Office of Safeguards and Security Assessments

Appraisal Guide

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REVISION LOG

Revision Type (Minor/Major)	Revision Number	Description of Change	Section(s)	Signature of Approval
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Acronyms

Acronym	Definition
ARAPT	Alarm Response and Assessment Performance Test
CAT	Composite Adversary Team
CUI	Controlled Unclassified Information
DOE	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
FIE	Field Intelligence Element
FoF	Force on Force
GPSM	Government Program Security Manager
HQ	Headquarters
IN	Office of Intelligence and Counterintelligence
IN-23	IN Security Division
LNPT	Limited-Notice Performance Test
LSPT	Limited-Scope Performance Test
LOI	Lines of Inquiry
MRB	Management Review Board
MTA	Multi-topic Assessment
NNSA	National Nuclear Security Administration
NTC	National Training Center
O	Order
OFI	Opportunities 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
SCIF	Sensitive Compartmented Information Facility
SSIMS	S&S Information Management System
TA	Trusted Agent
TDD	Test Description Document

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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 to conduct appraisal activities. The guide begins with content applicable to all appraisal activities (sections 1-3), continues with appraisal-specific information (sections 4-7), and concludes with attachments and appendices containing supplemental information.

1 General

1.1 Purpose

This document provides EA-20 with a standard methodology for meeting mission requirements to conduct 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 Scope

This document applies to all Department of Energy (DOE) Federal and contractor personnel supporting the EA-20 mission. Additionally, this document establishes the guide for independent appraisals as required by DOE Order (O) 227.1a, *Independent Oversight Program*, and DOE O 471.5, *Special Access Programs*.

1.3 Configuration Management

EA-20 manages this guide to maintain technical accuracy and to align document content with process performance. EA-20 performs a major revision to the guide biennially to capture necessary updates and consolidate minor revisions. EA-20 uses minor revisions to incorporate process and content changes 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 change, and impacted section(s).

1.4 Appraisal Process Overview

EA-20 uses a five-phase approach to conduct appraisal activities. Appendix A, *Roles and Responsibilities*, lists the roles and responsibilities for EA-20 appraisal activities.

Phase 1: Scoping – EA-20 uses the scoping phase to establish appraisal parameters. EA-20 coordinates with stakeholders to determine the location(s), programs, topics, and facilities to evaluate. Scoping activities focus on obtaining the information necessary to develop a plan that documents the appraisal process(es), scope, schedule, team composition, and lines of inquiry (LOIs) derived from applicable policies and directives. EA-20 initiates logistics coordination with the site, including site safety and security training requirements, contact information, and workspace requirements.

EA-20 finalizes the appraisal scope from a collection of pre-scoping data, stakeholder inputs, and scoping meeting results. Scoping decisions consider the following information:

- Asset characterization and site mission
- Applicable orders and directives (based on the current contract)
- Policy changes, including the status of 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 for the appraisal 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 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 through informal discussions, briefings, and formal memoranda. EA-20 finalizes logistical coordination with the site, including required training, personal protective equipment and dosimetry, site workspaces, badging protocols, site maps, and driving directions. EA-20 leadership 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 the data needed to evaluate the areas within the appraisal scope. Most of the data collection is accomplished on site. The appraisal team then analyzes the collected data against applicable requirements and expected performance criteria to determine preliminary results. Appraisal team members ensure results are technically accurate, factual, and not emotionally charged. The appraisal team validates observed conditions and resulting determinations with site personnel throughout this phase. Additionally, during the conduct phase, EA-20 incorporates internal and external meetings and briefings to communicate the appraisal status to stakeholders, including EA-20 personnel, site contractor personnel, responsible managers, and cognizant DOE personnel.

Phase 4: Reporting – EA-20 uses the reporting phase to produce a document, either on site or remotely, informing stakeholders and responsible management of appraisal results. The documented results identify applicable 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 then submits the draft report to stakeholders for factual accuracy reviews (FARs) and formal validation of appraisal results. All 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 provides briefings to stakeholders and ensures the report is disseminated, retained for record purposes, and archived. Additionally, EA-20 leadership ensures the capturing of lessons learned and enhancement opportunities from the appraisal team and stakeholders to facilitate continuous improvement of appraisal activities and processes.

1.5 EA-20 Assessment Tools and References

EA-20 maintains a SharePoint repository (EA-20/Assessment Tools) for appraisal tools and reference materials. EA-20 has established controls and end-user privileges to ensure that only designated personnel can upload or update approved EA-20 products in the repository. However, all EA-20 personnel can access the repository and download files for performing EA-20 tasks and activities.

- *EA20/Assessment Tools/EA-20 Tools* – The EA-20 Tools repository contains the approved versions of EA-20 analysis tools, planning worksheets, and multi-topic assessment (MTA) report templates (see attachment 1, *Assessment Tool Flowchart*). The approved products are the official tools for use in MTAs and other appraisal activities defined by management. EA-20 organizes the Tools repository into five topic-level folders.

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

- *EA20/Assessment Tools/Templates* – The *Templates* repository contains EA-20-approved templates (e.g., scoping documents and appraisal plans) for memoranda, deliverables, and plans required to communicate appraisal activities. The templates have the requisite formatting and content but are designed to be modified for specific purposes and appraisal-specific details such as dates and resources.
- *EA20/Assessment Tools/Forms-Protocols* – The *Forms-Protocols* repository contains plans, procedures, and forms maintained and approved by EA-20 to establish the processes, requirements, and expectations for appraisal activities.
- *EA20/Assessment Tools/PT Tools* – The *PT Tools* repository contains the templates associated with performance tests (PTs), including data collection forms, test description documents (TDDs), and PT report templates.
- *EA20/Assessment Tools/In Development* – The *In Development* repository is an optional collaborative work area for EA-20 products in draft stages.

1.6 Analysis and Determinations

Assessors analyze data collection results and determine identified strengths and weaknesses using the process in attachment 2, *Determination Decision Tree*. The analysis involves a critical review of all data collection results that leads to logical and supportable conclusions about how well the program functions, whether program elements are implemented, and if the established programs follow DOE policy. When EA-20 finds weaknesses in performance, the analyst considers observations individually and collectively and balances the total impact against any identified strengths or mitigating factors to determine the overall impact.

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 responsible policy owner. The request is typically provided 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 EA-20 practice, the appraisal team may provide recommended ratings. The EA-20 Director approves all ratings recommendations provided by EA-20.

1.7 Tracking and Trending

EA-20 analyzes the appraisal activity results to identify isolated and systemic performance indicators and communicates the results to personnel responsible for S&S programs across the complex. The EA-20 Director assigns personnel (analysts) to mine data from approved EA-20 reports and data sources. The analysts use the data to determine if significant performance concerns or underlying performance trends are present in the observed strengths and weaknesses.

Periodically, EA-20 produces a report summarizing the results and hosts teleconferences with program offices and security officials (Federal and contractor) to share tracking and trending results from recent appraisals. EA-20 leadership briefs the tracking and trending results to senior DOE and contractor security personnel. Additionally, EA-20 leadership routinely shares results and lessons learned from appraisal activities with 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.

1.8 Augmentees and Observers

EA-20 uses the following protocol for external subject matter experts (contractors and Federal employees) 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 establish trust between offices/organizations, enhance working relationships, incorporate field perspective, benchmark oversight activities, and identify process improvements.

The responsible government agency, program office, or field office sponsoring the candidate nominates augmentees and observers to the EA-20 Director in writing (emails are acceptable) for consideration. The written nomination includes the individual's background and summary of technical expertise, specific objectives, and overall purpose for participation. EA-20 leadership reviews the nomination and ensures that external personnel do not assess/observe any site or contractor for which the individual has ownership or responsibility.

2 Data Collection

EA-20 uses the methods provided in this section to collect and cross-check the data necessary for conducting thorough evaluations of 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 appraisers review and evaluate documents received during appraisals to determine a site's compliance with applicable policy requirements and better understand the site's programs, plans, and procedures. Additionally, the assessors review site records to evaluate site performance with established protocols. The assessment team evaluates classified documents on site or at facilities with classified systems, such as DOE Headquarters (HQ) in Germantown. At any time during an appraisal, assessment team members communicate supplemental data needs to the site through the Team Chief or MTA Topic Team Lead.

