report.

6 Limited Notice Performance Testing Assessments

EA-20 uses limited notice performance testing (LNPT) assessments to evaluate operational readiness to protect DOE interests. An LNPT assessment is performed with as little advanced notice as practical to provide a realistic evaluation of the site's S&S capabilities essential to protecting Departmental assets. The LNPT assessment team typically consists of only a few subject matter experts. LNPT assessments typically require 60 days of coordination, two days of onsite data collection, and one day of report writing.

6.1 LNPT Assessment Scoping

EA-20 uses the scoping phase to develop an annual schedule and establish assessment parameters.

The EA-20 Director is responsible for approving the annual LNPT schedule and developing a memorandum outlining the LNPT assessment locations for the upcoming calendar year. The EA-20 Director coordinates transmittal of the memorandum to the responsible DOE program offices and limits the dissemination of schedule dates to EA management and EA-20 personnel due to sensitive trusted agent (TA) information.

The Team Chief is responsible for coordinating scoping meetings with the responsible field office approximately 60 days prior to assessment. The Team Chief uses the scoping meeting to request preliminary data, identify essential elements of the protection strategy, and determine focus areas, which may include past deficiencies and findings.

6.2 LNPT Assessment Planning

The Team Chief is responsible for coordinating planning activities before onsite testing. Specific planning elements include:

- Resources
- Site Coordination
- Test Selection
- Testing Documentation.

Resources

The Team Chief is responsible for identifying the resources needed to support the assessment and obtaining EA-20 Director approval.

Notifications and Site Coordination

The Team Chief is responsible for contacting the responsible DOE office(s) and identifying TAs approximately 45 days before assessment. The Team Chief also communicates the LNPT process and scope, initiates test selection and planning, and obtains TA contact information. The Team Chief typically provides appraisal dates to only TAs and reinforces the requirements to limit test information and dissemination to the essential TAs needed to coordinate the test, promoting realistic testing.

The Team Chief is responsible for coordinating meetings with the assessment team and site TAs to discuss testing activities. Additionally, the Team Chief coordinates with the site to determine training requirements and personal protective equipment for site/facility access. The Team Chief notifies the assessment team of training requirements and verifies that the team completes all required training. The Team Chief also provides the assessment team a list of protective equipment required by the site (e.g., steel-toe shoes or cold-weather gear).

Test Selection

The Team Chief is responsible for selecting tests from the essential element list, high-consequence activities, mission and operation changes, and previous assessment results. The Team Chief ensures that the selected PTs evaluate the appropriate skills, capabilities, and protection elements.

Testing Documentation

The Team Chief is responsible for developing and transmitting a test description document that describes the test objectives, parameters, test-specific data call, and relevant information approximately 30 days prior to the assessment.

The Team Chief coordinates the receipt and dissemination of site-specific test plans before the LNPT assessment. The LNPT assessment team evaluates each test plan for alignment with the agreed-upon test objectives, testing criteria, and safety control measures. The Team Chief and Team Writer update the report template to reflect the LNPT site and planned tests.

Assessment team members tailor data collection forms to evaluate the planned PTs using information from coordination meetings, test plans, and the associated data call. EA-20 uses the data collection forms to ensure testing and evaluation criteria align with the planned testing.

6.3 LNPT Conduct

EA-20 uses the conduct phase to observe a series of LNPTs, typically over two to three days. The Team Chief is responsible for conducting an inbrief with site PT personnel to communicate objectives, testing approach and methodology, and performance evaluation criteria.

The assessment team observes testing and evaluates the responsible organization's ability to plan and conduct PTs. Additionally, the assessment team determines the need for supplemental data collection and testing based on the following conditions:

- Testing does not meet objectives
- Assessor(s) cannot witness key aspects of the testing.

The assessment team validates testing results and observed conditions with site personnel immediately following the test(s). The assessment team then analyzes the validated results using associated performance testing documentation (e.g., site-specific training, site plans, implementing procedures, and test plans).

6.4 LNPT Reporting

EA-20 uses the reporting phase to produce a draft report, typically at the assessed location, informing stakeholders and responsible management of appraisal results.

Report Preparation and Site Outbrief

The report preparation and FAR phase occurs after data collection and performance testing is complete. At this time, the LNPT Assessment is no longer TA information.

Assessors develop report inputs using the report template created during the Planning phase. The Team Writer combines the inputs into a draft report and adjusts the formatting and tone. The appraisal team reviews the draft report and adjusts as necessary to ensure factual accuracy and adequacy of the narrative to support results.

The Team Chief provides the draft report to the site POC for a one-hour FAR and coordinates an outbrief. The Team Chief conducts the outbrief with the responsible organizations and field office following the FAR. The LNPT assessment team may attend the outbrief to address any questions and provide additional detail as needed.

The Team Chief is responsible for resolving all comments from the FAR and outbrief. Once the Team Chief finalizes the draft report, the Team Writer submits the draft report for peer review. An EA-20 writer, external to the LNPT assessment, conducts a final peer review for quality and consistency and provides feedback to the Team Writer and Team Chief.

EA-20 Leadership Review and Report Finalization

EA-20 leadership ensures that each report is logical and cohesive, contains adequate information to support the conclusions, and focuses on cross-cutting aspects within the report. After EA-20 leadership provides comments and feedback, the Team Chief, in conjunction with the assessment team, adjudicates all comments. The EA-20 Director ensures the report is factually accurate and receives a final derivative classifier review before issuing the final report.

6.5 Closeout

EA-20 uses the closeout phase to communicate the assessment results to senior management and finalize the report.

Briefings

The Team Chief prepares for and schedules, with EA-20 Director approval, a post-assessment briefing with the EA-1 Director. The Team Chief summarizes appraisal activities, including:

- Team composition
- Appraisal scope
- Assessment methods and activities
- Appraisal results, strengths, and weaknesses requiring management attention.

The EA-20 Director or designee provides additional briefings to stakeholders.

Report Archiving

HQ Administrative Staff routes the report for final approval and works with the Team Chief to develop the transmittal memorandum. Once approved, EA-20 disseminates and archives the report, including entry into the SSIMS. HQ Administrative Staff update EA document lists to reflect the issuance of the report.

