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of ENERGY**

**Office of Enterprise
Assessments**

**Office of National Security Assessments
Appraisal Guide, Revision 2**

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Office of Enterprise Assessments

U.S. Department of Energy

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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 <small>Digitally signed by Thomas C. Messer Date: 2023.02.01 16:22:39 -05'00'</small>
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 <small>Digitally signed by Thomas C. Messer Date: 2024.12.17 18:45:53 -05'00'</small>
Minor	1.1	Replaced report cover with new DOE logo distributed on February 12, 2025.	All	Thomas C. Messer <small>Digitally signed by Thomas C. Messer Date: 2025.02.21 13:38:05 -05'00'</small>
Major	2	Biennial revision to incorporate process changes, align with DOE Guide 414.1C, and update decision tree.	All	

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Acronyms

Acronym	Definition
DOE	U.S. Department of Energy
EA	Office of Enterprise Assessments
EA-1	Office of Enterprise Assessments
EA-20	Office of National Security Assessments
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	Lines of Inquiry
LSPT	Limited-scope Performance Test
MRB	Management Review Board
NNSA	National Nuclear Security Administration
OFI	Opportunity for Improvement
POC	Point of Contact
PL	Protection Level
PLA	Program-level Assessment
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
SLA	System-level Assessment
SSIMS	S&S Information Management System
TA	Trusted Agent

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OFFICE OF NATIONAL SECURITY ASSESSMENTS

APPRAISAL GUIDE

Introduction

This guide describes the standard practices the Office of National 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).

1.0 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 227.1A, [Independent Oversight Program](#), and DOE Order 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 sections 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 sections.

1.4 Scheduling

The DOE Office of Enterprise Assessments (EA) initiates appraisal 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 for the upcoming calendar year based on asset and facility protection levels (PLs) (see attachment 8, *Assessment Prioritization Criteria*), as well as direction from DOE leadership and requests from DOE Program Offices. 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 respective Program Office, applicable Field/Site Office, and the EA Office of Resource Management. Excluding trusted agent (TA) information, the EA Office of Resource Management disseminates 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 DOE missions 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 appraisal activities (e.g., data collection methods, performance tests [PTs], etc.). EA-20 coordinates with stakeholders to determine the locations, programs, topics, and facilities to evaluate for each assessment. EA-20 obtains the information necessary to develop an assessment plan that includes the appraisal processes, scope, schedule, team composition, and topic areas. EA-20 also initiates logistics coordination with the organizations being assessed, including local safety and security training requirements, contact information, and workspace requirements.

Scoping decisions consider:

- Asset characterization and mission
- Applicable requirements and directives
- Policy changes, including implementation plans
- Stakeholder guidance and expectations
- Internal and external audit results
- Status of findings and deficiencies from previous assessments
- Security incidents
- 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 (e.g., briefings, interviews, data collection activities, validation meetings, etc.). 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 (see section 1.6) to the appraisal scope and prepare for scheduled data collection activities. Additionally, EA-20 uses the planning phase to collaborate with the responsible offices and contractor personnel. EA-20 finalizes logistical coordination with the point of contact (POC), including required training, personal protective equipment and dosimetry, field workspaces, badging protocols, and area 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. Assessment team members validate observed conditions and the factual accuracy of results with responsible personnel throughout this phase. EA-20 communicates the appraisal status to stakeholders, including Federal personnel, 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 review (FAR) 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 approved analysis tools, planning worksheets, report templates, and a peer review checklist (see attachment 1, *Assessment Tool Flowchart*). EA-20 designates personnel who upload or update products in the [EA-20 Assessment Tools](#) repository, but all EA personnel can access the repository and download files for performing tasks and assessment activities.

1.7 Analysis and Determinations

Assessment team members analyze data and evaluate identified strengths and weaknesses using the process outlined 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 responsible 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:

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 S&S 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).

Team members may also communicate approaches for line management consideration to improve program performance or address an identified issue. 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.

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, 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 external participation in EA-20 appraisals to help establish trust between offices and organizations, enhance working relationships, support training, incorporate field perspective, benchmark oversight activities, and identify process improvements. 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 the following protocol for external Federal employees and contractors to participate in EA-20 appraisals as augmentees or observers. The EA-20 Director is responsible for approving 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.

2.0 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 evaluates applicable reports, plans, and procedures during appraisals to determine compliance with requirements and better understand programs, plans, and procedures. Additionally, the assessors use 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, Maryland.

2.2 Interviews

EA-20 uses interviews to determine personnel perceptions and understanding of procedures, responsibilities, program implementation, and management expectations.

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

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 the number of interviewers to the extent practical, which could include assessors from multiple teams for cross-cutting topics, 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 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 objectives 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 received comments.

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 Topic Team Lead for the program-level assessment (PLA). Assessment team leadership coordinates the additional observation with the organization being assessed.

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 which 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 equipment, the PT Lead verifies that a Safety Coordinator evaluates the local safety measures and controls that protect test participants and observers. When possible, EA-20 tries to minimize the need for organizations being assessed to develop new test plans and identifies existing test plans for data collection purposes. 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 Team Chief determines the method and formality required to communicate performance testing needs. The EA-20 assessment team may develop a Test Description Document (see PT Tools repository for template) outlining the 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 tailor data collection forms (see PT Tools repository) for the planned PTs. Assessors observe 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 and 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 Test (LSPT) – 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 Test (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 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 response to adversarial actions and execution of emergency duties consistent with approved scenarios and testing protocols.

3.0 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 responsible POCs and management.

Summary Briefing – The assessment Team Chief is responsible for conducting a summary briefing of assessment results with the responsible personnel.

4.0 Program-level Assessments

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

The PLA Team Chief manages the resources, tasks, and timeline for completing the assessment. EA-20 maintains the PLA Assessment Planner template to assist the Team Chief in tracking and managing the PLA process.

4.1 PLA Scoping

EA-20 uses the scoping phase to identify the focus of the assessment (i.e., facilities, topic areas, specific operations, areas of concern), review the appraisal process, solidify dates, provide the Team Briefing template, and discuss logistical considerations and needs (e.g., 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 a PLA 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 scope, process, schedule, and team composition.

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 to specify the necessary documents, ensuring that 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 PLA 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 to identify data collection methods and expected results, and then tailor the products to the scope of the PLA.

The Team Chief is responsible for providing the assessed organization with the Team Briefing template prior to planning week 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
- Potential best practices.

Resources and Logistics

The Team Chief, with input from Topic Team Leads and contractor management, develops resource lists and obtains EA-20 leadership 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 PLA when determining resources:

- Topic and subtopic areas within scope
- Size of the S&S program
- ESS and Composite Adversary Team 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 begins coordinating with the POCs to determine pre-arrival logistical needs and gather necessary information. The Team Chief consults with the Field Coordinators and HQ Administrative Staff to determine space and equipment requirements based on the team's size and scheduled dates. The Team Chief is responsible for verifying that computer support is available, including obtaining the necessary number of approved computers and supplies, establishing computer setup and teardown 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). Upon receipt, the Team Chief coordinates cataloging the documents in the designated assessment repository. Assessors then review the documents for completeness and start document evaluations as soon as possible.

