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FACILITIES, SECURITY & SAFEGUARDS DIVISION

Safeguards & Security Program Office

PROTECTIVE FORCE OVERSIGHT PROGRAM

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FSS-1
FSS-PAO
FSS-SPO
FSS-RPO
FSS-10
FSS-12
FSS-14
FSS-15
PTLA

PROTECTIVE FORCE OVERSIGHT

Introduction:

The purpose of this document is to identify and describe the duties and responsibilities of Facilities Security & Safeguards (FSS) Safeguards & Security (SS) organizations (groups/offices) with oversight functions over the Protective Force (PF) subcontractor. Responsible organizations will continue their present PF oversight functions under the Cost Plus Award Fee (CPAF) assessment, but now will be required to also coordinate, integrate, and interface with other FSS S&S organizations and with the PF subcontractor to measure performance, assess Department of Energy (DOE) compliance, reduce costs, and minimize duplication of effort.

Performance Objective

The role of the PF subcontractor is to provide the Laboratory with effective and efficient protective force services. PF services include providing protection for the special nuclear material, government property and classified or sensitive information developed and/or consigned to the Laboratory, as well as protection for personnel who work or participate in Laboratory activities. FSS S&S oversight of both performance and compliance standards/metrics is essential for these PF objectives to be met.

Implementing Guidance

Safeguards & Security oversight of the PF subcontractor is accomplished by an FSS S&S multi-disciplined team. This performance and compliance based oversight has four main purposes:

- Ensure the PF is complying with all relevant DOE Orders.
- Assist PF management with the day-to-day coordination of services to ensure customer satisfaction.
- Ensure the PF is meeting its contractual obligations to the Laboratory and therefore assist the Laboratory in meeting its University of California (UC) and DOE requirements.
- Evaluating PF S&S operational and compliance performance for the Cost Plus Award Fee (CPAF) determination.

FSS-S&S Program Oversight Management

The FSS-S&S Program Manager, through the FSS-PAO staff and FSS S&S groups and offices and their subject matter experts (SMEs), provides oversight of the PF contract performance. The relevant guidance documents for FSS S&S oversight include:

- DOE Orders
- Los Alamos National Laboratory (LANL) policy and procedures
- Protective Force Services Subcontract, D-X22-K3500-1
- CPAF Evaluation Handbook
- UC performance measures (all disciplines)
- Protection Technology Los Alamos (PTLA) Policies and Resources Manual & Directives
- Individual Laboratory and FSS oversight groups' performance standards/procedures
- LANL Safeguards & Security Assurance Program
- LANL Safeguards & Security Manual
- LANL Director's Policy
- Property Protection Program
- Topical area checklists
- Organizational Safeguards and Security Plans (OSSP) of LANL organizations
- PF Desk Top Procedures
- LANL Site Safeguards & Security Plan
- Security Emergency Response Plan (SERP)

Figure 1, FSS S&S Protective Force Oversight Flow Diagram

The oversight process for the PF is shown in Fig 1, FSS-S&S PF Oversight Flow diagram. It depicts the flow of activities in two broad categories: Evaluations and Operations. The continuous evaluation of the Protective Force is accomplished using the established CPAF evaluation under the sub-contract and the newly established LANL S&S Assurance Program which focuses on S&S self-assessments.

Evaluations: Both of the evaluations sub-topics use FSS S&S organizations and, in the case of the CPAF, other Laboratory organizations with PF oversight responsibilities.

- **CPAF:** The PF contract stipulates the criteria for performance of the PF during each fiscal year (FY). The CPAF Evaluation Handbook provides the evaluation process and the metrics needed for determining PF performance. Inputs to FSS-DO are provided by the PF organization to meet this requirement. FSS S&S organizations support FSS-DO as required. FSS-10 provides information concerning PF operations compliance.
- **Self-Assessments:** Tier I self assessments are continuously performed by the PF as it accomplishes its contractual duties under the UC contract. Tier II assessments are scheduled and performed throughout the year by FSS S&S organizations. Tier III assessments are accomplished annually by FSS-PAO. These assessments, under the LANL S&S Assurance Program, provide the methodology and format for PF compliance oversight with the DOE S&S program. The metrics used have been developed by each of the FSS S&S organizations providing PF oversight.

Operations: The operations of the PF are the responsibility of the Laboratory subcontractor. The two sub-topical areas of Operational Activities and Operations Management address two major functions of the PF: physical security field operations and the operational management of the PF to allocate resources to get the job done.