7 Special Assessments, Follow-up Assessments, and Targeted Assessments

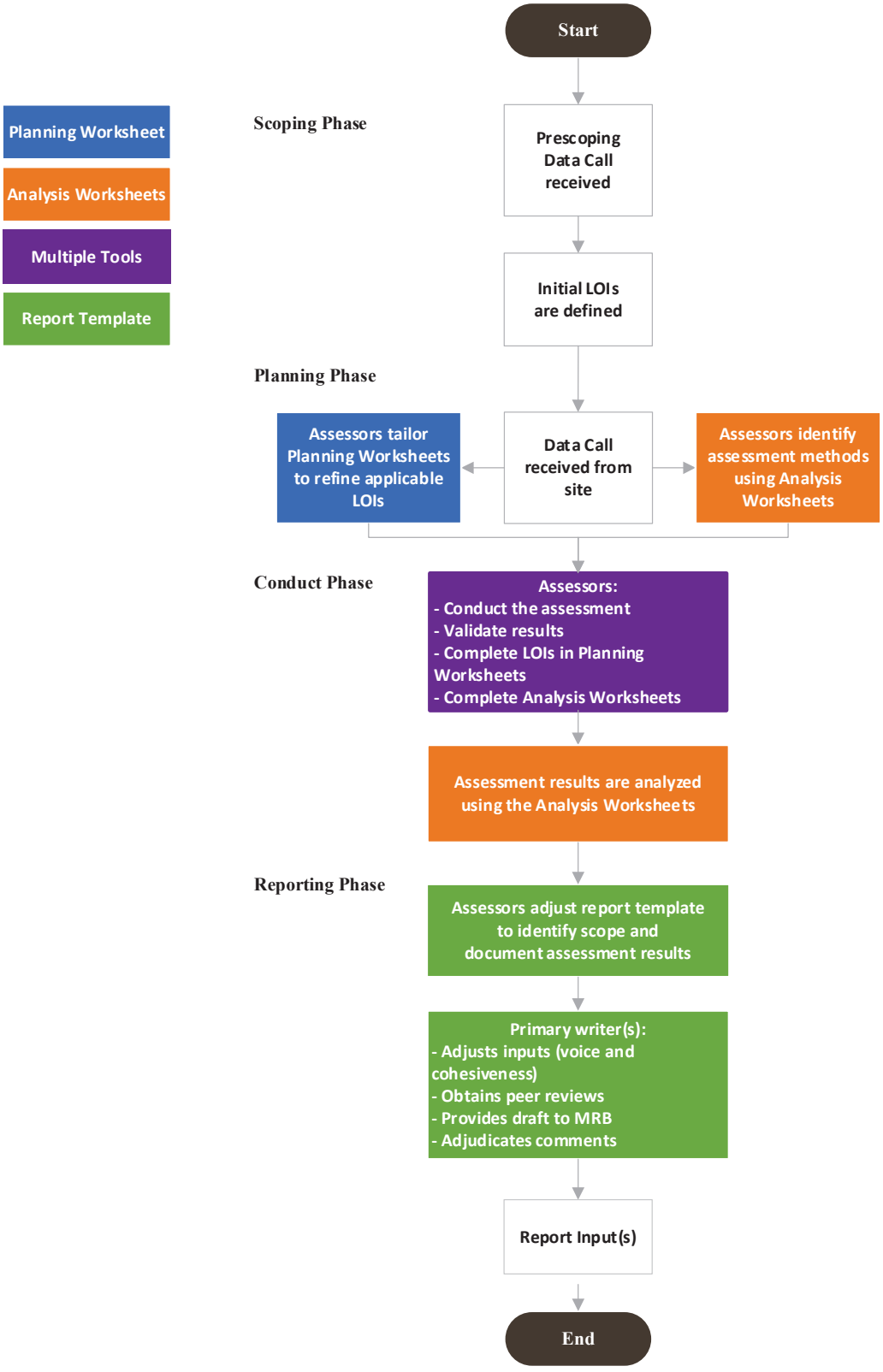
EA conducts Special Assessments, Follow-up Assessments, and Targeted assessments as needed. The designated Team Chief is responsible for determining the assessment approach and resources needed to support these assessments.

Special Assessment: EA conducts special assessments when directed by the Secretary or other senior DOE managers to provide specific information about DOE safety and security programs and policies, other critical DOE functions, complex-wide issues, or systemic weaknesses in S&S programs. A special assessment is either a single undertaking or a series of appraisals conducted across the complex, often in "rapid response" to a particular event. Alternatively, the EA Director may propose a special assessment if other EA activities indicate a need. The EA-20 Director provides the necessary resources to conduct and support special assessments, which may address areas outside S&S programs.

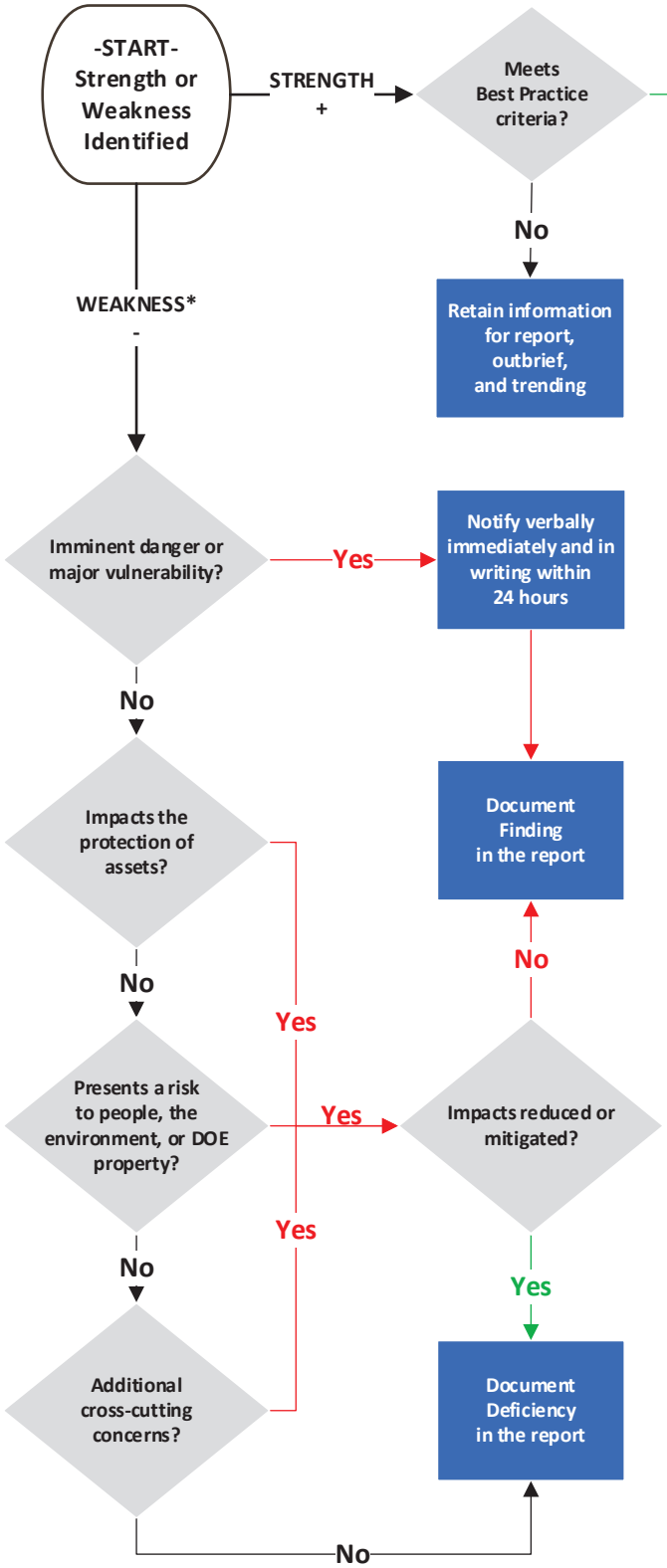
Follow-up Assessment: EA conducts follow-up assessments to determine the status, progress, effectiveness, and sustainability of corrective actions in response to significant concerns identified during previous EA appraisals or DOE line management oversight activities. EA conducts follow-up assessments when requested by the cognizant DOE manager or the EA-20 Director.