Planning Week

The Team Chief is responsible for designating the time and venue for planning activities, generally at the HQ facility in Germantown. 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 assessment. During Germantown planning activities, assessment team members prioritize classified document evaluations.

The Team Chief is responsible for providing a briefing template to organizations being assessed and coordinating a video teleconference. The purpose of the teleconference is to provide the team with an overview of the S&S program, discuss recent programmatic changes, address preliminary questions, and coordinate data collection activities.

Assessment team members use the planning week to evaluate classified data, finalize data collection methods, and collaborate on cross-cutting areas. Additionally, the Topic Team Leads and Field Coordinators work with responsible POCs to identify additional logistical impacts, such as:

- Advance notice required for entry into security areas
- Access requirements
- Required training
- Issuance of personal protective equipment
- Dosimetry and radiological protection requirements
- 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 the assessed organization POCs.

4.3 PLA Conduct

EA-20 uses the PLA conduct phase to collect, validate, and analyze data. 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)
- 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 ensuring that the assessment team adheres to the integrated schedule and coordinate any schedule changes with POCs. The Team Chief also requires assessment team members to attend any required training or briefings and to follow all written and posted safety and security requirements.

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

Interface Meetings

The Team Chief is responsible for allocating time for interface meetings, both internal (with the PLA team) and external (with the assessed organizations). 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 organization's management team during the conduct phase, routinely on the first day of data collection. The briefing introduces the assessment team and communicates 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, provides a daily briefing on data collection activities and significant results. 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 PLA team and the responsible management regarding data collection activities and appraisal results.

4.4 PLA Reporting

EA-20 produces an assessment report to document assessment results and inform stakeholders and responsible 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 PLA reporting phase includes:

- Report preparation
- Peer reviews
- MRB
- PLA outbrief
- 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 [EIA Style Guide](#). EA-20 develops reports on systems approved for the highest potential level of classification and manages draft products as working papers. Assessors draft technically and factually accurate report inputs that document assessment results with supporting narrative (see EA-20 Assessment Tools). 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 on the draft report and provides feedback.

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 narrative statements that impact multiples sections of the report.

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 bold narrative worksheets and issue forms. Topic Team Leads, with support from team members, 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 controlled unclassified information level or lower. The topic teams give all products (i.e., outbrief content, bold narrative worksheets, 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. 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 sections to the MRB for final concurrence. Afterwards, the Topic Team Leads use the MRB-reviewed products to conduct a summary validation with responsible personnel.

Four-hour Factual Accuracy Review (Optional)

The FAR and comment resolution process is critical to ensuring that the report is accurate. The Team Chief determines the method for recording comments, typically a comment log, and submits the draft report to the DOE Field Office designee for 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, with support from team members, 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 FAR.

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

Program-Level Assessment Outbrief

The Team Chief is responsible for providing an outbrief to the 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 consolidate and submit all comments from the assessed organizations 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, 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 follows the processes outlined in DOE Order 227.1A if there is 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 Resource Management for processing within 60 calendar days from the outbrief.

4.5 PLA 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 for, and scheduling a post-assessment briefing with the EA-1 Director to summarize appraisal activities, including:

- Team composition
- Scope
- Assessment methods and activities
- Results, including strengths and weaknesses requiring management attention.

The Team Chief is also responsible for 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 the report for final approval, dispatching the report, and properly archiving it, including entry into the S&S Information Management System (SSIMS). The EA-20 Director also ensures that the HQ Administrative Staff update the EA document lists to reflect the issuance of the report.

5.0 System-level Assessments

EA-20 uses system-level assessments (SLAs) to evaluate a specific location, activity, operation, organization, program, or project at a facility, including special access program facility (SAPF) and sensitive compartmented information facility (SCIF) locations. Attachment 6, *System-level Assessment Flowchart*, outlines the process and applicable sections for conducting SLAs.

SAPFs – EA-20 conducts SLAs of programs responsible for protecting special access program (SAP) assets. These assessments examine specific security subtopics emphasizing elements identified by the Special Access Program Oversight Committee (SAPOC) or the Government Program Security Manager (GPSM).

SCIFs – EA-20 conducts SLAs of programs responsible for protecting 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 SLA Scoping

EA-20 uses the SLA scoping phase to establish appraisal parameters. EA-20 coordinates with stakeholders to determine the applicable locations, programs, topics, and facilities to evaluate.

System-level 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., 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 who is responsible for 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 organization. The memorandum also communicates when EA will transmit the assessment plan and data call request 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. Additionally, EA-20 maintains an SLA Project Plan template to assist the Team Chief in tracking and managing the process.

SAPF and SCIF SLAs

The EA-20 Director is responsible for coordinating with the respective DOE Program Offices (i.e., the 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 to 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 SLA 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 SLA.

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 documents needed for the assessment and instructions on how to submit the data call response. The Team Chief is responsible for delegating or coordinating schedule development approximately 60 days before conducting field activities.

SAPF and SCIF SLAs

The EA-20 Director maintains indoctrinated personnel who have authorized program access to conduct the SAPF and SCIF assessments. The Team Chief is responsible for transmitting a 90-day notification that includes assessment dates and preliminary questions for planning purposes. The Team Chief is also responsible for submitting the data call 60 days before the assessment and obtaining the requested information from the applicable personnel 30 days prior to assessment. The Team Chief coordinates assessment planning using the stakeholder inputs, applicable directives, and results from previous assessments.

5.3 SLA Conduct

EA-20 uses the SLA conduct phase 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 POCs to collect the necessary data to evaluate their assigned topic areas. The Team Chief is responsible for establishing and updating an assessment dashboard to reflect the status of assessment activities, potential issues, and results validation. The Team Chief is responsible for communicating if EA adjusts specific topic areas, required work observations, or PT 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 POCs. Additionally, the Team Chief coordinates team needs with the responsible personnel, as well as with the 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 the applicable 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 about assessment activities, significant results or concerns, and the status of validation.

The Team Chief is responsible for providing an inbrief on the first day of data collection to communicate the planned appraisal activities, schedule, and scope. Additionally, the Team Chief coordinates daily meetings with the 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 outbrief with the Federal and contractor management to communicate preliminary results for each topic area.

5.4 SLA Reporting

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

Report Preparation

Writers prepare an assessment report using the assessment tools, the *EA-20 Guiding Principles for Report Writing*, the *EIA 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. 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 and logical with 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, with support from the assessment team, is responsible for adjudicating all comments received from the MRB.

System-level 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 10 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 SLA reports to ensure that the quality, tone, and content align with the office's mission and strategic goals. EA-20 documents 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 SLA 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
- Scope
- Assessment methods and activities
- Results, including 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 updates EA document lists to reflect the issuance of the report.

6.0 Limited-notice Performance Testing

EA-20 uses limited-notice performance tests (LNPTs) to evaluate operational readiness to protect DOE interests. An LNPT is performed with as little advanced notice as practical to provide a realistic evaluation of S&S capabilities essential to protecting Departmental assets. The LNPT assessment team typically consists of only a few subject matter experts. LNPTs are typically completed within a 90-day window and include 3 days of field activities.

6.1 LNPT 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 outlining the LNPT locations for the upcoming calendar year. The EA-20 Director limits the dissemination of schedule dates to EA management and EA-20 personnel due to sensitive TA information.

