

**MANUAL**

**DOE M 470.4-8**

Approved: 7-15-09

# **FEDERAL PROTECTIVE FORCE**

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**DEPARTMENT OF ENERGY**  
**Office of Health, Safety and Security**

## **FEDERAL PROTECTIVE FORCE**

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1. PURPOSE. This Manual establishes requirements for the management and operation of the Department of Energy (DOE) Federal protective forces (FPFs).
2. CANCELLATIONS. DOE M 470.4-3, Chg 1, *Protective Force*, dated 3-7-06 is canceled. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual obligation to comply with the manual.
3. APPLICABILITY.
  - a. DOE Elements. The requirements in this Manual apply to DOE elements that have oversight of FPF and FPF firearms programs for the purposes of protecting safeguards and security (S&S) interests, including those created after the Manual is issued. (Go to <http://energy.gov/organization/orgchart.htm> for the current listing of Departmental elements.)

The Administrator of the National Nuclear Security Administration (NNSA) will ensure that NNSA employees comply with their respective responsibilities under this Manual. Nothing in this Manual will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration-specific policies, unless disapproved by the Secretary.

- b. Protective Force Contractors. None.
- c. Exclusions.
  - (1) In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 U.S.C. 2406 and 2511, and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Manual for activities under the Director's cognizance, as deemed appropriate.
  - (2) Requirements in this Manual that overlap or duplicate requirements of the Nuclear Regulatory Commission (NRC) related to radiation protection, nuclear safety (including quality assurance), and S&S of nuclear material do not apply to the design, construction, operation, and decommissioning of the Office of Civilian Radioactive Waste Management facilities. This exemption does not apply to requirements for which the NRC defers to DOE or does not exercise regulatory jurisdiction.
  - (3) The Department intends that the highest level of protection be given to security interests and activities whose loss, theft, compromise, and/or unauthorized use would seriously affect national security, the environment, Departmental programs, and/or the health and safety of the

public or employees. Therefore, field elements such as the Power Marketing Administrations, which do not possess arming and arrest authority under the aegis of either section 161 k of the Atomic Energy Act or section 661 of the DOE Organization Act and which perceive a need to arm their security officers, may do so provided they comply with the requirements of the jurisdiction in which their officers will operate. Until such time as these field elements are accorded DOE arming and arrest authority, and consistent with statutory authorities and local determinations based on risk and/or vulnerability assessments, selected provisions of this Manual may be used as a guide when approved by the head of the field element or his/her designee.

#### 4. REQUIREMENTS.

- a. Establish and maintain standardized requirements for management direction, training program administration, maintenance of qualifications, and execution of operations for the various FPF activities within DOE.
- b. Effect the policy in DOE P 470.1, Integrated Safeguards and Security Management (ISSM) Policy, dated 5-8-01, by integrating FPF into DOE operations as determined by DOE line management and according to sound risk management practices.
  - (1) DOE P 470.1 is the Department's philosophical approach to management of the S&S Program. A principal objective of the ISSM Program is to integrate S&S into management and work practices at all levels, based on program line management's risk management-based decisions, so that missions may be accomplished without security events such as interruption, disruption, or compromise.
  - (2) This approach includes individual responsibility and implementation of the security requirements found in this Manual.
- c. Establish and maintain minimum requirements for the arming of DOE FPF personnel and firearms operations.

#### 5. RESPONSIBILITIES.

- a. DOE Line Management.
  - (1) Provide guidance and oversight to site and facility management and operations offices that oversee DOE FPF and FPF firearms programs for the purposes of protecting S&S interests.
  - (2) Implement the requirements in paragraphs 4a through 4c.

- b. Heads of Field Elements and Headquarters Departmental Elements. Administer DOE FPF and FPF firearms programs for the purposes of protecting S&S interests.
  - c. Contracting Officers. Assist originators of procurement requests who want to incorporate the requirements of this Manual in new non-site/facility management contracts, as applicable.
- 6. DEFINITIONS. Terms commonly used in the program are defined in the S&S Glossary located in DOE M 470.4-7, *Safeguards and Security Program References*, dated 8-26-05.
- 7. REFERENCES.
  - a. References commonly used in the S&S Program are located in DOE M 470.4-7, *Safeguards and Security Program References*, dated 8-26-05.
  - b. Title XXXII of P.L. 106-65, National Nuclear Security Administration Act, as amended, which established a separately organized agency within the Department of Energy.
- 8. SUMMARY. This Manual comprises seven chapters that provide direction for administering the DOE FPF and FPF firearms programs for the purposes of protecting S&S interests. The Manual also contains two Appendices and three Annexes. The Annexes provide organization/category-specific alternatives for implementation of baseline requirements that must not be interpreted as reducing or eliminating requirements contained in the base manual.
  - a. Appendix A provides guidelines for legal authority, fresh pursuit, and rules of engagement.
  - b. Appendix B discusses performance testing used in the program.
  - c. Annex 1 contains requirements specific to the Department's Federal Agent program.
  - d. Annex 2 contains requirements specific to the Department's Federal Officer program.
  - e. Annex 3 contains requirements specific to the Department's Special Agent program.
- 9. DEVIATIONS. Deviations from federal rules and regulations, including the Code of Federal Regulations and national-level policies, are subject to the deviation process of the governing document rather than the DOE deviation process. There is no authority for deviation from laws applicable to this directive. Requests for deviations from requirements specific to DOE must be made in accordance with the provisions of DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*, dated 8-26-05.