- **Operational Activities:** FSS-10 will provide oversight of the day-to-day PF operations. Additional day-to-day assessments are accomplished by FSS-10 as it provides functional support and oversight of PF operations as outlined in Appendix A-1 (FSS-10 Physical Security Oversight for the PF). FSS-10 provides oversight in the following areas: physical security, PF duties, special response teams, equipment and facilities, qualifications and performance testing. FSS-PAO and other FSS S&S organizations provide oversight in the following areas to include: training, computer security, information security, communications security, operations security, personnel security, PSAP, MC&A and other regular FSS S&S topical activities.
- **Operations Management:** FSS-PAO provides oversight and assistance to the PF management in the areas of: policies, plans, budgets, and procedures, qualification requirements, allocation of personnel resources, and departmental and subcontractor personnel management. Tier III assessments of PF: management, planning, budgets, performance and exercises provide necessary metrics, data and reports for this area.

Each of the evaluation processes have defined metrics that determine the degree of compliance and performance in that area. The documents listed above are used to define and detail each of the metrics. Each of the FSS S&S group/program offices with evaluation and assurance/self-

assessment responsibilities for the PF are required to have copies of their evaluations (data, metrics, processes, reports) on file at FSS-PAO.

The Operations oversight for the PF represents the majority of the total sub-contract oversight accomplished by FSS-S&S. Within Operations are two sub-categories: Operational Operations/Activities under the oversight of FSS-10 (see Appendix A-1) and Operations Management/Administration under the oversight responsibility of FSS-PAO (see Appendix A-2). Participation of other FSS S&S organizations are shown in a matrix in Appendix B. Again, the guiding documents listed above will be used for defining and detailing the parameters for the development of meaningful oversight metrics. The development of these metrics for this year's oversight activities are expected to be completed in the second period of the FY 96 oversight program.

The PF has a formal organizational structure and chain of command with assigned oversight duties and responsibilities to accomplish this contract. The PF formal organization and chain of command exercises control of day-to-day operations. The PF has professional, technical and operational personnel assigned to the evaluation categories discussed above. A number of FSS S&S Groups (10, 12, 14, 15, 16.) and offices (PAO, SPO, RPO) have personnel with technical, operational, support and oversight responsibilities that interface with PF counterparts on a regular basis(see Appendix B).

The rationale here is for FSS S&S to be supportive of PF management and operations, accomplish its evaluations/operations and oversight functions, and yet not interfere or disrupt PF performance or authority under the contract. We believe effective oversight and accomplishment of the Laboratory's responsibilities can be effected with minimal disruption if properly integrated in day-to-day transactions.

Laboratory Organizational Support for PF Oversight

The Laboratory Contract Administrator (CA) administers the overall contract, relying on the FSS S&S Operations office and other Laboratory organizations to provide programmatic and performance oversight as necessary.

Oversight and Coordination

PF operations also receive oversight and coordination from the following Laboratory organizations: FSS-1, Business Operations (BUS), Human Resources Division (HRD), Environmental, Safety and Health (ESH), Quality & Planning Program (QP), LANL Firearms Safety Committee, and Audits & Assessments (AA). This information is shown in the organization/functional diagram, Fig. 2: LANL Oversight of PF Operations, shown below.

Figure 2, Overall LANL PF Coordination and Interaction

The Figure 2 shows the S&S Deputy Program Manager as the coordinator for PF oversight within the FSS S&S. Other Laboratory organizations have their own coordinators and interface with FSS S&S as appropriate.

FSS S&S Program Office teams in the oversight effort with S&S Offices (PAO, SPO and RPO), and the S&S topical groups. Other Laboratory organizations with oversight responsibilities frequently coordinate and share their PF interactions with FSS S&S organizations. Each of these entities bring its expertise so that it may be integrated into the overall oversight of the PF operations. This oversight must be effective, simple and as much as possible transparent to PF operations, cost effective, and in concert with the contract.

The DOE guidance reflects that oversight/self-assessments should be performed as an on-going process at all levels of the organization. It states they should be used as a management tool to determine S&S program effectiveness and to identify areas needing special attention. The implementation of this program should minimize the amount of DOE oversight and surveys, permit Laboratory organizations and subcontractors to tailor their oversight/self-assessments to their mission and operations, and cut duplication of in-house effort.

PF Oversight Responsibilities:

The first line of assurance relies on meeting the PF contract expectations as detailed in the CPAF. This oversight responsibility lies with PF management in the daily performance of the contract. The PF has a Policy and Resources Manual that defines their management and staff duties and responsibilities as well as their organizational structure. Their performance handbook for CPAF provides further oversight guidance. The three evaluation periods cover the year and include the support services provided by the PF (Security Operations, Management, and Administration).