The Team Chief is responsible for coordinating scoping meetings with the responsible Program Office approximately 90 days prior to assessment and the Field Office approximately 60 days prior to assessment. The Team Chief uses the scoping meetings to request preliminary data, identify essential elements of the protection strategy, and determine focus areas, which may include previous deficiencies and findings.

6.2 LNPT Planning

The Team Chief is responsible for coordinating planning activities prior to field activities and performance testing. Specific planning elements include:

- Resources
- Notifications and coordination
- Test selection
- Test documentation.

Resources

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

Notifications and Coordination

The Team Chief is responsible for contacting the responsible DOE offices and identifying TAs approximately 60 days before assessment. The Team Chief also communicates the LNPT process and scope, initiates test selection, and formally establishes the primary TA using the EA TA agreement form. The Team Chief typically provides appraisal dates only to TAs and emphasizes the requirement to limit test information and dissemination to the essential TAs needed for test coordination, promoting realistic testing.

The Team Chief is responsible for coordinating meetings with the assessment team and TAs to discuss testing activities. Additionally, the Team Chief coordinates with the responsible POCs and TAs to identify required training, dosimetry, and personal protective equipment. The Team Chief notifies the assessment team of training requirements and verifies that the team completes all required training.

Test Selection

The Team Chief is responsible for selecting tests based on 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 outlines the test objectives, parameters, test-specific data call, and other relevant information approximately 30 days prior to the assessment.

The Team Chief coordinates the receipt and dissemination of relevant test plans before the LNPT. The 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 details 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 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, typically over two to three days. The Team Chief is responsible for conducting an in brief 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
- Assessors cannot observe key aspects of the testing.

The assessment team validates testing results and observed conditions with responsible personnel immediately following the tests. The assessment team then analyzes the validated results using associated performance testing documentation (e.g., training, 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 Outbrief

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

Assessors develop report input 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 makes adjustments as needed to ensure factual accuracy and adequacy of the narrative to support the results.

The Team Chief provides the draft report to the responsible POC for a one-hour FAR and coordinates an outbrief. The Team Chief conducts the outbrief with the responsible organizations and Field Office after FAR. The LNPT assessment team attends the outbrief to address any questions and provide additional detail as needed.

The Team Chief is responsible for resolving all comments received from the assessed organizations and submitting the final draft report for management 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 that the report is factually accurate and receives a final derivative classifier review before issuing the final report.

6.5 LNPT 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
- Scope
- Assessment methods and activities
- Results, including 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. EA-20 then disseminates and archives the report, including entry into SSIMS. HQ Administrative Staff updates EA document lists to reflect the issuance of the report.

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

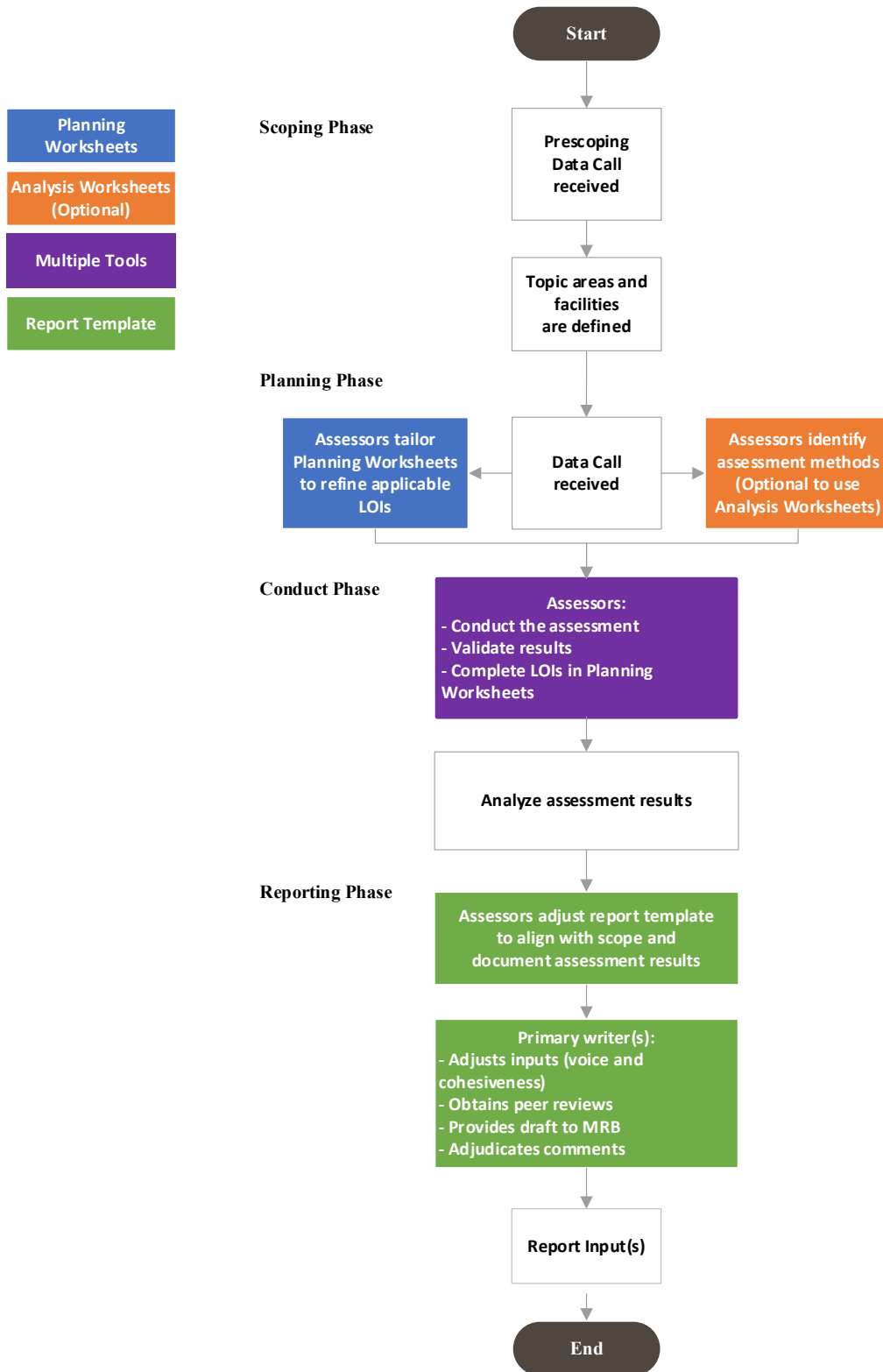
EA conducts special assessments, follow-up assessments, and targeted assessments as needed. The designated Team Chief is responsible for determining the assessment approach and resources needed to support these assessments.

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-1 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.