2.2 Interviews

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

Interviews are sometimes formal, but frequently involve dialogue during work observations or PTs. Assessors ensure that the conversations do not distract site personnel conducting work activities.

For scheduled interviews, EA-20 maintains an *Interview Data Collection Form* (see Forms-Protocols repository) to document interview questions and capture responses. In preparation for an interview, assessors consider the following:

- EA-20 conducts interviews with deliberation and purpose. Interview questions are open-ended and have a logical progression, facilitate open dialogue, and identify additional lines of questioning for applicable LOIs.
- EA-20 personnel conduct interviews in a conversational, non-threatening, and non-judgmental manner.
- EA-20 minimizes interviewers involved 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 normal operations. Observations provide meaningful data for how work is conducted compared to documented procedures and plans. Additionally, during facility walkdowns, appraisers observe and evaluate installed systems, gain an understanding of site and facility layouts, and assess pathways described in site protection strategies and response plans.

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 MTA Topic Team Lead. Assessment team leadership coordinates the additional observation(s) with site points of contact (POCs) and management, as needed.

2.4 Knowledge Testing

EA-20 uses knowledge testing to ascertain site personnel's comprehension of site policies, procedures, asset characterization, and response plans. Assessors identify applicable LOIs and site personnel to test, usually by role, assignment, or duties.

Assessors evaluate site execution of knowledge testing by analyzing site test banks (questions and answers) for compliance with identified LOIs and site-specific requirements documented in plans and procedures. Additionally, assessors observe the testing process, including associated training, to determine the validity of testing results.

2.5 Performance Testing

EA-20 uses PTs to evaluate a site's performance across significant S&S activities and its implementation of a performance testing program. During planning, assessors evaluate site documentation to identify essential elements, response plans, material loss indicators, and detection methods that warrant performance testing. During the conduct phase, assessors collect and validate data generated through observation of site-run PTs.

When an assessment includes performance testing, a designated EA-20 PT lead coordinates PT activities with site POCs. For assessments other than MTAs, the Team Chief typically takes that role. If necessary, the PT Lead further delegates responsibilities to other designated personnel, such as a PT Coordinator and a Force-on-Force (FoF) Test Director. If PTs use engagement simulation systems (ESS) equipment, the lead ensures that a Safety Coordinator evaluates the site safety measures and controls that protect test participants and observers. EA-20 personnel responsible for performance testing use inputs from appraisal team members to coordinate the required testing (type and quantity), logistics, and scheduling with the responsible site personnel.

The PT Lead determines the number of required assessors with careful consideration on optimizing data collection while minimizing disruption to test conduct. If a PT covers multiple topics, the PT Lead considers the inputs from the appraisal team and is responsible for finalizing the number of assessors and team members that will observe test conduct.

The Team Chief determines the method and formality required to communicate performance testing needs. If beneficial for the site or Office of Enterprise Assessments (EA) personnel, the PT Lead uses input from appraisal team members to develop a TDD (see PT Tools repository for template). The TDD provides the site with a description of each requested test, including the task, condition, and standards. The PT Lead provides the draft TDD to the site for feedback and resolves comments with input from site personnel and EA-20 appraisal team members.

Assessors use site-developed test plans to tailor data collection forms (see PT Tools repository) for the planned PTs and evaluate the test plans for compliance with requirements. Assessors observe and appraise site conduct of the tests and document the results on the data collection forms. Assessors consider the following impacts on 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 for immediately communicating any safety concerns to responsible site personnel (e.g., site PT Lead), ensuring the safety of personnel during testing. Assessors attend and evaluate site-required pre- and post-test briefings.

EA-20 performance testing activities include:

Limited-scope Performance Tests (LSPTs) – EA-20 uses 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 uses 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. The site 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 uses ARAPTs to assess protective force 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.

Force-on-Force Testing – EA-20 uses FoF testing to evaluate sites with high-value assets and significant potential for consequences. During FoF testing, EA-20 evaluates protective force response to adversarial actions consistent with approved scenarios and testing protocols. The EA-20 PT Lead or designated EA-20 FoF Director coordinates the logistics and personnel needed to support FoF testing, including the Composite Adversary Team (CAT) and ESS equipment. EA-20 personnel involved with FoF Tests adhere to the *Detailed FoF Process* (see *Forms-Protocol* repository).

3 Validation

EA-20 uses the validation methods provided in this section to ensure the accuracy of collected data and that identified deficiencies, and their impacts, are effectively communicated 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* – Team Chiefs and at times Topic Team Leads communicate completed activities, observations, and preliminary results daily with site POCs and management (Federal and contractor) .
- *Summary Briefing* - After completing all data collection activities, the Team Chief or MTA Topic Team Lead coordinates and conducts a summary briefing of assessment results with the responsible Federal and contractor personnel.

4 Multi-topic Assessments

EA-20 uses MTAs to comprehensively evaluate a site's S&S program compliance and performance and protection of DOE assets. EA conducts MTAs at regular intervals, typically requiring significant resources.

Attachment 4, *MTA Flowchart*, and attachment 5, *MTA Timeline*, summarize the routine tasks and timelines associated with an MTA.

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

4.1 MTA Scoping

The Team Chief/Deputy requests pre-scoping documents from the site and coordinates a scoping meeting with the site's Federal and contractor management to discuss upcoming MTA activities. To facilitate the scope discussion, the Team Chief/Deputy develops an MTA scoping packet (see Templates repository) outlining the agenda, a preliminary appraisal schedule, a priority scoping matrix of the site facilities and assets, and appraisal topics and subtopics. EA-20 uses the scoping meeting to discuss the appraisal process, tentative dates, potential scope (e.g., facilities and operations), focus areas, and logistical concerns (e.g., site safety and security training requirements, POCs, and workspace requirements).

After establishing the assessment scope, the Team Chief/Deputy develops an assessment plan and a site-specific data call request. EA-20 tailors the assessment plan and data call request to the site based on scoping activity results and Topic Team Lead input. The assessment plan documents the MTA process, assessment schedule, team composition, and LOIs derived from applicable policies and directives.

The EA-20 Director issues an assessment memorandum to the site and relevant program office. The memorandum officially communicates the appraisal dates, documents special considerations, identifies logistical needs, and communicates the timeline for the assessment plan and data call to the site.

The assessment memorandum also identifies any additional scoping activities and dates required to support performance testing. The Team Chief/Deputy determines the required EA personnel (e.g., PT Lead, PT Coordinator, and FoF Test Director) to participate in the PT scoping activities. EA-20 uses PT scoping to identify testing needs, determine the applicability of FoF testing, identify equipment and resource needs in the subsequent MTA phases, and support the development of the TDD.

4.2 MTA Planning

EA-20 uses the planning phase to establish resources, meet with stakeholders, obtain data, coordinate logistics, and align tasks to an integrated schedule. During the planning process, assessment team members interface with site POCs to obtain knowledge of the site and systems, discuss data collection needs, and coordinate and schedule onsite activities. Subsequently, assessors use approved EA-20 tools (*EA20/Assessment Tools/EA-20 Tools)* to determine the applicable LOIs and identify data collection methods and expected results, and then they tailor the products to the scope of the MTA.

Prior to planning week, the Team Chief provides the site with the Topic Team Briefing template (see *Templates* repository) to facilitate the site's presentation of the following information:

- Overview of the site program
- Summary of recent changes
- Current processes and operations
- Status of issues and corrective actions.

Resources and Logistics

The Team Chief uses the scope and assessment plan to determine the resources required to complete the MTA. The Team Chief, with input from Topic Team Leads and contractor management, develops resource lists that consider the following aspects of the MTA:

- Size of the S&S program being assessed

- Topic areas within the assessment scope
- ESS and CAT applicability for FoF testing and ARAPTs
- Computer support and equipment, including sensitive and classified systems (via memorandum)
- Supplemental personnel (augmentees and observers).

Once approved by the EA-20 Director, the resource list is issued to notify designated personnel. Topic Team Leads use the resource list to assign assessors areas of responsibility and corresponding subtopics. The Team Chief also provides the Field Coordinator(s) with POC information to begin logistical planning for onsite assessment activities. The Field Coordinator(s), in coordination with the Team Chief/Deputy, interacts with the site POCs to determine pre-arrival logistics needs and information.