Targeted Assessment: EA conducts targeted assessments to evaluate a selected topic or program area at multiple DOE sites or facilities. Targeted assessments may address the effectiveness of specific program elements or policy items implemented across DOE by evaluating similar activities, operations, or conditions at multiple locations. EA-20 can use targeted assessments to conduct complex-wide, cross-cutting studies for specific issues of interest.

Attachment 1
Assessment Tool Flowchart



Attachment 2
Determination Decision Tree



Notes

The flowchart is a starting point for determining the significance of an identified strength or weakness.

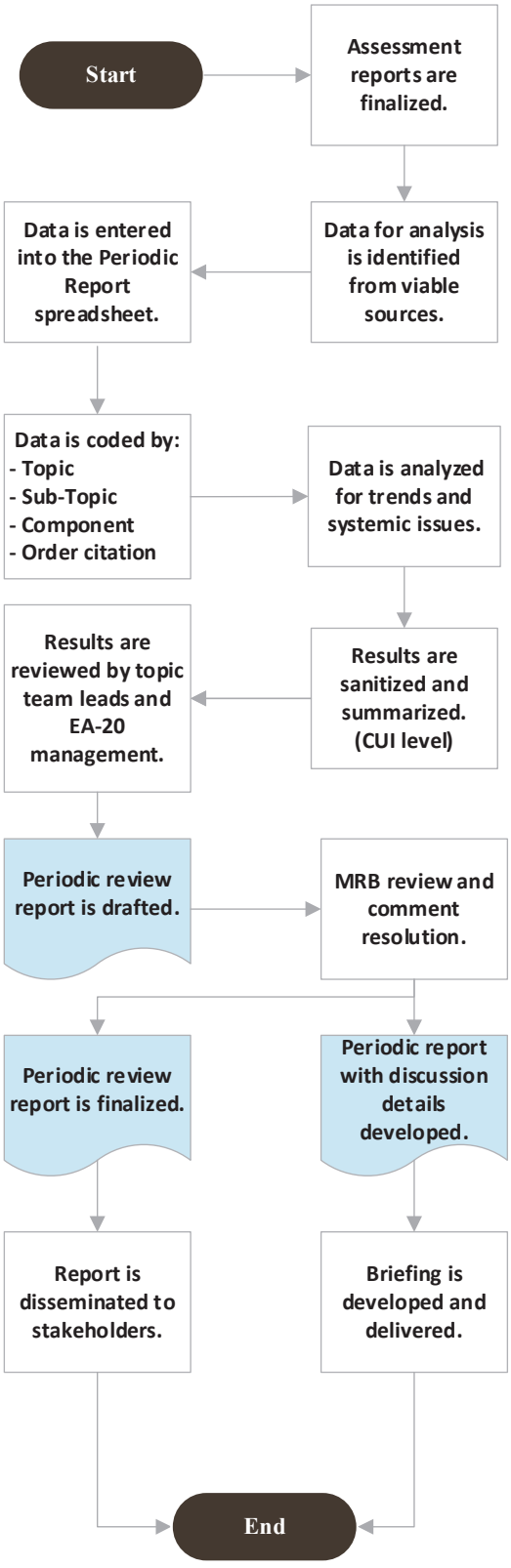
- A strength is a positive aspect that improves the S&S program(s).
- A weakness is any issue that negatively impacts S&S program performance or compliance with directives.
- EA-20 may consider the adequacy of open corrective plans and associated actions when making issue determinations.

EA-20 management is responsible for the final determination and can supersede preliminary determinations made using the decision tree.

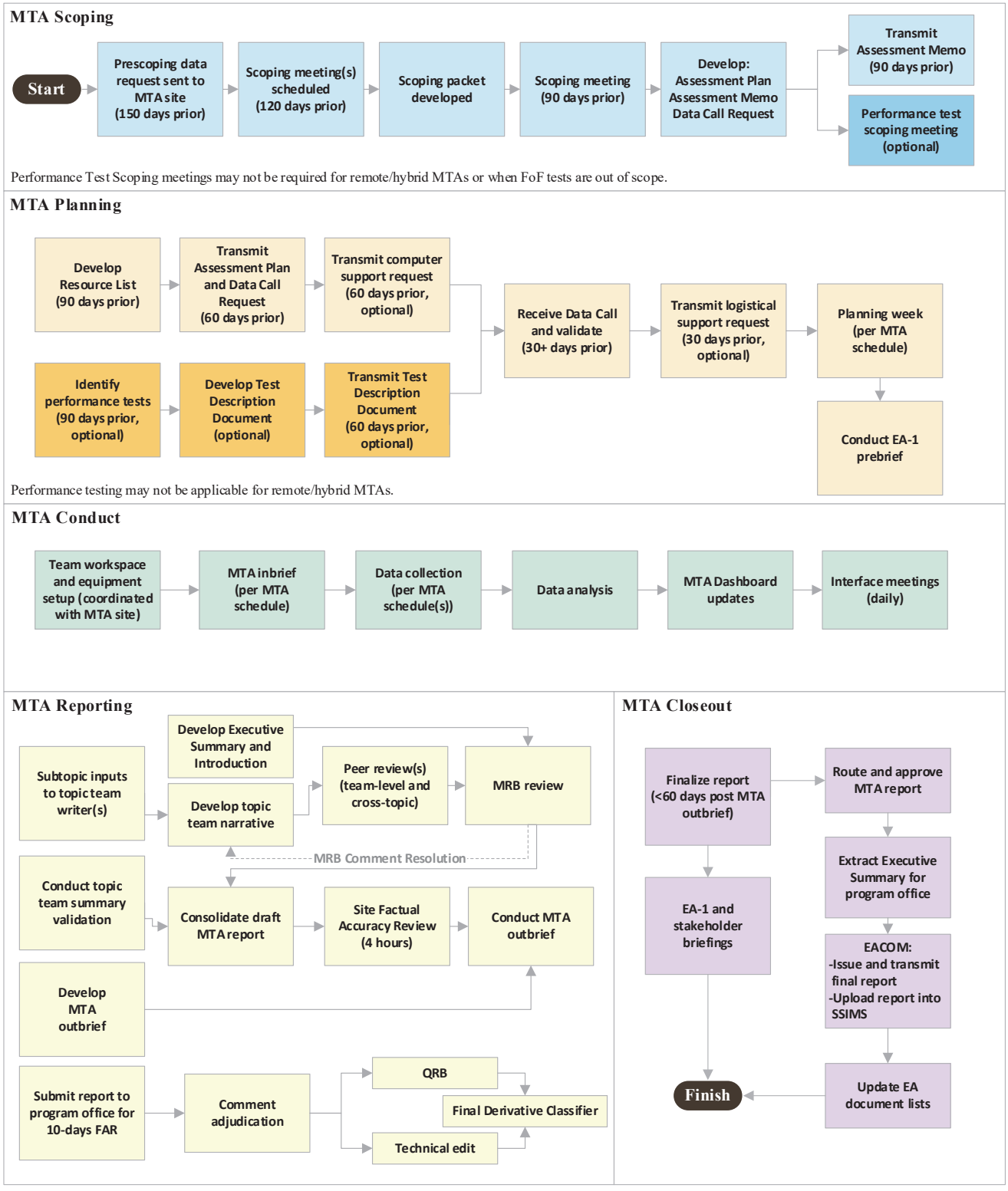
Opportunities for Improvement (OFIs) are evaluated on a case-by-case basis for applicability and benefit to the program being assessed and are purposely omitted from the decision tree.