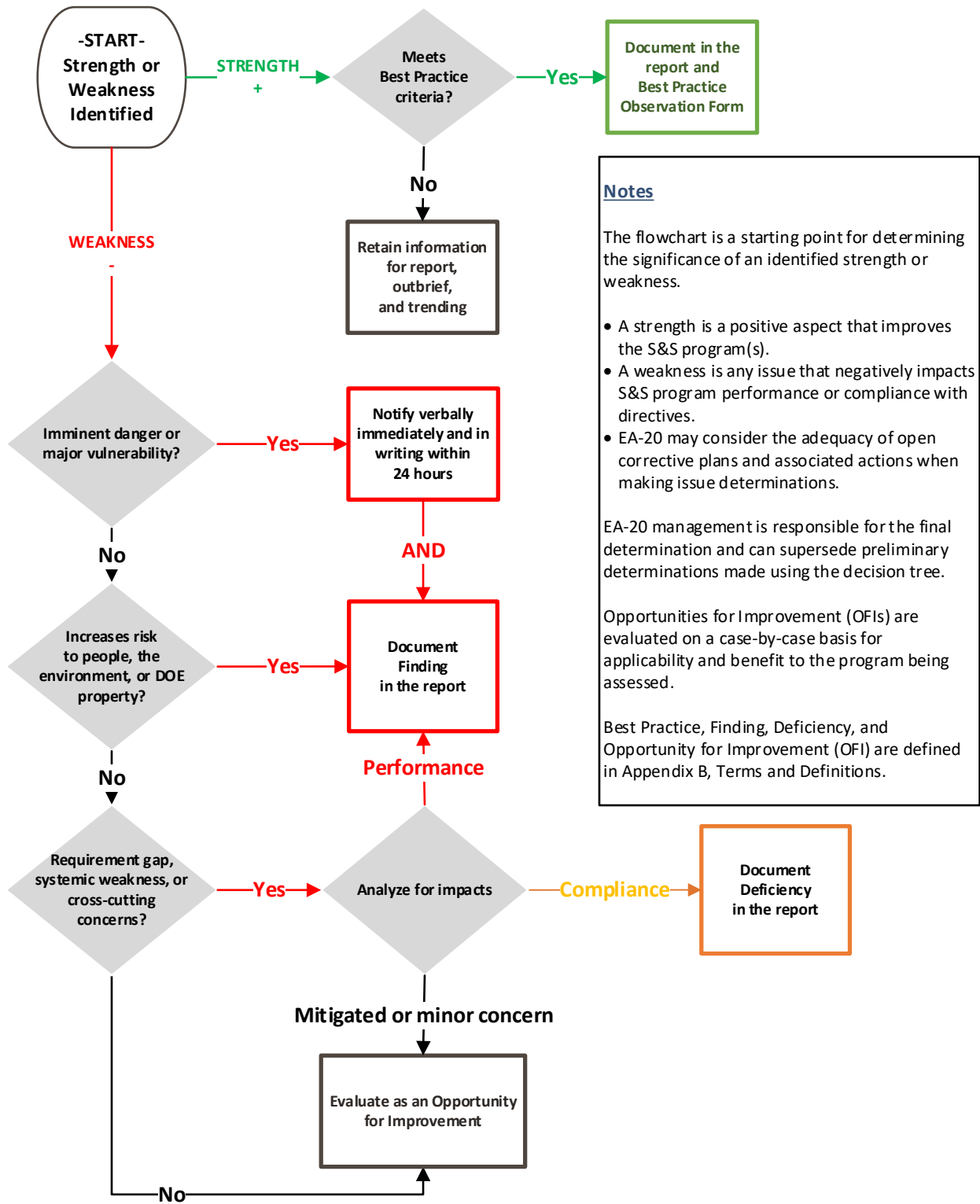
Follow-up Assessment – EA conducts follow-up assessments to determine the status, progress, effectiveness, and sustainability of corrective actions in response to significant concerns identified during previous EA appraisals or DOE line management oversight activities. EA conducts follow-up assessments 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 locations 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.

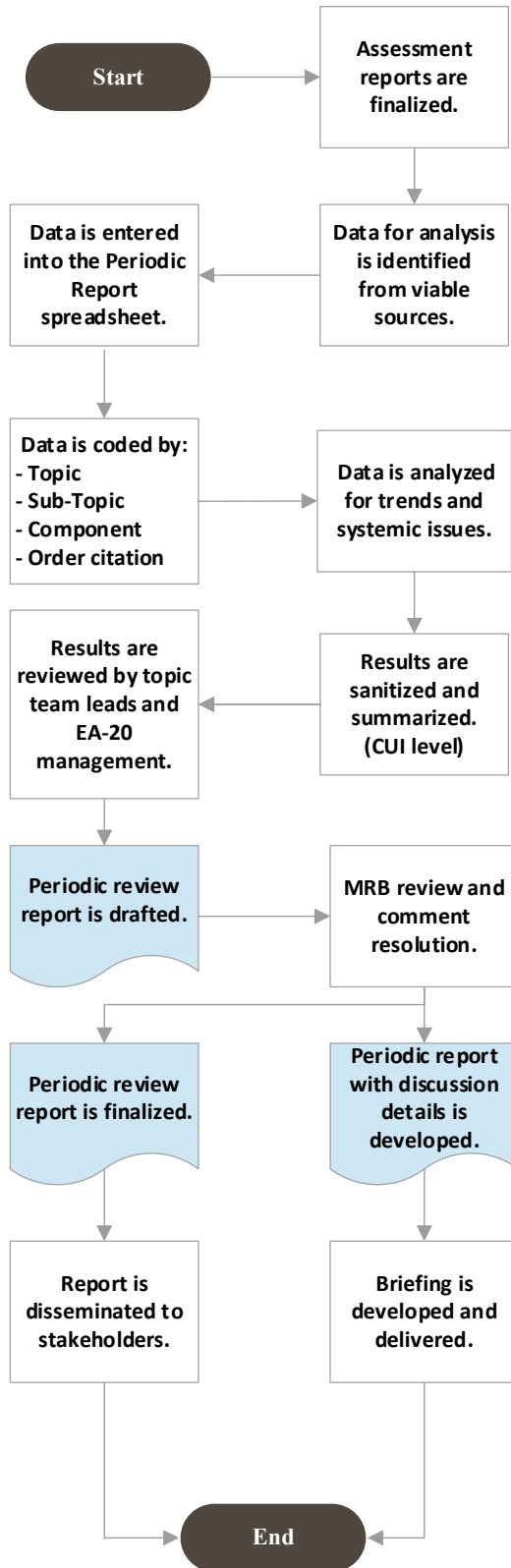
Attachment 1 Assessment Tool Flowchart



Attachment 2 Determination Decision Tree

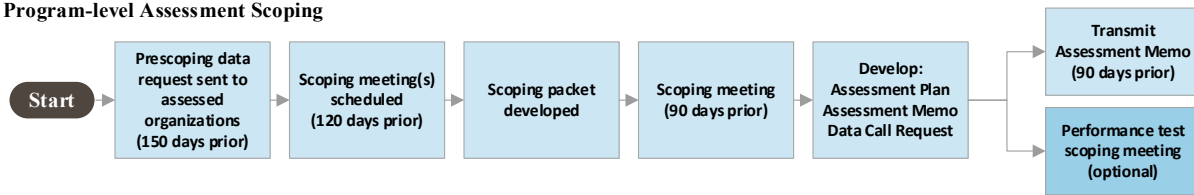


Attachment 3 Periodic Report Flowchart



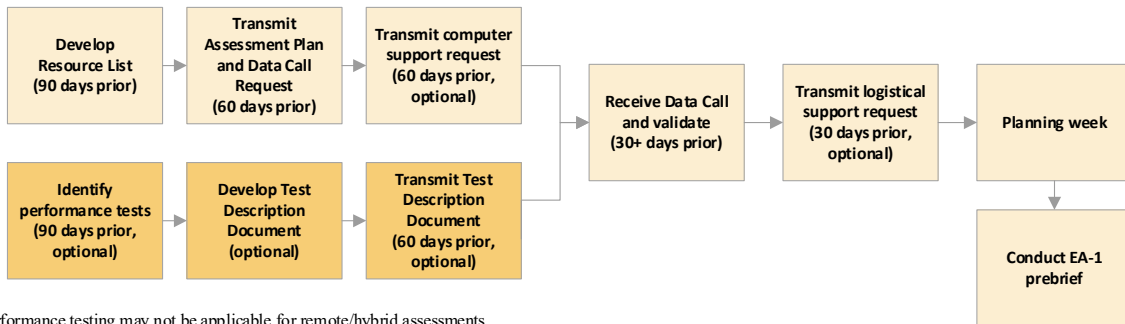
Attachment 4 Program-level Assessment Flowchart