With input from Field Coordinator(s) and HQ Administrative Staff, the Team Chief determines the space and equipment needs relevant to the team size and scheduled MTA dates. The Team Chief also ensures the development of a computer support request that outlines the approved number of computers and supplies needed, the dates for set-up and tear-down, and the site POC for shipping and receiving.

The Lead Writer establishes and maintains an assessment dashboard throughout the assessment. Topic teams use the dashboard to align team members to assigned tasks, provide assessment progress, capture significant assessment information, and identify cross-cutting concerns. Topic Team Leads ensure updates are captured before team meetings to facilitate discussions and inform management of critical information.

Data Call

EA-20 assessors use the scoping briefing, 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 site-specific data call documents, ensuring each requested document addresses one or more LOIs for assigned areas of responsibility. HQ Administrative Staff send the data call request to the site at least 60 days before the MTA to allow the site time to process.

Additionally, Topic Team Leads coordinate with external sources (e.g., Program Offices, Office of Inspector General, Nuclear Material Management and Safeguards System) to obtain data pertinent to the assessment. Once received, the Data Call Administrator catalogs the requested documents in the designated assessment SharePoint 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 designates the time and venue for planning week, generally two weeks before onsite data collection at the DOE-HQ facility in Germantown, MD. The Team Chief facilitates meetings to communicate appraisal objectives, scope, and expectations to assessment team members. Additionally, the Team Chief coordinates with external stakeholders, such as program offices, policy, and the Office of Enforcement, to obtain information relevant to the site and the assessment. When possible, external stakeholders present pertinent information to the assessment team during planning week.

The Team Chief schedules times for each topic team to interface, via video teleconferences, with site counterparts. Topic Team Leads use the scheduled meeting times to gain an overview of the site program, discuss recent programmatic changes, and ask preliminary questions.

Assessment team members use the planning week to finalize assessment data collection methods, update topic area planning worksheets and analysis tools, prepare for interviews, and evaluate data. During Germantown planning activities, assessment team members prioritize classified document evaluations.

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, including dosimetry
- Inclusion in facility schedules such as the “Plan of the Day”
- Approval of medical devices.

Topic Team Leads use assessor inputs to draft a team-level schedule as a baseline to discuss with site POCs. Additionally, the PT Lead oversees the development of a separate schedule for planned performance testing, which includes trusted agent (TA) information. The Topic Team Leads coordinate and schedule the data collection activities and the PTs with site POCs. Cognizant of sensitive information, the Topic Team Leads consolidate topic team inputs and draft schedules into the integrated schedule. The Team Chief coordinates the integrated schedule with all vested parties, including assessment team members and site POCs.

4.3 MTA Conduct

EA-20 uses the MTA conduct phase to collect, validate, and analyze data routinely during one or more onsite trips. Assessment conduct builds upon the activities completed during the planning phase to execute the appraisal according to the assessment plan, defined scope, and integrated schedule.

The conduct phase includes the following activities:

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

Team Workspace Operations

On behalf of the Team Chief/Deputy, EA-20 Field Coordinator(s) establish and maintain onsite workspaces, provide logistical support, and maintain access control of the team’s classified workspace and classified matter. Additionally, the Field Coordinator(s) ensure the establishment, availability, and adherence of protocols for the following security duties:

- Access control
- 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

EA-20 follows the integrated schedule as closely as possible and coordinates with site POCs to collect the necessary data to evaluate applicable topic area(s). Assessors and topic team leads attend any required site-specific briefings and follow all written and posted safety and security requirements.

The assessment team uses the analysis worksheets (attachment 1, *Assessment Tool Flowchart)* to evaluate 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 examined completely and consistently to identify strengths and weaknesses. When identifying a weakness, assessors use the approved analysis worksheets to determine the corresponding narrative statements and LOIs to further isolate the issue.

Interface Meetings

The Team Chief/Deputy ensures assessment activities incorporate time for interface meetings, both internal to the MTA team and external with the site. EA-20 uses the meetings to communicate the status of planned and completed assessment activities, coordinate resources and scheduling, and validate assessment observations.

The Team Chief provides an inbrief to the site contractor and Federal management team during the conduct phase, routinely on the first day of onsite data collection. The inbrief communicates assessment scope, data collection activities, and schedule.

The Team Chief/Deputy uses daily internal team meetings to ensure that planned assessment activities adhere to the integrated schedule and are within the approved scope. Prior to the internal end-of-day meeting, Topic Team Leads ensure the dashboard reflects the status of assessment activities and documents significant results or concerns, including the current validation status. Each Topic Team Lead, or designee, briefs the topic team's respective progress, summarizing 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/Deputy routinely coordinates morning meetings with the site'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 onsite. The MTA Reporting phase includes:

- Report preparation
- Cross-topic peer reviews
- MRB
- Site 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 report inputs that document assessment results with supporting narrative (see EA-20 Tools repository) and ensure the technical accuracy of each narrative statement for their assigned areas of responsibility. Each Topic Team Writer consolidates their assessors' inputs, develops topic conclusions, and ensures content consistency in formatting, plain and precise language use, flow, and tone. Based on availability, topic team members review the topic team input and provide comments on the draft report. The Team Writer and Topic Team Lead work together and consult with assessors as needed to resolve any comments received during internal topic team reviews. Additionally, the Team Writer(s) use the criteria provided in the *Evaluating Written Report* protocol (see Forms-Protocols repository) to ensure the quality and consistency of written products before submission for cross-topic peer reviews or to the MRB.

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

Cross-Topic Peer Reviews

During an MTA, assessment team members conduct peer reviews for other topic areas to ensure 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. Upon completion of the collaborative review process, the Topic Team Lead and Team Writer adjudicate comments and provide a draft topic-level input to the MRB.

Management Review Board

The Team Chief, Deputy, Lead Writer, and contractor management typically form the MRB. The MRB members review the topic-level drafts and provide comments and feedback to the topic teams. The Team Chief decides if other personnel, including senior management, topic team leads, and technical experts, are needed to support the MRB.

The MRB ensures consistency between topic area sections and the introduction and that each section is logical and contains adequate information to support the conclusions. The MRB ensures cohesiveness across all topics assessed, focusing on cross-cutting aspects within the report. The MRB also reviews the executive summary to ensure 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 responds to all MRB comments in writing, 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.

Site Factual Accuracy Review

The FAR and comment resolution process is critical to ensuring that the report is factually 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 DOE site field office coordinates the review by vested parties and has a four-hour window to conduct the review and document comments.

Topic Team Leads and Team Writers address factual accuracy comments from the site and update the report narrative as necessary. While uncommon, the team may conduct additional interviews or document evaluations to address the inputs provided by site review. The Team Chief/Deputy reviews the factual accuracy comment resolutions and proposed changes to the report as appropriate. The Team Chief ensures each comment is resolved before the MTA outbrief.

Multi-topic Assessment Outbrief

The Team Chief conducts an outbrief with the site Federal and contractor management to officially conclude the conduct and reporting phases. To prepare for the briefing, Topic Team Leads and Team Writers provide an overview of topic-level assessment results with talking points. The outbrief generally includes three strengths and three areas requiring attention for each topic assessed. When possible, the team keeps the briefing materials at a CUI level or lower.

Final Factual Accuracy Review

EA-20 formally provides a copy of the draft report with associated comment resolutions from the site FAR to the responsible DOE field office and program managers. EA-20 allows 10 calendar days to conduct the final FAR (beginning on the day of the MTA outbrief). EA-20 requests the program office to consolidate and submit comments from the site and program office to EA-20.

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 reviews the resolution of all comments with the program office and communicates the justification for any rejected comments. EA-20 uses DOE O 227.1A processes in the event of a comment impasse.

Report Finalization and QRB

The Team Chief/Deputy submits the report to technical editors and resolves any residual comments prior to scheduling the QRB. The EA-20 Director serves as the QRB chair on S&S appraisal reports to ensure that the quality, tone, and content align with the office's mission and strategic goals. The *EA Quality Review Board Business Policy* documents the QRB process, roles, and responsibilities.