Integrating the inputs of PF's own oversight activities with that of the various Laboratory organizations results in a performance-based oversight data base that meets DOE and UC requirements, the PF contract provisions, and surfaces the information to perform a more effective PF operation.

ESH-5 Oversight of the PF Operations

ESH-5 provides technical support and oversight to the PF staff in the areas of the environment, safety, and health. The ESH-5 representative also provides support to the Firearms Safety Committee and CPAF evaluations, attends scheduled safety meetings, and observes field exercises. The ESH specialist develops the performance and compliance standards, reviews safety procedures from PF managers, and offers critiques as part of the oversight process. Interactions are ongoing with FSS-PAO, FSS-SPO, and FSS-10 staff.

An ESH-5 safety professional is assigned to work in FSS-PAO which enhances safety oversight of PF operations. This ESH-5 member will meet the DOE qualification standards necessary to assess PF compliance with recognized firearms safety procedures. Appendix C outlines the current tasks assigned to the ESH specialist. It should be noted that the duties described in Appendix C are preliminary and that the elements of the assignment will change as required to meet PF needs and DOE orders and expectations.

Benefits of Integrated Oversight Approach

Key to PF mission accomplishments are the following processes:

- Cost effective performance of safeguards and security operations that are in compliance with DOE orders, other regulatory requirements and the PF subcontract
- Establishment and maintenance of a cost effective/efficient PF program with continuous quality improvement focused on internal customers
- Professional management of the Los Alamos operation

The integrated oversight of PF operations requires formal oversight definition, work standards, and policies from Laboratory organizations having oversight functions. These functions must be

allocated and managed by Laboratory organizations according to their experience and expertise. The functional descriptions must articulate and organize oversight with duties and responsibilities for safeguards & security, firearm and range safety, protective force training and exercises, and laboratory/site wide ES&H.

APPENDIX A-1

FSS-10 OPERATIONAL CONTROL OF DAY-TO-DAY ACTIVITIES AND PROTECTIVE PROGRAM OPERATIONAL OVERSIGHT OF THE PROTECTIVE FORCE

GENERAL. FSS-10 has day-to-day oversight of Protective Program Operations (PPO) of the PF. This includes:

- Day-to-Day Operations: Includes issues of compensatory measures, Security Officer operations, Security Police Officer II and III operations, Special Response Team, post operations, patrols, routine duties, alarm response, special requests, escort activities, shipments, property protection team, assessment room operation, central alarm station operation, field supervision, and associated customer needs/issues;
- Assistance Visits II: Includes issues per functional responsibilities;
- Evaluation Reports: Includes issues of developing the Functional Performance Area 1 (Security Operations) portion of the overall evaluation report;
- Orders (Procedures): Includes issues of evaluating security orders during assistance visits and providing technical direction;
- Response Strategy Development: Includes coapproval of all response strategies;
- Performance Testing: Includes coapproving of performance tests.

NOTE: Additional details of these areas will be jointly developed.

I. ASSISTANCE VISITS: FSS-10 conducts regular assistance visits to the PF, as part of the "LANL Safeguards and Security Assurance Program". PF operations and performance are also assessed as part of all assistance visits process whether it be to a specific operation, guard post, facility, or technical area (TA). The following areas within PF operations are included in the FSS-10 assistance visit process:

- physical security issues/concerns
- protective force operations
- routine duties
- operational use of equipment and facilities
- emergency response
- special duties

EXAMPLES (of operational activities):

Post Order Compliance:

1. Access controls. (All aspects of access controls and entry /exit inspections)

2. Facility Interface. (Coordination with facility management on security issues)
3. Internal response and patrolling. (SERP response to facility needs, openings, postings)

Limited Scope Performance Tests (LSPT):

1. Questions & Answers Method. (Concerning orders, procedures, deadly force, facility emergency / evacuation plans, etc.)
2. Detection equipment operations. (X-ray, metal and Special Nuclear Materials (SNM) detectors)

II. PF HEADQUARTERS ASSISTANCE VISITS: The PF is listed separately for clarification. FSS-10 provides day-to-day oversight of PF operational activities. It also receives the same Assistance Visit procedures and elements as any LANL organization occupying a Limited Area. The visits include physical security compliance in accordance with DOE Order 5632.1C, and any applicable policy guidance for a Limited Area.