Program-level Assessment Scoping



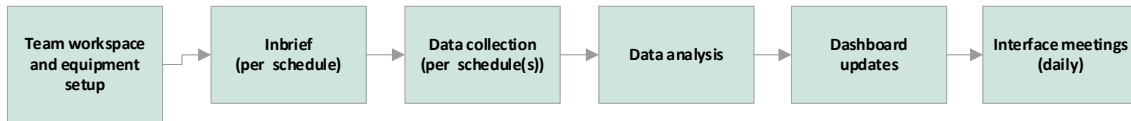
Performance Test Scoping meetings may not be required for remote/hybrid assessments or when FoF tests are out of scope.

Program-level Assessment Planning

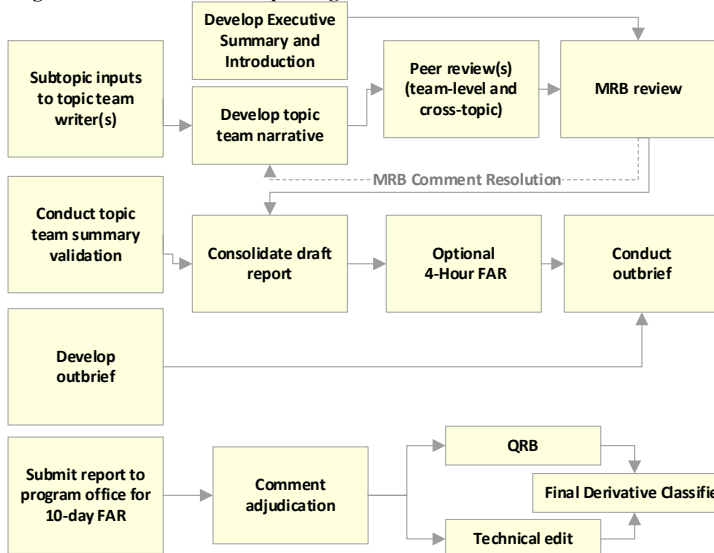


Performance testing may not be applicable for remote/hybrid assessments.