A derivative classifier reviews the final report and ensures the product is appropriately categorized and marked. The EA-20 strategic goal is to finalize the report within 60 calendar days of the MTA 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 prepares for and schedules 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 requiring management attention.

The Team Chief coordinates and provides any additional briefings to responsible DOE personnel and stakeholders. EA management issues the final report and conducts internal DOE briefings before conducting any external briefings (e.g., Congressional staff or the Defense Nuclear Facilities Safety Board).

Report Archiving

EA administrative staff route the report for final approval and work with the Team Chief to develop the transmittal memorandum. Once approved, EA-20 disseminates and archives the report appropriately, including entry into the S&S Information Management System (SSIMS). 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 facility, operation, organization, program, or project at a site or location. EA-20 conducts focused assessments in conjunction with a DOE line management activity or when sponsored by another DOE office. EA-20 categorizes these assessments as Focused Special Access Program Facility (SAPF) Assessment, Focused Sensitive Compartmented Information Facility (SCIF) Assessment, or Focused Collateral Facility Assessment. Attachment 6, *Focused Assessment Flowchart*, outlines the process and applicable sections for conducting focused assessments.

SAPFs: Independent security assessments focusing on management processes and mission operations that protect special access program (SAP) information at National Nuclear Security Administration (NNSA) locations. These assessments examine specific security topic areas, along with a particular emphasis identified by the Special Access Program Oversight Committee (SAPOC) to provide DOE senior management with an evaluation of the adequacy of Departmental policy requirements and their implementation.

SCIFs: Independent security assessments focusing on management processes and mission operations associated with protecting sensitive compartmented information assets. These assessments examine specific subtopic

elements and associated national requirements, such as Director of Central Intelligence Directives and Intelligence Community Directives, in addition to DOE directives.

Collateral Facilities: Independent assessments of specific programs or areas associated with protecting Departmental assets such as classified information up to Secret/Restricted Data, special and accountable nuclear material, hazardous materials and toxins, and personnel. These assessments evaluate the compliance and performance of specific security topic areas. EA-20 conducts collateral assessments at the request of a DOE program or field office.

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.

5.1.1 SAPF and SCIF Assessments

The EA-20 Director/Deputy coordinates annually with the respective DOE program offices (i.e., NNSA and Office of Intelligence and Counterintelligence [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 NNSA Administrator for SAPF assessments or the Director of IN for SCIF assessments. EA-20 uses the assessment plan to officially communicate the appraisal dates and locations, any special considerations, and the team composition.

Prior to a focused SAPF and SCIF assessment, the Team Chief transmits a 90-day notification to the NNSA Government Program Security Manager (GPSM), DOE IN Security Division (IN-23) Director, and the applicable site personnel. The notification includes the Planning Questionnaire, data call request, and any other assessment needs. EA-20 requests that the sites, GPSM, and IN-23 Director return the completed Planning Questionnaires 60 days before the assessment. The Team Chief finalizes the scope using the results of the Planning Questionnaire, stakeholder inputs, applicable order directives, and results from previous assessments (e.g., self-assessments and federal surveys). EA-20 traditionally evaluates the following topics and subtopics for focused SAPF and SCIF assessments: program planning management, including elements of program-specific access; physical protection systems; response force; information security; operations security; and the technical security program. When included in the scope, EA-20 evaluates cybersecurity products, plans, and assessment results.

5.1.2 Collateral Assessments

The Team Chief coordinates the necessary scoping meetings with the applicable program office, field office, and stakeholders to discuss upcoming assessment activities. 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 issues an assessment memorandum to the site 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 be sending the assessment plan and data call request to the site and identifies any additional scoping activities and dates required for performance testing.

After determining the assessment scope, the Team Chief is responsible for the development of an assessment plan that outlines the preliminary schedule, the assessment scope, team composition, relevant topics and subtopics, and assessment LOIs. Additionally, the Team Chief is responsible for a data call request that identifies the site documents needed for the assessment. Using the results from scoping activities and input from responsible DOE offices, EA-20 tailors the assessment plan and data call request to the assessed site.

5.2 Planning

EA-20 uses the planning phase during focused assessments 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

Focused assessments are smaller in scope than MTAs and require fewer resources. For focused SAPF and SCIF assessments, the EA-20 Director includes indoctrinated personnel with authorized program access in the annual assessment plan. For all focused assessments, the Team Chief develops the resource list considering the assessment plan, the size of the facility/program being assessed, and applicable topic areas. The Team Chief transmits the specific resource list to the assessment team and site POC.

Data Call

The Team Chief reviews and tailors the Baseline Data Call request to specify the necessary data call documents, ensuring each document requested addresses one or more LOIs within the assessment scope. Additionally, this document contains the data call schedule and instructions on how to outline and submit data call to the Team Chief. Sites typically transmit unclassified information and CUI directly to EA-20 using email or a DOE-approved file-sharing location. Sites send the classified matter to the respective Program Office at DOE HQ for retrieval by EA personnel. EA-20 expects that the responsible DOE office(s) and site contractor personnel transmit the data call to the Team Chief approximately 30 days before the assessment.

Assessment team members evaluate the received data to determine compliance with applicable policy requirements and better understand the site programs, plans, and procedures. Assessors use the data provided during the planning phase to identify data collection methods to use during the conduct phase. If classified information cannot be evaluated or shared due to size or classification, EA assessors review the information on site. Assessors coordinate any identified supplemental data needs through the Team Chief and site POC.

Schedule

The Team Chief coordinates with the designated POC(s) to develop a schedule for activities approximately 30 days before arriving on site. For SAPF assessments, the Team Chief coordinates with the GPSM, SAP Security Coordinator, and Program Security Officer. For SCIF assessments, the Team Chief coordinates with IN-23 Director, the Field Intelligence Element (FIE) director, and the Special Security Officer.

5.3 Conduct

EA-20 uses the conduct phase of focused assessments to collect, validate, and analyze data onsite over a three- to five-day period.

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). 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.

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 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 ensures assessment activities incorporate time for interface meetings, both internal with the appraisal team and external with the site. The meetings communicate the status of planned and completed assessment activities, coordinate resources and schedules, and validate assessment observations.

The Team Chief provides an inbrief to the site during the first day of onsite data collection. The inbrief communicates planned appraisal activities, schedule, and scope. For SAPF and SCIF assessments, the Team Chief further refines and coordinates assessment activities with site personnel during the inbrief.

The Team Chief uses daily 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.

Additionally, the Team Chief coordinates daily meetings with the site's Federal and contractor management team to share assessment status and validate results. The Team Chief conducts an outbrief with the Federal and site contractor management on the last day of the appraisal 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 and Team Writer adjudicate comments and provide a draft report to the MRB.

Management Review Board

The MRB ensures that all topic and subtopic sections are consistent and that each section is logical and contains adequate information to support the conclusions. The MRB ensures cohesiveness across all topics assessed, focusing on cross-cutting aspects within the report. The MRB also reviews the executive summary to ensure that the results reflect the primary strengths and weaknesses at the site. The MRB reviews the draft report and provides comments and feedback to the Team Chief. The Team Chief works with the Team Writer to adjudicate 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 ensures the accuracy of

the draft report content, submits the draft report for technical editing, and transmits the draft report for factual accuracy to the applicable program or field office as follows:

- Collateral - DOE program office or Field Office requesting the assessment
- SAPFs - GPSM, who further disseminates to the appropriate representatives
- SCIFs - IN-23 Director, who further disseminates to the site FIE Director.

The Team Chief provides a comment resolution form and requests consolidation of all comments within ten calendar days. In conjunction with the assessment team, the Team Chief reviews each comment and documents an explanation for acceptance, partial acceptance, or consideration without incorporation. The Team Chief reviews the resolution of all comments with the appropriate program office and communicates the justification for any rejected comments. The Team Chief ensures an updated report narrative and resolves all accepted or partially accepted comments.

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 detail on the QRB process, roles, and responsibilities in the *EA Quality Review Board Business Policy.* Before report finalization, the Team Chief ensures the report is factually accurate and receives a technical edit and final derivative classifier review. The EA-20 strategic goal is to finalize the report within 60 calendar days after the site 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 a post-briefing meeting with the EA-1 Director to summarize appraisal activities, including:

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

The Team Chief coordinates or provides additional briefings to responsible DOE personnel and stakeholders.