Best practice criteria and OFIs are defined in Appendix A, Terms and Definitions.

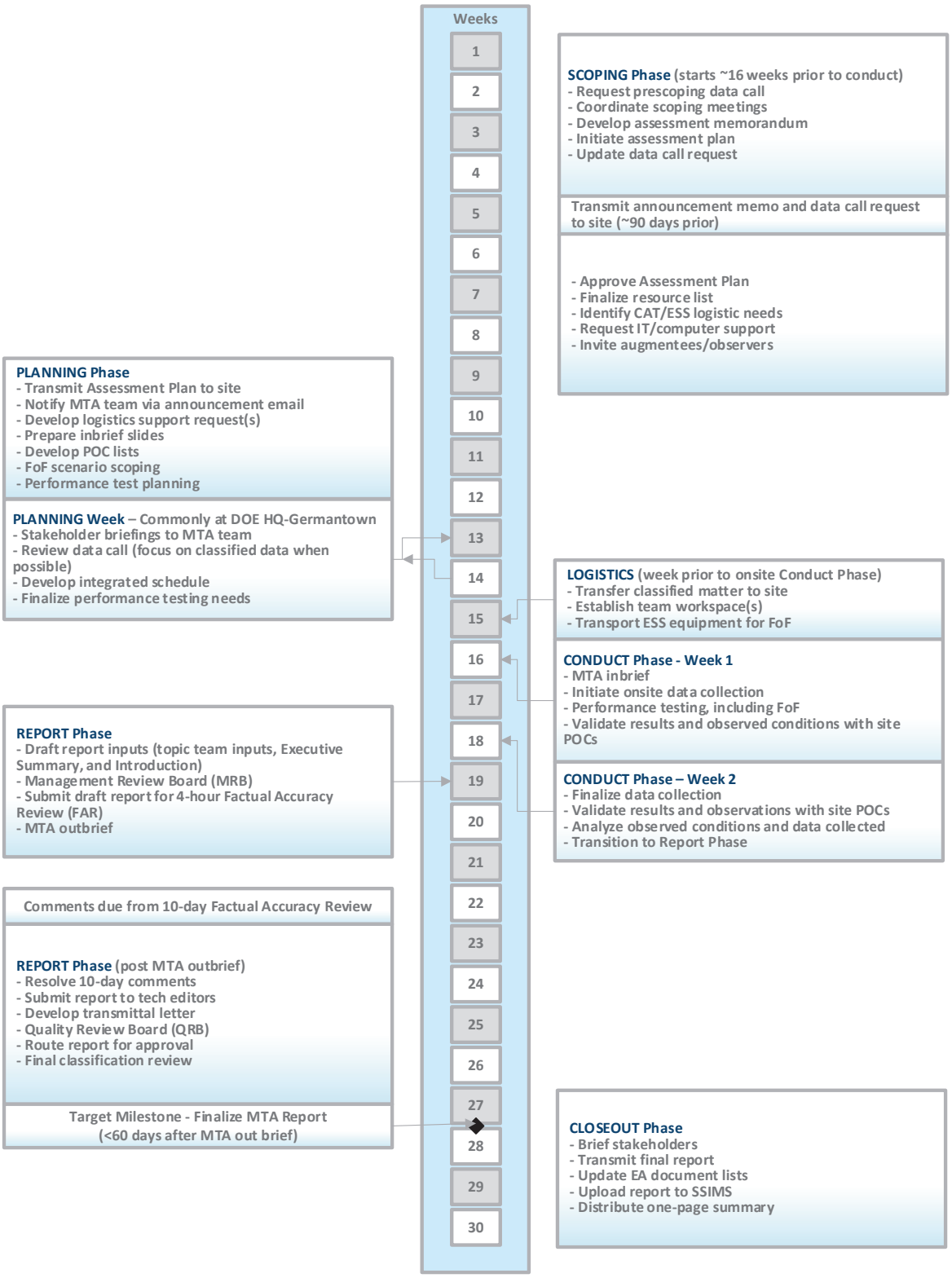
Attachment 3
Periodic Report Flowchart



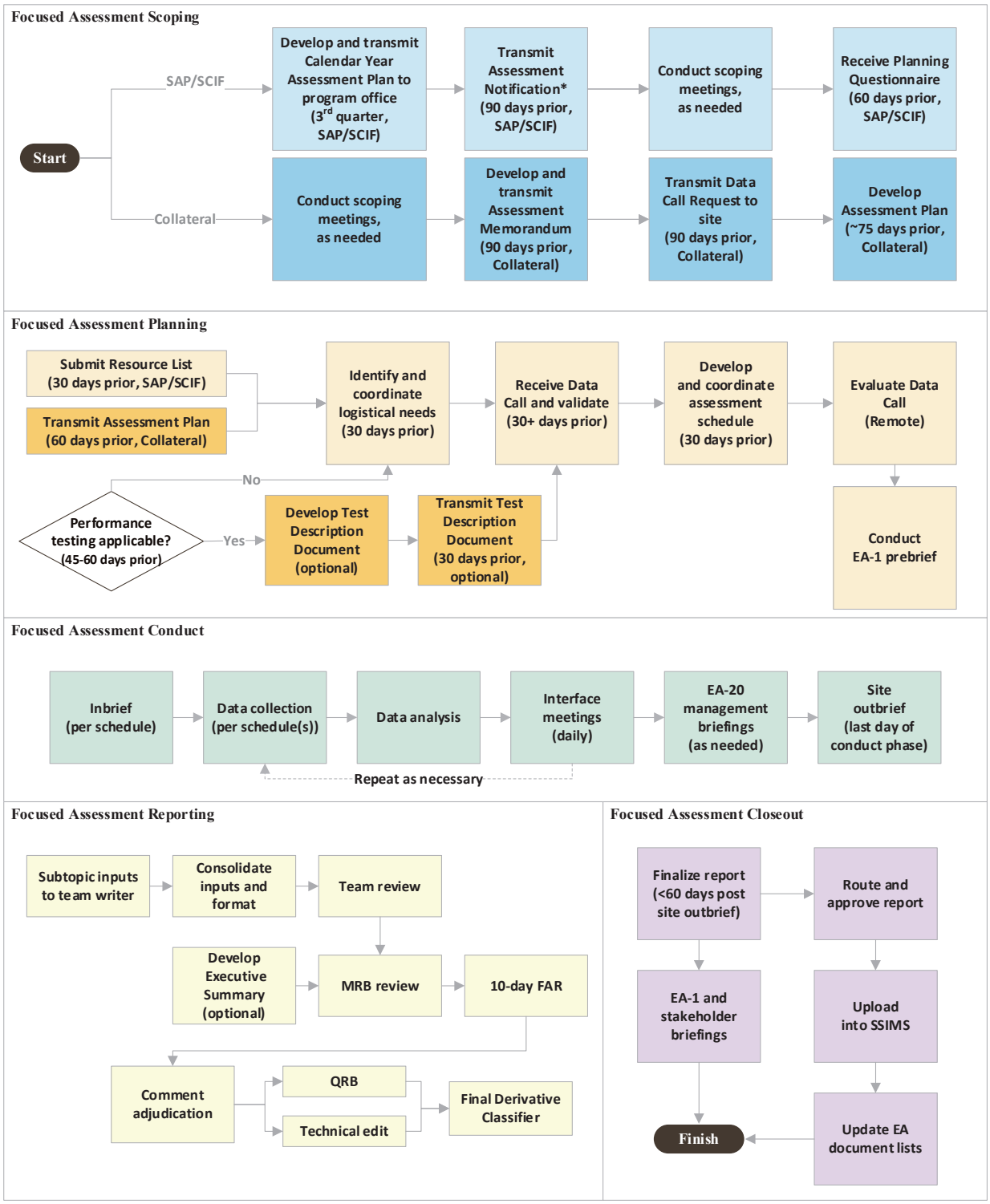
Attachment 4
MTA Flowchart



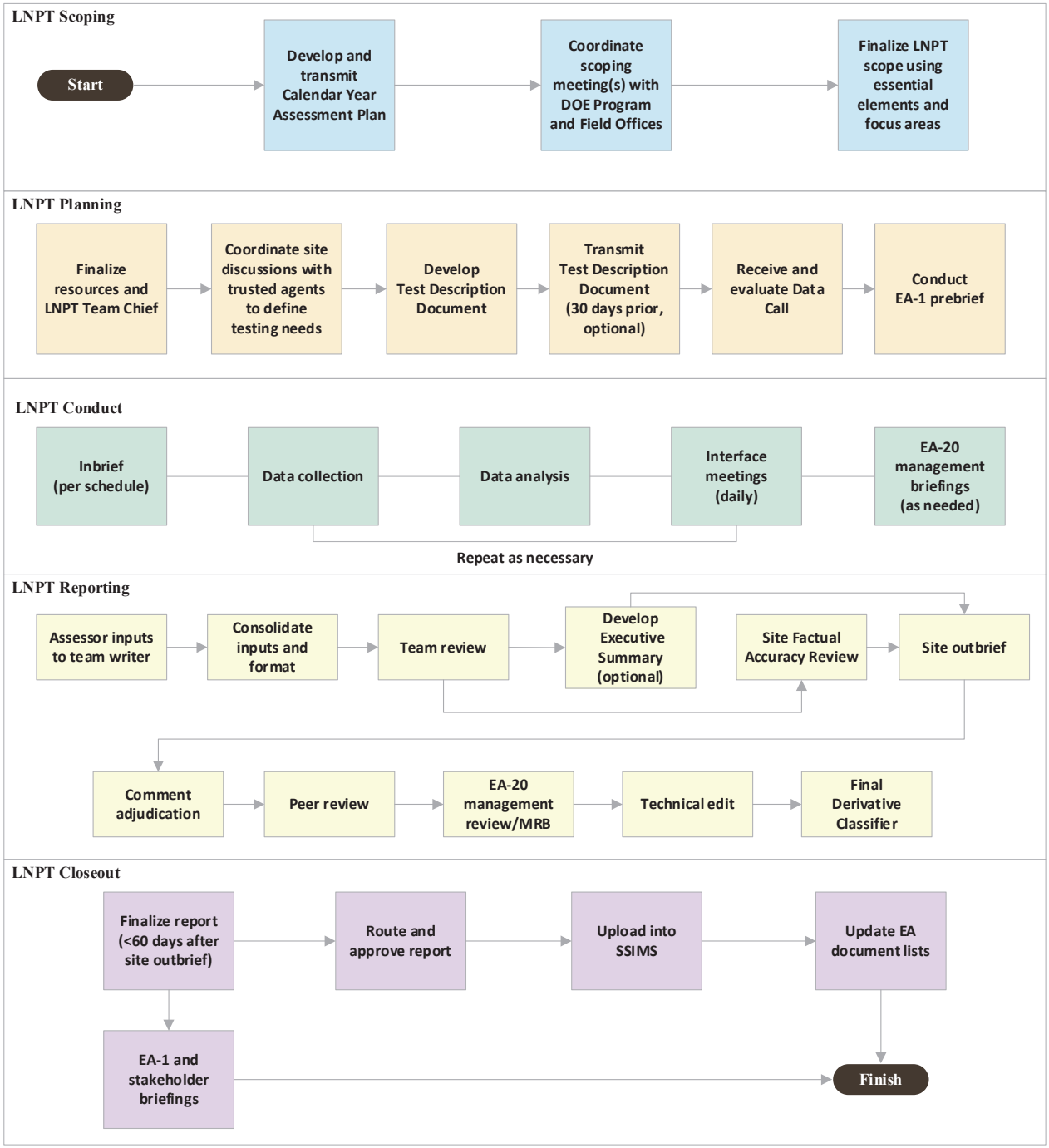
Attachment 5
MTA Timeline



Attachment 6
Focused Assessment Flowchart



Attachment 7
Limited Notice Performance Testing (LNPT) Flowchart



Attachment 8
Assessment Prioritization Criteria

EA-20 maintains a prioritization matrix and conducts assessments based on a priority designation that aligns with DOE Design Basis Threat Protection Level (PL) Designations.