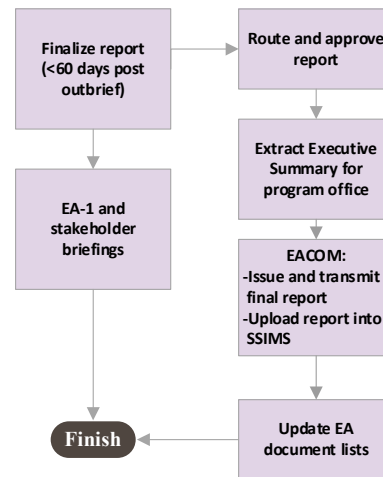
Program-level Assessment Conduct



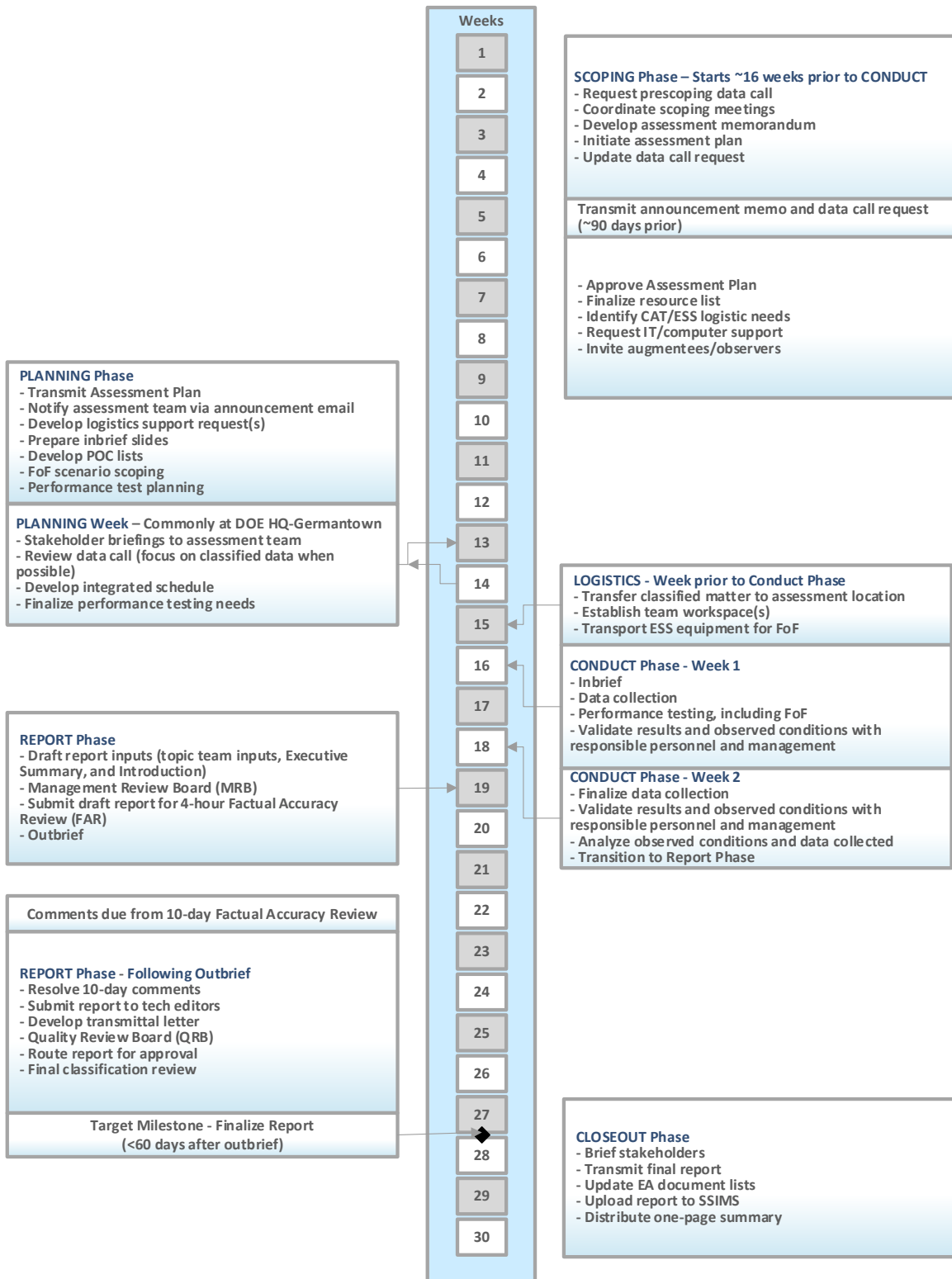
Program-level Assessment Reporting



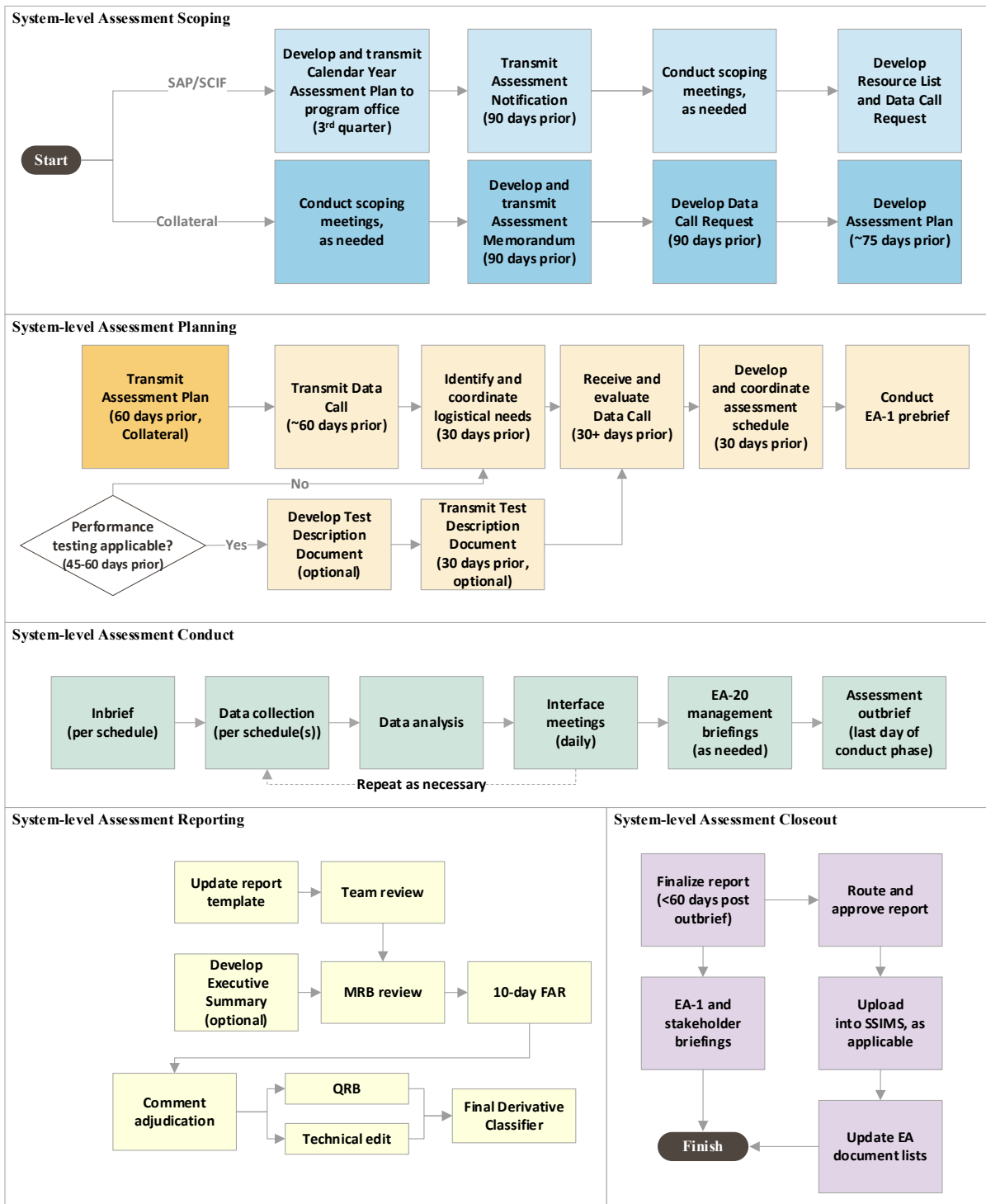
Program-level Assessment Closeout



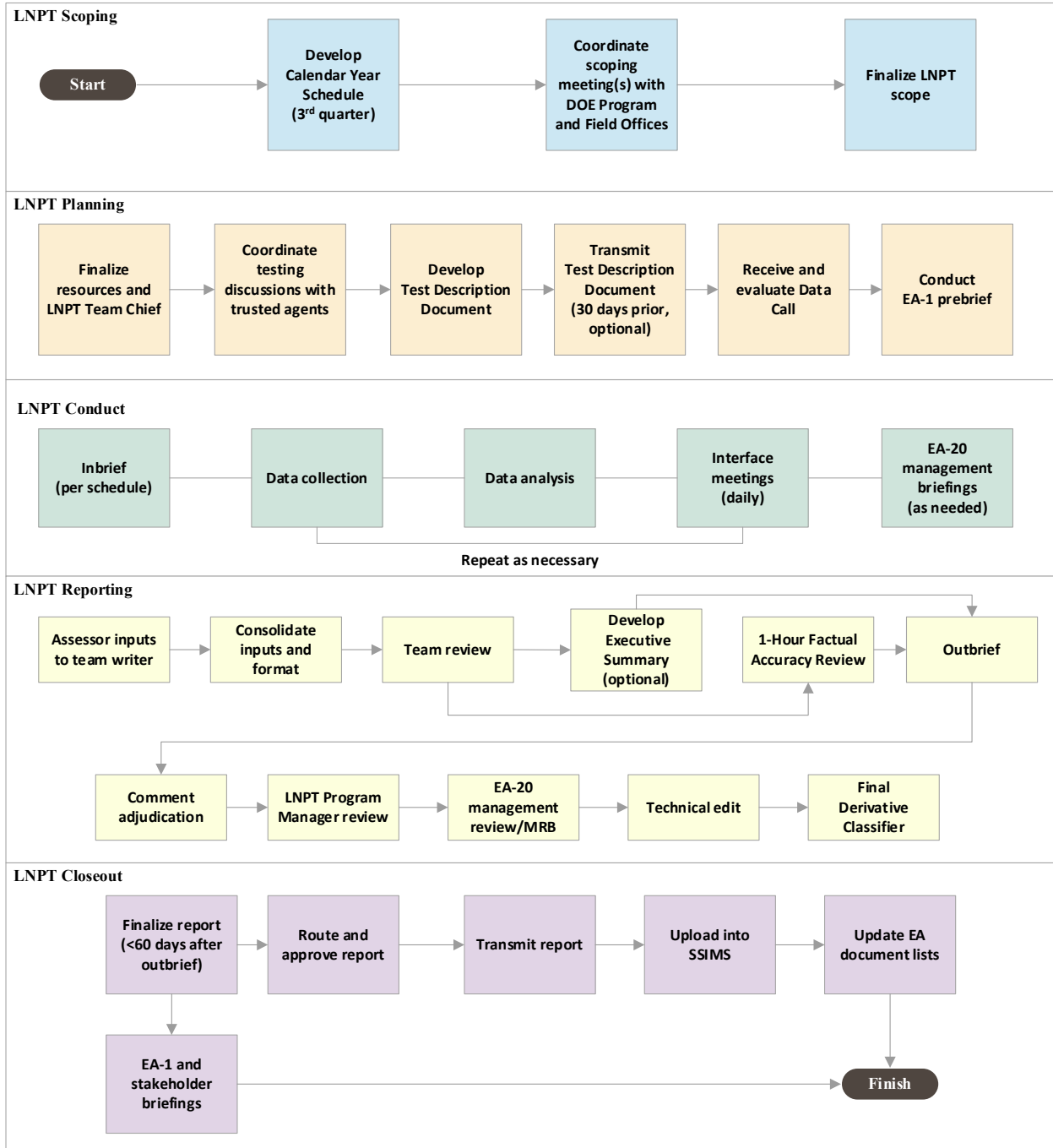
Attachment 5 Program-level Assessment Timeline



Attachment 6 System-level Assessment Flowchart



Attachment 7 Limited-notice Performance Test 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 PL designations.