Report Archiving

HQ Administrative Staff route the report for final approval and work 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 appropriately. 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 a site's 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 the protection of Departmental assets. The LNPT assessment team is typically small and consists of subject matter experts from the applicable topic areas. Each LNPT assessment consists of approximately 60 days of planning, two days of onsite data collection, and one day of report writing.

6.1 LNPT Assessment Scoping

EA-20 uses the scoping phase to establish assessment parameters. Approximately 60 days before the assessment, the Team Chief conducts meetings with the applicable program and field offices to discuss essential elements of the site's protection strategy and identify focus areas. Additionally, the Team Chief reviews the status of past deficiencies and findings when determining the scope of the assessment.

6.2 LNPT Assessment Planning

EA-20 develops a tentative LNPT assessment schedule and preliminary resource list for the calendar year. EA-20 limits dissemination of the site locations and schedule to EA management and EA-20 personnel due to sensitive TA information.

The Team Chief and assigned PT Coordinator begin planning approximately 60 days before onsite testing. Specific planning elements include:

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

Resources

During the site-specific planning process, the Team Chief ensures that the assessment team has one or more assessors for each applicable focus area.

Notifications and Site Coordination

The EA-20 Director/Deputy transmits an annual memorandum to DOE program offices that identify assessment locations for the upcoming calendar year. Approximately 45 days before the assessment, the Team Chief contacts the responsible DOE office(s) to establish initial TAs and to coordinate planning activities with the LNPT site. The Team Chief describes the LNPT process and scope, requests a preliminary data call to facilitate test selection and planning, and obtains the contact information for the primary TA to coordinate PTs. The Team Chief only provides appraisal dates to 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 coordinates 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 ensures that any required training is complete before arrival on site. The Team Chief also provides a list of protective equipment required by the site (e.g., steel-toe shoes or cold-weather gear) to the assessment team.

Test Selection

EA-20 selects tests from the site-developed essential element list, emphasizing high-consequence activities, site mission and operations changes, and previous assessment results. The Team Chief ensures that the selected PTs evaluate the appropriate skills, capabilities, and protection elements and are executable.

Testing Documentation

The Team Chief, PT Coordinator, and Team Writer develop a TDD that describes the objectives of each test, test parameters, and relevant site-specific information.

The Team Chief coordinates the receipt and dissemination of site-specific test plans approximately 35 days 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.

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 that 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 over two to three days. The Team Chief coordinates and conducts an inbrief with site PT personnel to communicate objectives, testing approach and methodology, and performance evaluation criteria.

The assessment team observes testing and, using the tailored data collection form, 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) are unable to 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 report, typically on site.

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 considered TA information.

Individual assessors develop report inputs using the report template created during the Planning phase. The Team Writer combines the assessors' 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 site contractor and DOE line management following the FAR. The LNPT assessment team may attend the outbrief to address any questions and provide additional detail as needed.

The Team Writer captures and resolves 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 the peer review and provides feedback to the Team Writer and Team Chief. The peer review is a final check for consistency and quality before the EA-20 leadership review.

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 a post-assessment meeting with the EA-1 Director to summarize 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 route the report for final approval and work 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

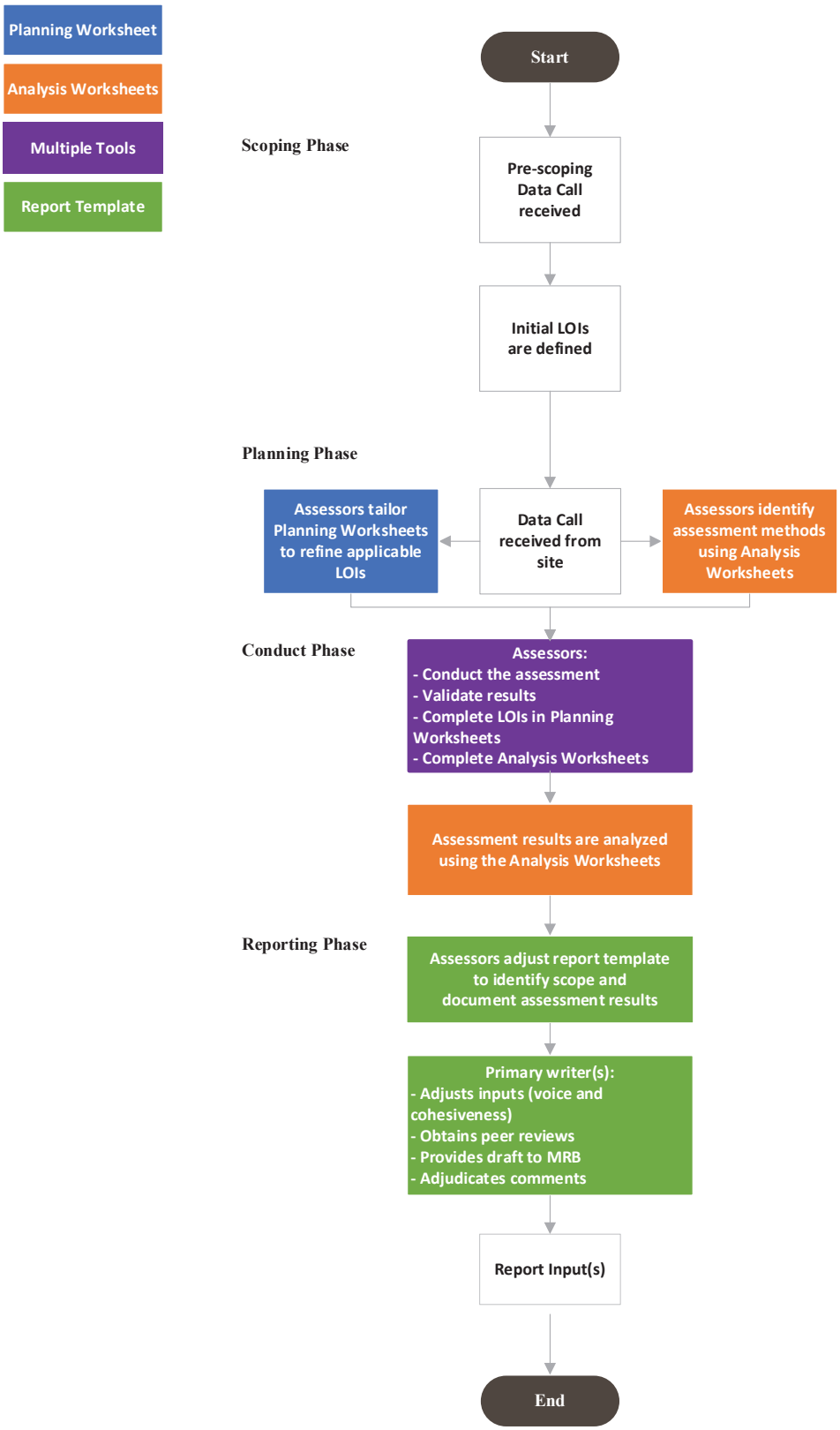
EA conducts Special Assessments, Follow-up Assessments, and Targeted assessments on an as-needed basis. The designated Team Chief is responsible for determining the assessment approach and resources needed to support these assessments.

Special Assessment: A special assessment is conducted 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. Special assessments may address areas outside S&S programs. Alternatively, the EA Director may propose a special assessment if other EA activities indicate a need.