- Priority I - Locations with PL 1-4 Assets
  - EA-20 aims to conduct an MTA at these locations every 36 to 48 months.
  - EA-20 monitors program between MTAs using annual LNPT Assessments.
- Priority II - Sites with PL 5-6 assets
  - EA-20 aims to conduct an MTA, Focused, or Target Assessment at these locations every 60 to 72 months.
  - EA-20 monitors program performance using LNPT Assessments when resources allow.
- Priority III - Sites with PL 7-8 Assets, including SCI and SAP assets
  - EA-20 aims to conducts Focused Assessments every 60 months for SCI assets.
  - EA-20 aims to conducts Focused Assessments every 24 months for SAP assets based on agreement with government program security manager.
  - EA-20 typically assesses priority III locations in response to significant or recurring security incidents or as part of targeted assessments of specific security functions (e.g., performance of armed protective forces).
- Other factors EA-20 considers in determining the priority designation:
  - Identified risks/risk levels associated with the protection system
  - Compensating or mitigating factors
  - Management and program stability concerns (e.g., contract changes, reductions in force, changes in program implementation approaches, newly deployed technologies).

<table>
<tr><th colspan="6">EA-20 Schedule Schema</th></tr>
<tr><th rowspan="2">Year</th><th rowspan="2">Priority I
PL 1-4</th><th rowspan="2">Priority II
PL 5-6</th><th colspan="3">Priority III</th></tr>
<tr><th>SAP</th><th>SCI</th><th>PL 7-8</th></tr>
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<tr><td>2</td><td>LNPT</td><td></td><td rowspan="2"></td></tr>
<tr><td>3</td><td>LNPT</td><td rowspan="4">LNPT when resources allow</td><td>Focused</td></tr>
<tr><td>4</td><td>LNPT</td><td></td></tr>
<tr><td>5</td><td>MTA</td><td>Focused</td><td>Focused</td></tr>
<tr><td>6</td><td>LNPT</td><td></td><td rowspan="4"></td></tr>
<tr><td>7</td><td>LNPT</td><td rowspan="2">MTA, Focused, or Target</td><td>Focused</td></tr>
<tr><td>8</td><td>LNPT</td><td></td></tr>
<tr><td>9</td><td>MTA</td><td rowspan="2">LNPT when resources allow</td><td>Focused</td><td>Focused</td></tr>
<tr><td>10</td><td>LNPT</td><td></td><td></td></tr>
</table>

Appendix A
Roles and Responsibilities

Role	Phase	Responsibilities
EA-20 Director	**Global**	• Approves the strategic goals and objectives for EA-20 and incorporates the content in the EA Operational Plan • Approves and transmits appraisal forecast and schedules to responsible DOE personnel and offices • Approves EA-20 process documents, protocols, procedures, and report templates • Approves EA-20 Assessment Plans and Reports • Coordinates briefings with EA-1 and Administrators/Program Office(s) • Approves all augmentees and observers supporting EA-20 appraisals • Ensures periodic trending is performed and briefed to designated DOE and contractor personnel responsible for S&S programs
Technical Advisor	**Global**	• Assigns and manages contractor personnel to support team leadership and appraisal activities • Ensures assigned personnel do not have a conflict of interest • Provides technical support, including: ○ MRB support on EA-20 products and reports • Develops briefing materials
HQ Administrative Staff	**Global**	• Coordinates the necessary resources, work areas, and equipment to conduct work at the Germantown facilities • Coordinates and schedules meeting spaces and briefings at Germantown • Develops and transmits EA-20 deliverables and memoranda • Maintains files and access privileges in Teams, DocShare, and SharePoint • Initiates and routes EA-20 documents and deliverables through official EA reviews and approval cycles in DocShare • Coordinates with EA Communications Center personnel to upload EA-20 reports into SSIMS
Tracking and Trending Analyst(s)	**Global**	• Extracts and analyzes data from EA-20 reports and inputs • Drafts report and briefing materials to communicate trends and significant results
MRB members	**Reporting**	• Provides feedback and comments to appraisal teams and MTA Topic Team Leads • Ensures the quality and cohesiveness of EA-20 appraisal reports
Derivative Classifier	**Reporting**	• Conducts classification determinations on EA-20 products prior to disseminating products externally • Identifies marking requirements, including working draft and portion marking, on EA-20 products • Provides inputs on classification matters and proposed narrative undergoing development

Role	Phase	Responsibilities
Team Chief	**Global**	• Manages the overall planning, coordination, and execution of assigned EA-20 appraisals • Determines the required resources and assessment approach for non-routine assessments • Determines applicability and use of assessment tools to support appraisal activities • Ensures assessment deliverables (e.g., memoranda, plans, schedules, data call requests) are developed and transmitted to responsible personnel and stakeholders • Ensures the appraisal team adheres to established protocols • Validates assessment activities and results with site personnel • Facilitates meetings with the assessment team to communicate assessment status and results • Communicates policy concerns identified through EA-20 appraisals to responsible policy owner(s) • Briefs EA-20 Director/Deputy on assessment progress and results • Coordinates management review of the EA-20 report, including MRB members and participants • Collects and compiles lessons learned and improvement opportunities • Supports periodic teleconferences to communicate tracking and trending results, as required • Communicates tracking and trending results from appraisal activities with the NTC and the DOE Office of Security Policy
	Scoping	**LNPT and Focused Assessments** • Assists with the identification of annual focus areas, associated PTs, and performance evaluation criteria **LNPT** • Notifies site Program Office and Federal S&S Manager of performance testing and requests lead Federal TA • Finalizes test selection with input from the EA-20 PT Coordinator and the site TAs **Focused SAPF/SCIF Assessments** • Ensures 90-day assessment memorandum is submitted to the GPSM and IN MTAs and Focused Collateral Assessments • Identifies and requests pre-scoping data call • Ensures scoping packet development and dissemination • Coordinates site scoping meeting(s) • Finalizes MTA scope and coordinates scope changes with site management • Ensures the assessment memorandum is submitted to the responsible DOE Field and Program Offices