III. SAFETY: As a matter of group and Laboratory policy, FSS-10 personnel will remain alert for any immediate or latent safety concerns. All FSS-10 personnel will be informed of the safety "Stop Work Policy" and authority for applicable activities, including training exercises and LSPTs. Safety issues requiring immediate attention will be addressed immediately to the PF senior manager and then reported to FSS-PAO. Other safety issues or concerns will be addressed to FSS-PAO as soon as feasible. Unsafe conditions or practices found during Assistance Visits will be reported formally as an issue or concern as appropriate.

IV. OPERATIONS CONTROL AND COORDINATION: FSS-10, in conjunction with facilities management personnel, will include, but not be limited to, oversight and coordination of day-to-day PF operations in the following areas:

1. Construction/maintenance project security requiring temporary compensatory measures.
2. Special operations requirements of a temporary nature. (Less special visits assigned to FSS-PAO)
3. Alternate means or temporary deviations from normal procedures addressed in post orders to facilitate a specific situation or operation.
4. Immediate corrective actions representing physical security vulnerabilities, non-compliance with post and general orders, or other degradation of PF functions at facilities or on posts.

NOTE: *FSS-10 and FSS-PAO have the authority to point out vulnerabilities to PF supervisors and the supervisors will correct the situations.*

5. Facility requirements interpretation. FSS-10 will clarify facility requests and settle differences that cannot be directly resolved between facilities and the PF concerning requirements for day-to-day operations or special temporary procedures.
6. FSS-10 will exercise coordination with the PF for all issues involving interface with or changes to the Site Safeguards and Security Plan (SSSP) and Vulnerability Assessment input/output.
7. FSS-10 will provide technical review and coapprove protection strategies.
8. FSS-10 will review Performance Test results related to the SSSP.

Contractual or Statement of Work Oversight. FSS-10 will coordinate with FSS-PAO for any requirements which would be a change to the formal Contract or Statement of Work between the Laboratory and the PF.

APPENDIX A-2

FSS-PAO Protective Force Management Oversight

GENERAL: FSS-PAO is responsible for the management control and PF operations. It has the experience and expertise necessary to assist the PF in meeting its management responsibilities for effective PF operations. Oversight responsibilities are covered in applicable DOE orders, the UC contract, the PF Services Subcontract, the CPAF Evaluation Handbook, and Laboratory policies and procedures.

FSS-PAO coordinates the activities and schedules of the tiered assistance visits for the various Laboratory S&S activities as required.

Management Responsibilities:

FSS-PAO provides control measures for PF self-evaluations/assessments, reporting, and corrective issue tracking to be compliant with appropriate DOE Orders. The areas of PF assistance and oversight include:

- Budget: Includes issues of annual budget and extended overtime.
- Staffing: Includes issues of hiring of Key Personnel, organizational structure, classifications, Labor Relations, and Human Resources and Work Stoppage Plans.
- Plans: Includes issues of annual and long range for such things as equipment, facilities, vehicles, and other types of tactical and strategic management planning.
- Assistance Visits (Level II): Includes issues per functional responsibilities.
- Tracking Findings/Milestones: Includes issues of Data Base management, notifications, corrective action plan changes and DOE changes.
- Purchasing: Includes issues of special procurement, and cost-benefit analyses.
- Safety: Includes issues of firearms safety, range operations, vehicle safety, operational safety, employee accidents, training safety, Firearms Safety Committee, intermediate force safety, ammunition, and Engagement Simulation System (ESS) operations.
- Training: Includes issues of Annual Training Plan, competitions, external/internal training, and certifications.

- Policy: Includes issues of Policy development and approval for legal aspects contract clarification, and management directives.
- External Audits: Includes issues of coordination, and issues tracking.

Assistance Visits:

FSS-PAO conducts both Tier II and Tier III assistance visits for the PF.

- Tier II. These visits concentrate DOE order compliance and PF performance in the areas of protective program management (PPM) and protective force management (PFM)

Tier III: These FSS-PAO visits are conducted to evaluate and validate the PF oversight effort. They will be generally conducted along with a Tier II assistance visit being accomplished by a S&S topical area.

FSS S&S Protective Force Management Oversight

These oversight responsibilities are depicted in a matrix format showing as much as possible by, primary (P), and support (S) indications in the following chart. Since oversight is a dynamic function of the Protective Forces operations these responsibilities will change, overlap and frequently be shared.