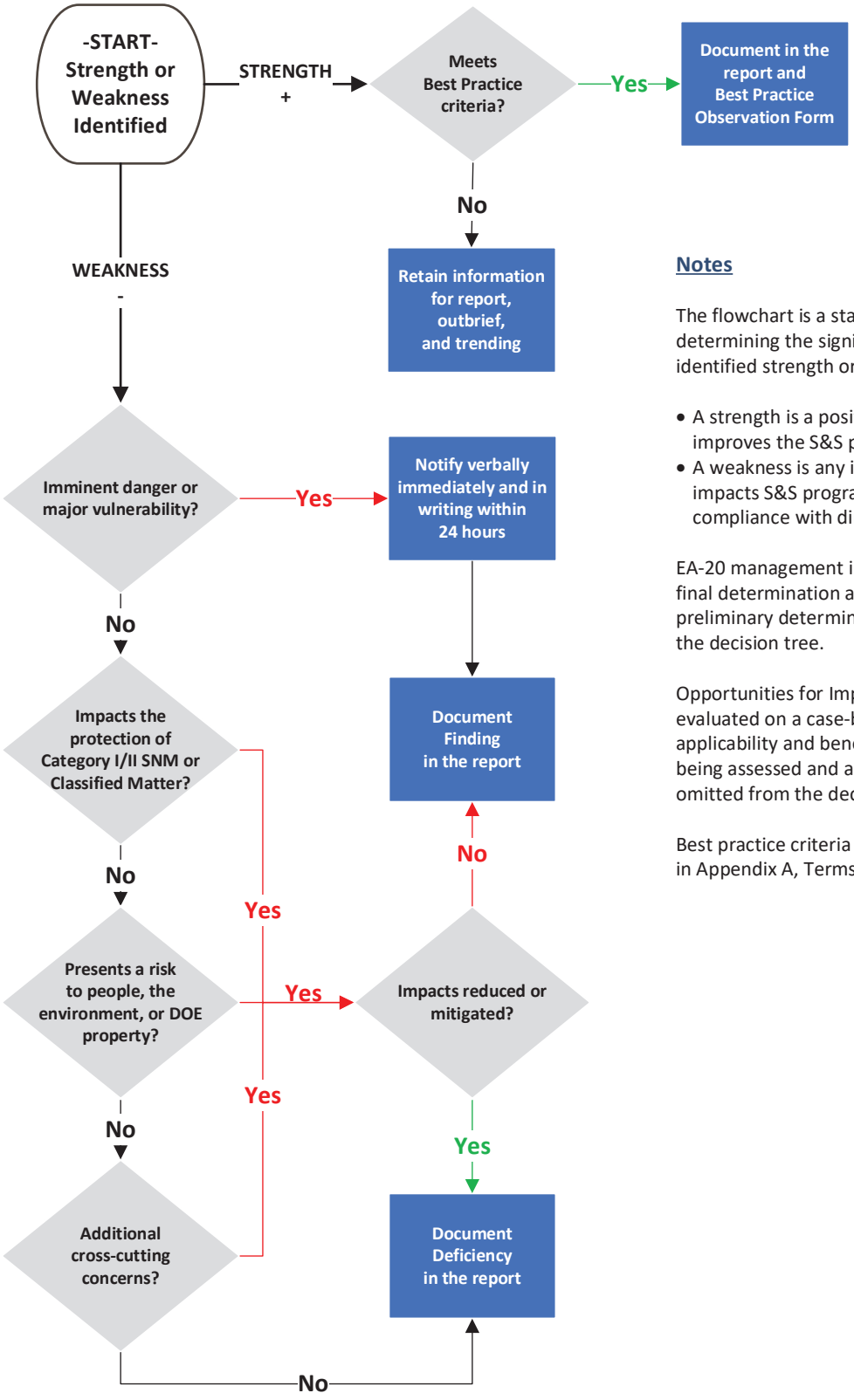
Follow-up Assessment: A follow-up assessment determines the status, progress, effectiveness, and sustainability of corrective actions taken in response to significant concerns identified during previous EA appraisals or DOE line management oversight activities.

Targeted Assessment: Targeted assessments 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.

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.

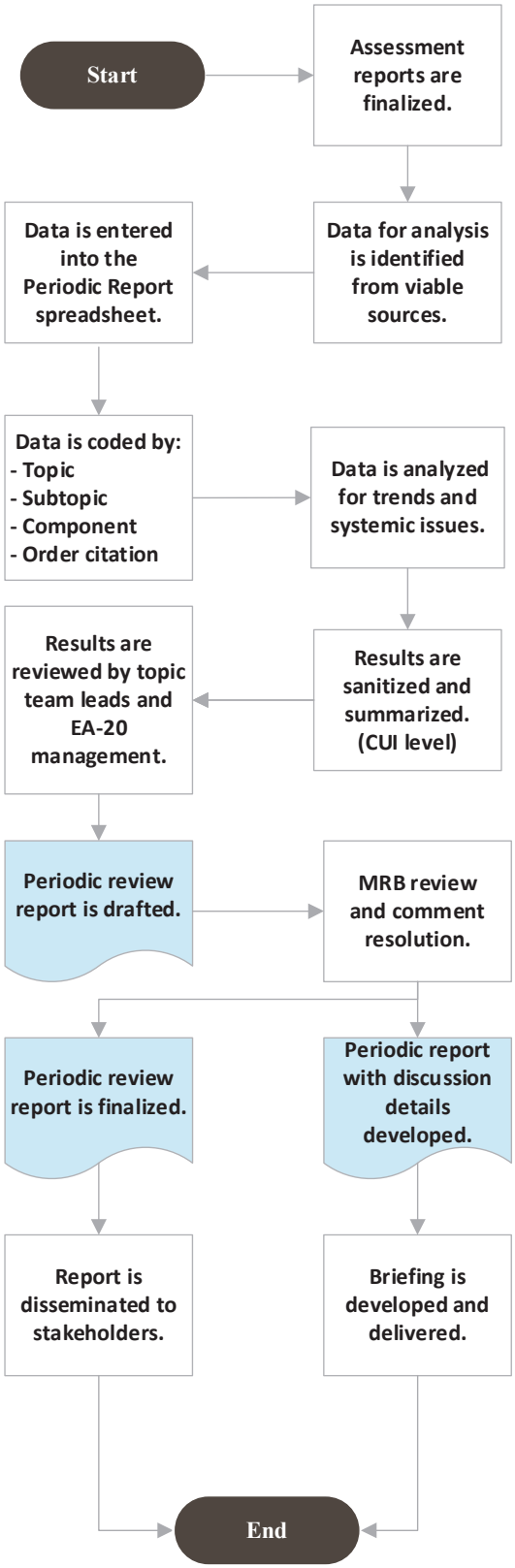
- A strength is a positive aspect that improves the S&S program(s).
- A weakness is any issue that negatively impacts S&S program performance or compliance with directives.

EA-20 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.

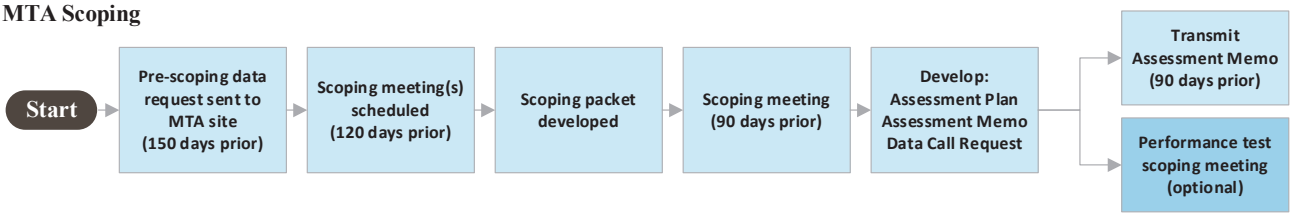
Best practice criteria and OFIs are defined in Appendix A, Terms and Definitions.