- Priority I - Locations with PL 1-4 Assets
 - EA-20 aims to conduct a PLA at these locations every 36 to 48 months.
 - EA-20 uses annual LNPTs to monitor program performance between PLAs.

- Priority II - Locations with PL 5, 6, and 7M assets
 - EA-20 aims to conduct a PLA, SLA, or targeted assessment at these locations every 60 to 72 months.
 - EA-20 uses LNPTs to monitor program performance when resources allow.

- Priority III - Locations with PL 7-8 Assets, including SCI and SAP assets
 - EA-20 aims to conduct SLAs every 60 months for SCI assets.
 - EA-20 aims to conduct SLAs every 24 months for SAP assets based on agreement with the GPSM.
 - 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).

EA-20 Schedule Schema					
Year	Priority I PL 1-4	Priority II PL 5, 6, and 7M	Priority III		
			SAP	SCI	PL 7-8
1	PLA	PLA, SLA, or Targeted Assessment	SLA	SLA	When resources allow or when emerging issues occur
2	LNPT				
3	LNPT	LNPT when resources allow	SLA		
4	LNPT				
5	PLA		SLA	SLA	
6	LNPT				
7	LNPT	PLA, SLA, or Targeted Assessment	SLA		
8	LNPT				
9	PLA	LNPT when resources allow	SLA	SLA	
10	LNPT				

Appendix A

Roles and Responsibilities

Role	Phase	Responsibilities
EA-20 Director	Global	<ul style="list-style-type: none"> • Approve the strategic goals and objectives for EA-20 and incorporates the content in the EA Operational Plan • Approve and transmit appraisal forecast and schedules to responsible DOE personnel and offices • Approve EA-20 process documents, protocols, procedures, and report templates • Approve EA-20 assessment plans and reports • Coordinate briefings with EA-1, Administrators, and Program Offices • Approve all augmentees and observers supporting EA-20 appraisals • Ensure that periodic trending is performed and briefed to designated DOE and contractor personnel responsible for S&S programs
Technical Advisor	Global	<ul style="list-style-type: none"> • Assign and manages contractor personnel to support team leadership and appraisal activities • Ensure that assigned personnel do not have a conflict of interest • Provide technical support, including MRB support on EA-20 products and reports • Develop briefing materials
DOE Headquarters Administrative Staff	Global	<ul style="list-style-type: none"> • Coordinate the necessary resources, work areas, and equipment to conduct work at the Germantown facilities • Coordinate and schedule meeting spaces and briefings at Germantown • Develop and transmit EA-20 deliverables and memoranda • Maintain files and access privileges in Teams, DocShare, and SharePoint • Initiate and routes EA-20 documents and deliverables through official EA reviews and approval cycles in DocShare • Coordinate with EA Communications Center personnel to upload EA-20 reports into SSIMS
Tracking and Trending Analysts	Global	<ul style="list-style-type: none"> • Extract and analyze data from EA-20 reports and inputs • Draft report and briefing materials to communicate trends and significant results
Management Review Board members	Reporting	<ul style="list-style-type: none"> • Provide feedback and comments to appraisal teams and PLA Topic Team Leads • Ensure the quality and cohesiveness of EA-20 appraisal reports
Derivative Classifier	Reporting	<ul style="list-style-type: none"> • 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 guidance on classification decisions, and reviews proposed narrative

Role	Phase	Responsibilities
<p>Team Chief</p>	<p>Global</p>	<ul style="list-style-type: none"> • Manage the overall planning, coordination, and execution of assigned EA-20 appraisals • Determine the required resources and assessment approach for non-routine assessments • Determine applicability and use of assessment tools to support appraisal activities • Ensure assessment deliverables (e.g., memoranda, plans, schedules, data call requests) are developed and transmitted to responsible personnel and stakeholders • Ensure that the appraisal team adheres to established protocols • Validate assessment activities and results with responsible personnel • Facilitate meetings with the assessment team to communicate assessment status and results • Communicate policy concerns identified through EA-20 appraisals to responsible policy owners • Conduct briefings to EA leadership on assessment progress and results • Coordinate management review of the EA-20 report, including MRB members and participants • Collect and compiles lessons learned and improvement opportunities • Support periodic teleconferences to communicate tracking and trending results, as required • Communicate tracking and trending results from appraisal activities with the National Training Center and the DOE Office of Security Policy
	<p>Scoping</p>	<p>LNPTs</p> <ul style="list-style-type: none"> • Notify the Program Office responsible and Federal S&S Manager of performance testing and requests lead Federal TA • Finalize test selection with input from the EA-20 PT Coordinator and the responsible TAs <p>SLAs</p> <ul style="list-style-type: none"> • Ensure 90-day assessment memorandum is submitted to the GPSM and IN for SAP and SCIF assessments • Identify and requests pre-scoping data call • Ensure scoping packet development and dissemination • Coordinate scoping meetings • Finalize scope and coordinates scope changes with management • Ensure that the assessment memorandum is submitted to the responsible DOE Field and Program Offices • Delegate and coordinate tasks with assessment team
	<p>Planning</p>	<ul style="list-style-type: none"> • Ensure development of planning documents, including resource lists, the test description document, appraisal schedule, and report templates • Coordinate pre-appraisal briefings with stakeholders • Request assessment data call • Manage supplemental data call requests with POC