Role	Phase	Responsibilities
Team Chief	**Planning**	• Ensures development of planning documents, including resource lists, the test description document, appraisal schedule, and report template(s) • Coordinates pre-appraisal briefings with stakeholders • Requests assessment data call from the site • Manages supplemental data call requests with site POC
	Conduct	• Validates assessment results at daily management meetings with: o MTA - Senior contractor and DOE Field Office management o Focused - SAPF: GPSM, Site Security Coordinator, Contractor Program Manager, Contractor Program Security Officer o Focused - SCIF: IN, Field Intelligence Element Director, and Special Security Officer o Focused - Collateral: Responsible DOE and contractor management • Provides updates and briefings to EA-20 Director during conduct phase
	Reporting	• Oversees the development of appraisal reports • Ensures factual accuracy of draft report content • Coordinates FAR with site personnel when required • Provides the draft report to the following stakeholders for the 10-day FAR: o MTA - DOE Program Office o Focused - SAPF: GSPM o Focused - SCIF: IN o Focused - Collateral: DOE Program or Field Office • Provides the report to the EA-20 Director for management review • Develops post-appraisal briefing for EA management
	Closeout	• Outbriefs site management/stakeholders after data collection activities • Ensures that finalized reports are distributed and archived appropriately
Deputy Team Chief	**Global**	• Provides direct support to the Team Chief and assists with the overall planning, coordination, and execution of assigned EA-20 appraisals
Team Writer(s)	**Global**	• Ensures written reports and products align with the EA-20 Guiding Principles for Report Writing and the EA Editorial Style Guide (see Forms-Protocols repository) • Supports Team Chief and MTA Topic Team Leads in coordinating team activities, schedules, status updates, briefings, and written products • Conducts peer reviews of EA-20 products, as necessary
	Planning	• Supports the development of EA-20 appraisal inputs, including test description document, report templates, and executive summary

Role	Phase	Responsibilities
Team Writer(s)	**Reporting**	• Consolidates draft report inputs from assessors • Ensures report content consistency in content and formatting, plain and precise language use, flow, and tone • Develops conclusion narratives with input from Team Chief and MTA Topic Team Lead • Adjudicates comments in written reports and products consistent with management direction • Performs the responsibilities of derivative classifiers when required **LNPTs and Focused Assessments** • Develops required EA-20 appraisal outputs (e.g., draft report, executive summary) **MTAs** • Develops the narrative for topic-level conclusions • Provides topic team inputs to briefing materials
Assessors	**Global**	• Conducts thorough, objective, and accurate evaluations using approved EA-20 appraisal tools and protocols • Attends and supports meetings and briefings, as required
	Planning	• Tailors appraisal tools to scope • Tailors data collection forms for PTs • Evaluates data call for completeness and submits supplemental data call requests to the Topic Team Lead/Team Chief • Identifies and prepares for data collection methods • Completes necessary site-specific training
	Conduct	• Coordinates remote and onsite data collection methods through Team Chief or MTA Topic Team Lead • Adheres to all posted requirements and facility personnel guidance during observations • Observes and evaluates data collection activities • Conducts and supports validation activities • Serves as evaluators during FoF testing
	Reporting	• Develops baseline inputs to the draft report that ensure significant results are documented with supporting narrative for areas of responsibility • Ensures the technical accuracy of each narrative statement • Obtains and performs peer reviews of draft report inputs and content
PT Coordinator	**Planning**	• Assumes responsibilities delegated by the Team Chief/PT Lead • Coordinates logistics and personnel needed to support performance testing, including the CAT and EA-20 ESS equipment • Coordinates PT selection and data call requests with site TAs **LNPT** • Consolidates data call from the site/facility and distributes to the assessors • Coordinates with the LNPT assessment team to develop the test description document • Coordinates development of LNPT inputs (i.e., draft schedule, data collection forms, report template, and executive summary template)

Role	Phase	Responsibilities
PT Coordinator	**Conduct**	• Assists Team Chief/PT Lead with the execution of performance testing
Topic Team Leads (MTA-specific)	**Global**	• Supports periodic teleconferences to communicate tracking and trending results, as required
	Planning	• Assigns assessors subtopics and areas of responsibility • Manages supplemental data call requests with site POC and Data Call Administrator • Drafts topic team schedule • Coordinates data collection activities and scheduling with site POC • Ensures the assessment dashboard is populated and updated prior to team meetings
	Conduct	• Attends interviews with DOE Field Office and senior contractor management • Ensures the assessment dashboard is updated to facilitate internal team meetings • Briefs assessment activities and results at end-of-day meetings, including validation status • Ensures consistency of information communicated to and validated with the site personnel and reported to the Team Chief/Deputy Team Chief
	Reporting	• Ensures topic-level inputs are developed and reviewed prior to MRB • Conducts summary validation of topic-specific results • Supports resolution of FAR comments, including any required follow-up actions and narrative adjustments
Lead Writer (MTA-specific)	**Reporting**	• Develops the executive summary and introduction • Captures MRB comments and feedback on topic inputs • Consolidates topic team inputs into the draft report • Finalizes MTA outbrief slides
Data Call Administrator (MTA-specific)	**Global**	• Establishes and maintains a designated SharePoint repository for appraisal activities and documents (see Data Call Protocol in the Forms-Protocols repository) • Manages the cataloging of MTA data call and supplemental documents
Field Coordinator (MTA-specific)	**Planning**	• Coordinates logistical needs, including classified and unclassified site workspaces, with site POCs • Identifies and provides site-specific pre-arrival instructions to the assessment team
Field Coordinator (MTA-specific)	**Conduct**	• Ensure required protocols are established and maintained for team workspace(s)

Role	Phase	Responsibilities
PT Lead (MTA-specific)	**Planning**	• Coordinates development of MTA performance testing schedule, including inputs from site POCs and topic teams • Coordinates performance testing activities, logistics, and schedule with EA-20 and site personnel • Ensures a test description document is developed • Ensures testing activities are sanitized and captured in the appraisal schedule • Ensures a Safety Coordinator is responsible for establishing safety measures when ESS is used • Ensures adherence to Detailed FoF Process requirements when FoF testing is used
EA-20 Safety Coordinator (MTA-specific)	**Conduct**	• Ensures safety protocols are established to protect all personnel involved when ESS is used or FoF testing is conducted

Appendix B
Terms and Definitions

The following table contains pertinent terms and definitions applicable to EA-20 appraisal activities. Additional terms are available within DOE directives, technical standards, Federal supplemental guidance, and the DOE S&S Policy Information Resource at www.pir.doe.gov.