Attachment 3
Periodic Report Flowchart



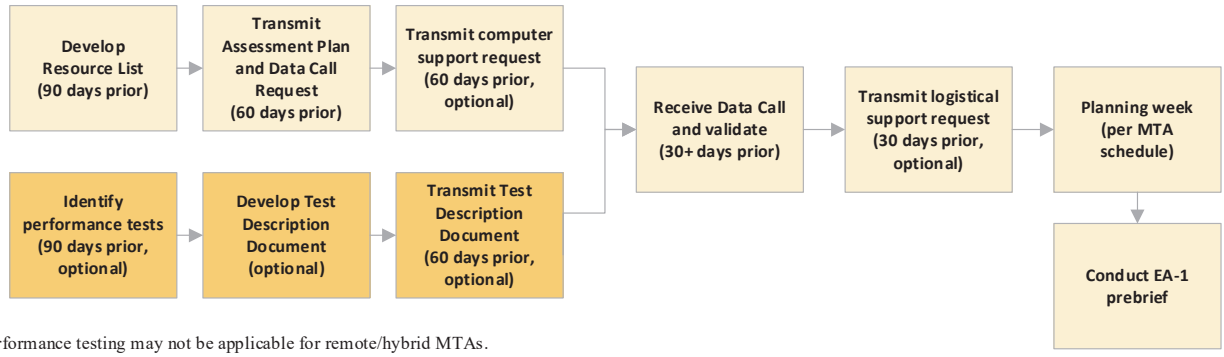
Attachment 4
MTA Flowchart

MTA Scoping



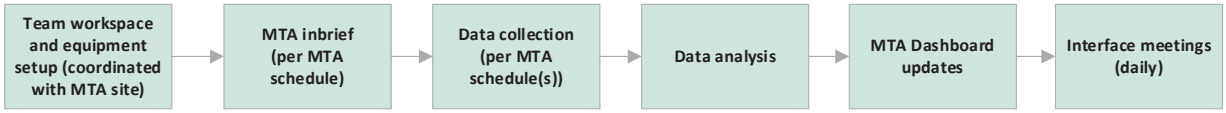
Performance Test Scoping meetings may not be required for remote/hybrid MTAs or when FoF tests are out of scope.

MTA Planning



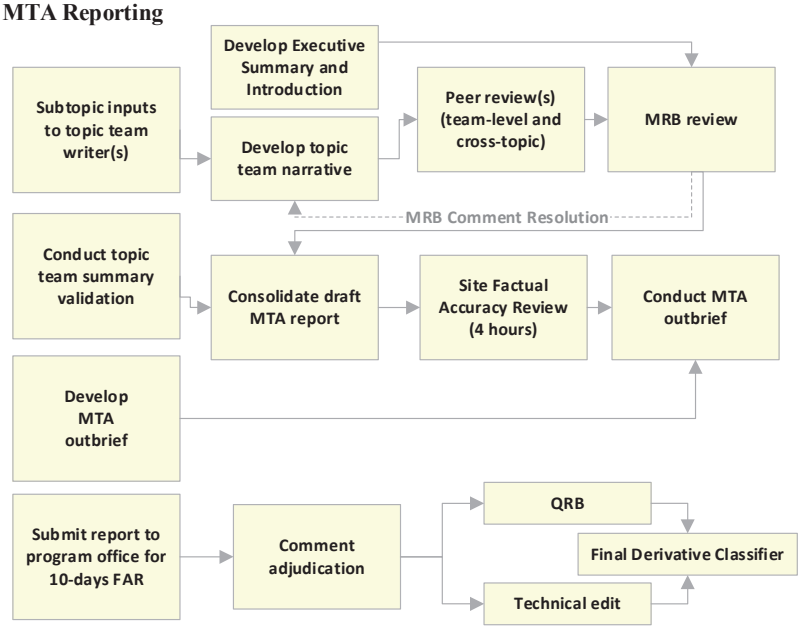
Performance testing may not be applicable for remote/hybrid MTAs.

MTA Conduct

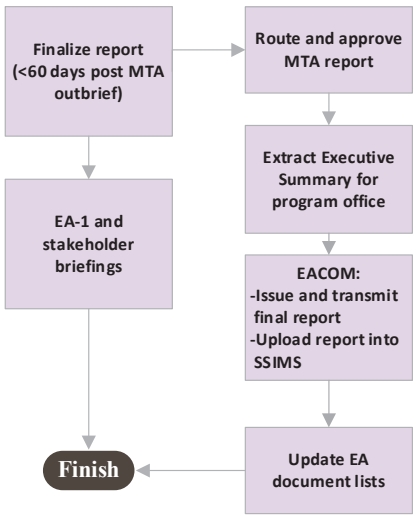


Note: MTAs typically utilize an integrated schedule and a performance testing schedule. The performance testing schedule contains sensitive Trusted Agent information.