Role	Phase	Responsibilities
Team Chief, continued	Conduct	<ul style="list-style-type: none"> • Validate assessment results at daily management meetings with: <ul style="list-style-type: none"> ○ PLA: Senior contractor and DOE Field Office management ○ SAP SLA: GPSM, Site Security Coordinator, Contractor Program Manager, Contractor Program Security Officer ○ SCIF SLA: IN, Field Intelligence Element Director, and Special Security Officer ○ SLA: Responsible DOE and contractor management • Provide updates and briefings to EA-20 Director during conduct phase
	Reporting	<ul style="list-style-type: none"> • Oversee the development of appraisal reports • Ensure factual accuracy of draft report content • Coordinate FAR with responsible personnel when required • Provide the draft report to the following stakeholders for the 10-day FAR: <ul style="list-style-type: none"> ○ PLA: DOE Program Office ○ SAP SLA: GSPM ○ SCI SLA: IN ○ SLA: DOE Program or Field Office • Provide the report to the EA-20 Director for management review • Develop post-appraisal briefing for EA management
	Closeout	<ul style="list-style-type: none"> • Outbriefs management and stakeholders after data collection activities • Ensure that finalized reports are distributed and archived appropriately
Deputy Team Chief	Global	<ul style="list-style-type: none"> • Provides direct support to the Team Chief and assists with the overall planning, coordination, and execution of assigned EA-20 appraisals
Team Writers	Global	<ul style="list-style-type: none"> • Ensure that written reports and products align with the <i>EA-20 Guiding Principles for Report Writing</i> and the <i>EIA Style Guide</i> (see Forms- Protocols repository) • Support the Team Chief and PLA Topic Team Leads in coordinating team activities, schedules, status updates, briefings, and written products • Conduct peer reviews of EA-20 products, as necessary
	Planning	<ul style="list-style-type: none"> • Support the development of EA-20 appraisal inputs, including test description document, report templates, and executive summary
	Reporting	<ul style="list-style-type: none"> • Consolidate draft report inputs from assessors • Ensure report content consistency in content and formatting, plain and precise language use, flow, and tone • Develop conclusion narratives with input from the Team Chief and PLA Topic Team Lead • Adjudicate comments in written reports and products consistent with management direction • Perform the responsibilities of derivative classifiers when required <p>LNPTs and SLAs</p> <ul style="list-style-type: none"> • Develop required EA-20 appraisal outputs (e.g., draft report, executive summary) <p>PLAs</p> <ul style="list-style-type: none"> • Develop the narrative for topic-level conclusions • Provide topic team inputs for briefing materials
Assessors	Global	<ul style="list-style-type: none"> • Conduct thorough, objective, and accurate evaluations using approved EA-20 appraisal tools and protocols • Attend and support meetings and briefings, as required

Role	Phase	Responsibilities
	Planning	<ul style="list-style-type: none"> • Tailor appraisal tools to scope • Tailor data collection forms for PTs • Evaluate data call for completeness and submit supplemental data call requests to the Topic Team Lead or Team Chief • Identify and prepare for data collection methods • Complete necessary training
	Conduct	<ul style="list-style-type: none"> • Coordinate data collection methods through the Team Chief or PLA Topic Team Lead • Adhere to all posted requirements and facility personnel guidance during observations • Observe and evaluate data collection activities • Conduct and support validation activities • Serve as evaluators during FoF testing
	Reporting	<ul style="list-style-type: none"> • Develop baseline inputs for the draft report to ensure that significant results are documented with supporting narrative for areas of responsibility • Ensure the technical accuracy of each narrative statement • Obtain and perform peer reviews of draft report inputs and content
Performance Test Coordinator	Planning	<ul style="list-style-type: none"> • Assume responsibilities delegated by the Team Chief or PT Lead • Coordinate logistics and personnel needed to support performance testing, including the Composite Adversary Team and EA-20 ESS equipment • Coordinate PT selection and data call requests with responsible TAs <p>LNPT</p> <ul style="list-style-type: none"> • Consolidate data call and distribute to the assessors • Coordinate with the LNPT assessment team to develop the test description document • Coordinate development of LNPT inputs (i.e., draft schedule, data collection forms, report template, and executive summary template)
	Conduct	<ul style="list-style-type: none"> • Assist Team Chief or PT Lead with the execution of performance testing
Topic Team Leads (PLA-specific)	Global	<ul style="list-style-type: none"> • Support periodic teleconferences to communicate tracking and trending results, as required
	Planning	<ul style="list-style-type: none"> • Assign assessors subtopics and areas of responsibility • Manage supplemental data call requests with POCs and Data Call Administrator • Draft topic team schedule • Coordinate data collection activities and scheduling with POC • Ensure that the assessment dashboard is populated and updated prior to team meetings
Topic Team Leads (PLA-specific)	Conduct	<ul style="list-style-type: none"> • Attend interviews with DOE Field Office and senior contractor management • Ensure that the assessment dashboard is updated to facilitate internal team meetings • Brief assessment activities and results at end-of-day meetings, including validation status • Ensure consistency of information communicated to and validated with the responsible personnel, and reported to the Team Chief or Deputy Team Chief

Role	Phase	Responsibilities
	Reporting	<ul style="list-style-type: none"> • Ensure that topic-level inputs are developed and reviewed prior to MRB • Conduct summary validation of topic-specific results • Support resolution of FAR comments, including any required follow-up actions and narrative adjustments
Lead Writer (PLA-specific)	Reporting	<ul style="list-style-type: none"> • Develop the executive summary and introduction • Capture MRB comments and feedback on topic inputs • Consolidate topic team inputs into the draft report • Finalize PLA outbrief slides
Data Call Administrator (PLA-specific)	Global	<ul style="list-style-type: none"> • Establish and maintain a designated SharePoint repository for appraisal activities and documents (see Data Call Protocol in the Forms-Protocols repository) • Manage the cataloging of PLA data call and supplemental documents
Field Coordinator (PLA-specific)	Planning	<ul style="list-style-type: none"> • Coordinate logistical needs, including classified and unclassified workspaces, with POCs • Identifies and provides pre-arrival instructions to the assessment team
Field Coordinator (PLA-specific)	Conduct	<ul style="list-style-type: none"> • Ensure that required protocols are established and maintained for team workspaces
Performance Test Lead (PLA-specific)	Planning	<ul style="list-style-type: none"> • Coordinate development of PLA performance testing schedule, including inputs from POCs and topic teams • Coordinate performance testing activities, logistics, and schedule with EA-20 and responsible personnel • Ensure that a test description document is developed • Ensure that testing activities are sanitized and captured in the appraisal schedule • Ensure that a Safety Coordinator is responsible for establishing safety measures when ESS is used • Ensure adherence to FoF process requirements
EA-20 Safety Coordinator (PLA-specific)	Conduct	<ul style="list-style-type: none"> • Ensure that safety protocols are established to protect all involved personnel 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](#).

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 Order 473.1A, Physical Protection Program]
Appraisal	An 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 Order 227.1A]
Assessment	A 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: <ol style="list-style-type: none"> 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 Order 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 Order 473.1A]
Composite Adversary Team	Designated and qualified staff members from EA, DOE, and NNSA locations 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.
Engagement Simulation Systems	Non-lethal systems that permit players to simulate combat conditions and provide an accurate assessment of the effects of weapons fire during simulated hostile engagements.

Term	Definition
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	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 Order 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 Order 227.1A]
Independent Oversight	Independent oversight refers exclusively to oversight by 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 Order 227.1A]
Limited-notice Performance Test	A performance-based appraisal activity that is coordinated with TAs and conducted with minimal warning to solicit a realistic response to potential security incidents.
Limited-scope Performance Test	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 national security. [DOE Order 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 Order 473.1A]
Opportunity for Improvement	A suggestion offered in independent oversight appraisal reports that may assist cognizant managers in improving programs and operations. While OFIS 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 Order 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 cybersecurity “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 Order 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 documented in the Performance Assurance Plan. [DOE Order 473.1A]
Template	A formatted file used as a baseline to ensure content consistency that serves as the starting point for a new document.
Validation	A 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

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 Setup	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