Term	Definition
Acceptance Testing	The process of exercising or evaluating a system or system component by manual or automated means to ensure that it satisfies the specified requirements and the system or component performs as intended in the operating environment. [DOE O 473.1a]
Appraisal	Independent Oversight activity conducted by EA to evaluate the effectiveness of line management performance and risk management or the adequacy of DOE policies and requirements. [DOE O 227.1a]
Assessment	Process of collecting, evaluating, and using data for improvement in the current performance.
Augmentee	A contractor or Federal staff member approved by the EA-20 Director to participate in scheduled appraisal activities as an assessor under the guidance of the Team Chief or assigned Topic Team Lead.
Best Practice	Safety or security-related practice, technique, process, or program attribute observed during an appraisal that may merit consideration by other DOE and contractor organizations for implementation because it: (1) has been demonstrated to substantially improve safety or security performance of a DOE operation; (2) represents or contributes to superior performance (beyond compliance); (3) solves a problem or reduces the risk of a condition or practice that affects multiple DOE sites or programs; or (4) provides an innovative approach or method to improve effectiveness or efficiency. [DOE O 227.1a]
Compensatory Measure	Safeguards or security activity designed to provide a level of protection to compensate for the degraded or inoperable equipment, system, or components until fully functional. [DOE O 473.1a]
Composite Adversary Team (CAT)	Designated and qualified staff members from EA, DOE, and National Nuclear Security Administration sites who conduct adversary actions during PTs or FoF exercises.
Controller	An individual assigned to assist a Test Director in conducting and controlling a PT.
Cross-Cutting	Aspects or activities of an appraisal that impact multiple topics or subtopics. Cross-cutting areas often require analysis and input from multiple assessors or team members to assess and evaluate.
Deficiency	Inadequacy in the implementation of an applicable requirement or performance standard that is found during an appraisal. Deficiencies may serve as the basis for one or more findings.

Term	Definition
Engagement Simulation System (ESS)	Non-lethal system that permits players to simulate combat conditions and provides an accurate assessment of the effects of weapons fire during simulated hostile engagements.
Evaluators	Trained individuals assigned the responsibility of formally assessing the readiness and performance effectiveness of S&S system elements during a PT or FoF exercise.
Field Coordinator(s)	The individual responsible for controlling classified and unclassified sensitive matter in a deployed field environment. This individual also provides basic administrative support for teams deployed in field activities.
Finding	Deficiencies that warrant a high level of attention on the part of management. If left uncorrected, findings could adversely affect the DOE mission, the environment, worker safety or health, the public or national security. Findings define the specific nature of the deficiency, whether it is localized or indicative of a systemic problem, and identify which organization is responsible for corrective actions. [DOE O 227.1a]
Imminent Danger	Conditions or practices in the workplace where a danger exists which could reasonably be expected to cause death or serious physical harm either immediately or before the abatement of such danger, through normal procedures, would otherwise be required. [DOE O 227.1a]
Independent Oversight	Independent oversight refers exclusively to oversight by DOE HQ organizations that do not have line management responsibility for the activity. Oversight by supporting organizations that are direct reporters to line management is not considered DOE independent oversight. Within DOE, the sole responsibility for independent oversight of safety and security programs resides with EA, reporting directly to the Office of the Secretary of Energy. [DOE O 227.1a]
Limited-Notice Performance Test (LNPT)	Performance-based appraisal activity that is coordinated with site TAs and conducted with a minimal warning to solicit a realistic response to potential security incidents.
Limited-Scope Performance Test (LSPT)	A PT that evaluates specific skills, equipment, or procedures. The test events may be interrupted to facilitate data collection and may be purposely directed by evaluators to achieve evaluation goals.
Major Vulnerability	A vulnerability which, if detected and exploited, could reasonably be expected to result in a successful attack causing serious damage to the national security. [DOE O 227.1a]
Observer	A contractor or Federal staff member approved by the EA-20 Director to observe but not directly participate in data collection or analysis.
Operability Testing	Testing that indicates a piece of equipment is powered on and functioning without any indication of effectiveness. [DOE O 473.1a]
Opportunities for Improvement (OFI)	Suggestions offered in Independent Oversight appraisal reports that may assist cognizant managers in improving programs and operations. While they may identify potential solutions to findings and deficiencies in appraisal reports, they may also address other conditions observed during the appraisal process. OFIs are provided only as recommendations for line management consideration; they do not require formal resolution by management through a corrective action process. [DOE O 227.1a]

Term	Definition
Performance Testing	Activities conducted to evaluate all or selected portions of safety and security systems, networks, or programs as they exist at the time of the test. Performance testing includes, but is not limited to, FoF exercises, tabletop exercises, knowledge tests, LSPTs, LNPTs, penetration testing, vulnerability scanning, continuous automated scanning, and cyber security "red teaming." Performance testing can be conducted as part of a scheduled appraisal activity (i.e., announced), or without prior knowledge of the entity being tested (i.e., unannounced). [DOE O 227.1a]
Player	An active participant in a PT, either the person tested or as a role player (e.g., an adversary or a bystander).
Protocols	Official plans, procedures, or rules governing EA-20 work conduct.
System Effectiveness Test	System effectiveness of physical protection systems must be determined by performance testing of detection, assessment, delay, and response capabilities in concert. System effectiveness does not apply to any individual detection sensor but to all parts of the protection systems that work together in facilitating a response that mitigates the Design Basis Threat adversary threat. System effectiveness is determined through performance testing and analyzing the results, at a frequency as documented in the Performance Assurance Plan. [DOE O 473.1a]
Template	Formatted file used as a baseline to ensure content consistency and serves as the starting point for a new document.
Validation	Method to ensure the accuracy of collected data and that identified deficiencies, and their impacts, are effectively communicated to responsible managers and organizations.

Appendix C
Standard Operating Procedures (SOPs)

SOP#	Title	Purpose
SOP-CSF-01	Computer Support Facility Equipment Deployment	Preparation, shipping, setup, and teardown of Computer Support Facility equipment.
SOP-INSP-01	Assessment Planning	Team resources and logistics.
SOP-INSP-02	Assessment Site Set-up	Establishing secure workspaces.
SOP-INSP-03	Field Classified Systems Maintenance	Managing classified systems and end-user activities while deployed.
SOP-INSP-04	Control of Classified and Controlled Unclassified Information	Safeguarding classified and controlled unclassified matter during field assessment activities.
SOP-INSP-05	Assessment Planning and Data Collection	Establishing and maintaining the assessment dashboard.
SOP-INSP-06	Field QRB and Report Process	Formatting, reviewing, and finalizing draft reports.
SOP-INSP-07	Closeout and Post-assessment	Preparing and distributing assessment products and returning assessment supplies.