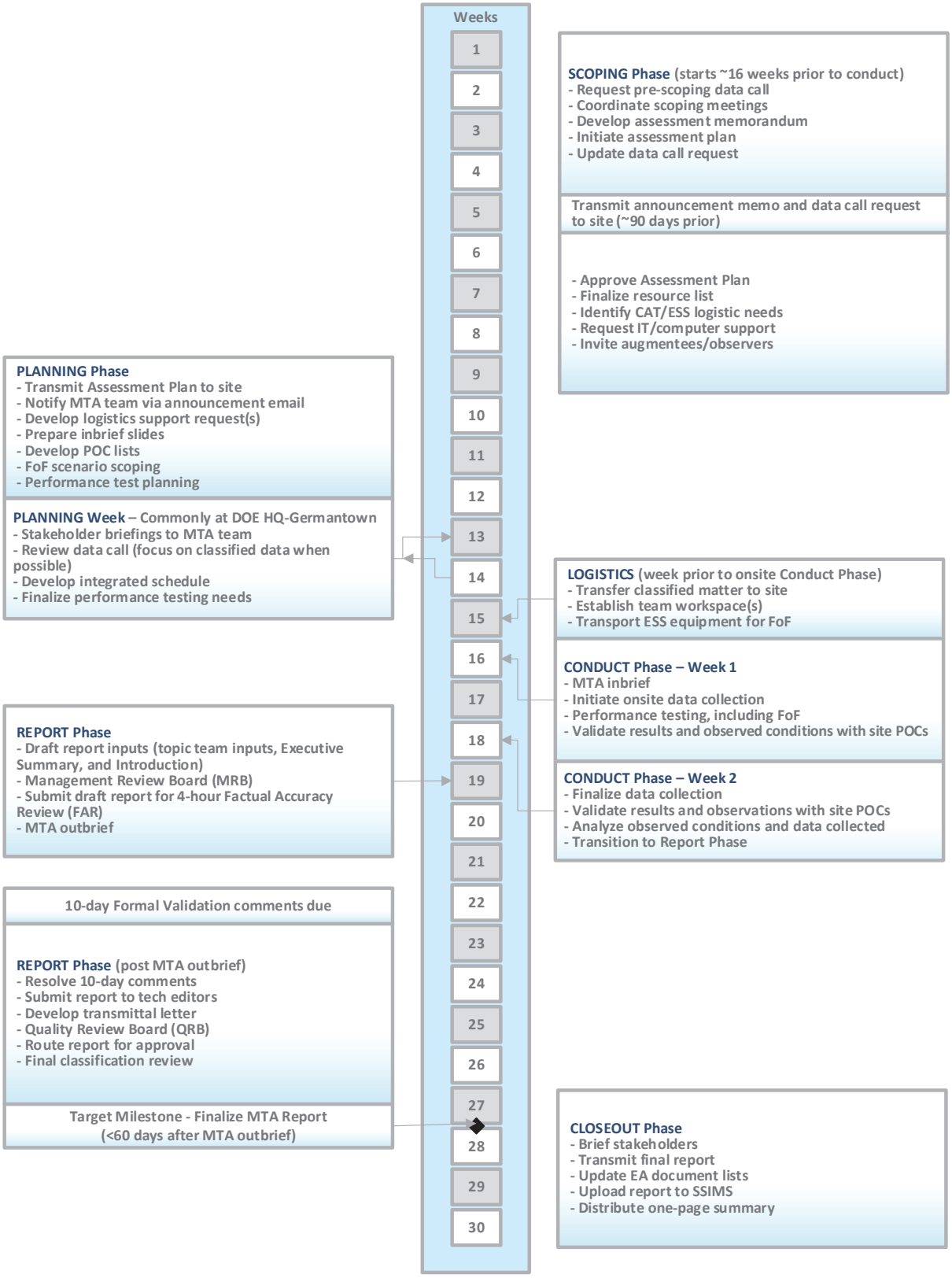
MTA Reporting



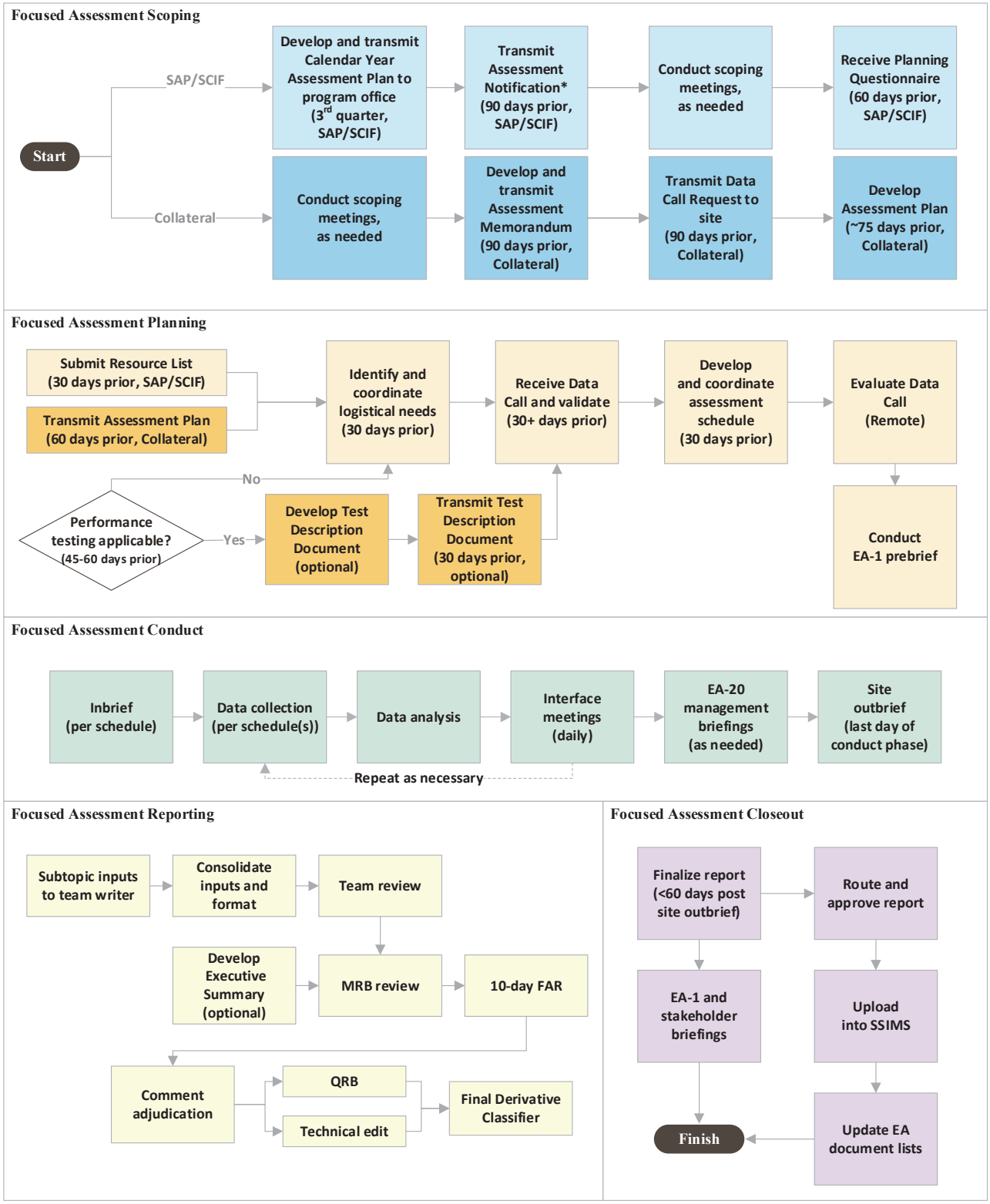
MTA Closeout



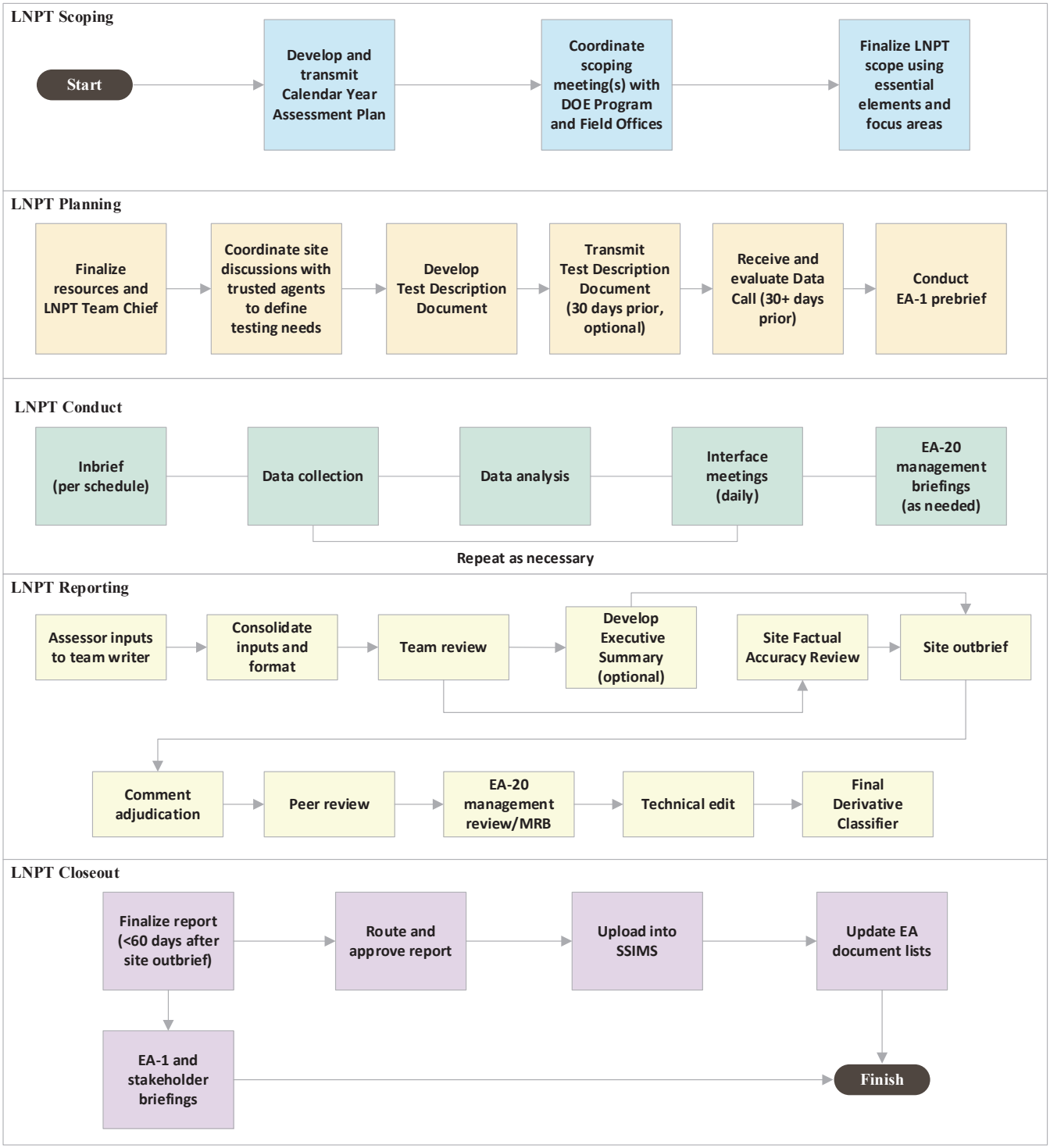
Attachment 5
MTA Timeline



Attachment 6
Focused Assessment Flowchart



Attachment 7
Limited Notice Performance Testing (LNPT) Flowchart



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 EACOM 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 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 • Support 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-23 Director **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 TDD, 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-23, FIE 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-23 Director 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 TDDs, 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

Role	Phase	Responsibilities
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 TDD • Coordinates development of LNPT inputs (i.e., draft schedule, data collection forms, report template, and executive summary template)
	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)	**Planning**	• Maintains the assessment dashboard • Produces and maintains an integrated schedule
	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

Role	Phase	Responsibilities
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
	Conduct	• Ensure required protocols are established and maintained for team workspace(s)
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 TDD is developed • Ensures testing activities are sanitized and captured in the appraisal schedule • Maintains separate PT schedule with TA information • 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.

Term	Definition
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.
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.

Term	Definition
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]
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.