[illegible]

- *P - Primary: FSS S&S organization, with the expertise in a particular S&S topical area, that routinely interfaces with PF and receives data in accordance with the LANL S&S Assurance Program*
- *S - Support: FSS S&S organizations that integrate and support the primary FSS S&S organization in a particular topical area with expertise; share and coordinate their information and insights to assist the PF in meeting it's performance goals*

Oversight Activities: The LANL S&S Assurance Program (SSAP) is the vehicle that is used by FSS S&S organizations to conduct their oversight functions. The SSAP provides a systematic approach that relies first on PF's management of it's operations to meet it's oversight objectives, followed by FSS's S&S assistance visits to supply topical area expertise. This approach includes but is not limited to using the three-tiered assistance visit approach with supporting documentation.

- Tier I: The PF is primarily responsible for the oversight/self-assessment of its daily performance as spelled out in the UC contract and covered in the PF Policy and Resource Manual. The documentation of this performance and review by cognizant Laboratory organizations is necessary to assure that it meets the Tier I requirement for oversight.
- Tier II: S&S assistance visits are scheduled throughout the year by S&S topical organizations to assess the performance and compliance of PF groups with DOE, UC, Laboratory and PF requirements. Pertinent checksheets and documentation are reviewed and assessed.
- Tier III: Formal assessment visits led by FSS-PAO to address specific PF needs. These visits can also provide oversight data and are documented and reviewed as in Tier II.

These assistance visits to PF can collectively support FSS-PAO with it's responsibilities in meeting DOE and UC oversight requirements. To assure that the oversight program is effective FSS-PAO will periodically review the SSAP documentation collected by the FSS S&S organizations shown in the matrix above. These reviews along with status reports from PF and participating Laboratory organizations will provide the information necessary for a viable, effective oversight program which will provide continuous improvement.

APPENDIX C

Environment, Safety and Health Tasks in Support of Protective Force Oversight

ESH-5 provides a safety and health professional to work on-site with FSS-PAO to enhance safety and health oversight of PF operations. That assignment includes the following elements:

1. Firearms safety assessments of security operations:
 - a) Compliance with appropriate codes, standards, and regulations, especially DOE 5480.16A.
 - b) Extent of implementation of internal procedures in daily operations.
 - c) Interact with the LANL Firearms Safety Committee, which may or may not include functioning in the position of Executive Secretary for the committee.
2. Safety oversight at security force training exercises and qualification events:
 - a) Review exercise plans prior to exercise start.
 - b) Participate in after-action reviews of exercises.
 - c) Work with PF and/or FSS as appropriate in the identification and evaluation of hazards related to training exercises and qualifications events; assist in the development of options for hazard control.
3. Evaluations of security force safety programs performance:
 - a) Compile safety and health input for CPAF.
 - b) Evaluate data deliverables. e.g., CAIRS reports and vehicle accident reports.
 - c) Participate in assessment activities including programmatic reviews inspections, self assessment efforts, and others, as appropriate.
 - d) Provide technical assistance to PF and/or FSS upon request.
4. Industrial Hygiene support and oversight of security force activities:
 - a) Health hazard evaluation and assessment for chemical and physical agents:
 - i) Sampling for airborne lead during qualifications and other appropriate activities.
 - ii) Noise dosimetry on an as-needed basis.
 - iii) Monitoring for carbon monoxide levels in various aspects of protective force duties.
 - iv) Sampling for airborne solvent vapors in armory activities.
 - v) Sampling for exposure to electromagnetic radiation
 - vi) Sampling for other airborne agents, e.g., fibrous glass.
 - b) Ventilation surveys at guard posts and PF locations as needed.
 - c) Investigation of potential occupational hazards at the request of ESH-2.
 - d) Provide instruction/training in hazard communication.
 - e) Review programmatic activities, e.g., bloodborne pathogens Hanta virus, etc.

- f) Review OSHA documents for adherence to guiding codes, standards, and regulations.
- g) Ventilation surveys at guard posts and PTLA locations as needed.

Note: Under current (September 1995) arrangements with this assignment, efforts related to the conduct of sampling for health hazard assessments (item 4a above) are supplemented with an ESH-5 technician as needed.

5. The assignment includes participation in other related tasks and activities as appropriate.

The ESH-5 employee assigned to these tasks and activities will be trained to DOE qualifications standards necessary to optimally assess protective force subcontractor compliance with firearms safety policy and procedures. Other qualifications include successful completion of the Safety Officer Practical Training Orientation conducted by the Albuquerque Central Training Academy, and working familiarity with the contents and application of DOE Order 5480.16A.