10. IMPLEMENTATION. Requirements that cannot be implemented within 6 months of the effective date of this Manual or within existing resources must be documented by the DOE cognizant security authority and submitted to the relevant program officers; the Under Secretary; the Under Secretary for Science or the Under Secretary for Nuclear Security, NNSA; and the Office of Security Policy, Office of Health, Safety and Security. The documentation must include timelines and resources needed to fully implement this Manual. The documentation must also include a description of the vulnerabilities and impacts created by delayed implementation of the requirements.
11. CONTACT. Questions concerning this Manual should be addressed to the Office of Security Policy, Office of Health, Safety and Security at 301-903-0292.

BY ORDER OF THE SECRETARY OF ENERGY:



DANIEL B. PONEMAN  
Deputy Secretary

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## CHAPTER I. MANAGEMENT

1. MISSION AND RESOURCE PLANNING. In accordance with Integrated Safeguards and Security Management practices, and in support of the Department of Energy (DOE) Safeguards and Security (S&S) Protection Program Management requirements, Federal protective force (FPF) programs, functions, or activities must incorporate basic planning principles to ensure that they accomplish their intended purpose.
  - a. Mission. FPF programs/elements, regardless of size, must clearly identify the mission to be fulfilled by the organization. Broad mission statements may be supported by establishing more specific goals and objectives for the FPF element to achieve.
  - b. Resource Requirements. FPF programs/elements must document resources requirements necessary to successfully accomplish mission objectives. Sources of these requirements may include Federal laws and regulations; DOE directives; site security plans (SSPs); protection strategies; operational needs; production, inspection or transportation schedules; and investigative workload projections. Resource requirements may be identified as, but not limited to, the following:
    - (1) the number of projected Federal Agent man-hours to support scheduled movements of material between sites,
    - (2) the number of Federal Officer man-hours to support scheduled activities,
    - (3) the number of projected Special Agent man-hours to support scheduled executive protection details, and
    - (4) equipment items necessary to support such operations.
  - c. Authorizations. Authorizations may be identified in terms of full-time equivalents (FTEs), the total number of personnel needed, total number of direct man-hours, and/or quantities of equipment items needed to perform work. Authorizations necessary to fulfill resource requirements are determined by factoring in various considerations such as, but not limited to:
    - (1) established shift schedules,
    - (2) training requirements,
    - (3) relief factors,
    - (4) travel distances,
    - (5) operational effectiveness,
    - (6) unit readiness,

- (7) performance testing, and
  - (8) equipment maintenance.
- d. Actuals. FPF programs/elements must maintain a process that monitors and periodically reports actual personnel and sensitive equipment items (e.g., military/law enforcement equipment restricted from public sale) currently on hand. Actuals differ from authorizations in that actual numbers of personnel on hand will generally fall short of authorizations; however, on occasion situations may require that actuals exceed authorizations. Approval to temporarily exceed personnel authorizations must be obtained from DOE line management.
2. OPERATIONAL GUIDANCE AND WRITTEN DIRECTIVES SYSTEM. To ensure that FPF missions/functions are accomplished as intended, sufficient operational guidance must be provided through the establishment and maintenance of a formalized written directives system.
- a. Development. Written plans, orders and procedures covering FPF routine, emergency, and administrative duties; tactical deployment; and where required, other operational requirements must be developed and must ensure FPF assignments are oriented to allow maximum concentration of resources in a tactical posture. Plans, orders, and procedures must be clear, concise, and current. These documents may include, but are not limited to, orders, standard operating procedures, plans, and/or desktop procedures.
  - b. Plans. Required protection strategies; tactical response options, actions, and times; and other applicable response requirements must be addressed in response plans. FPF plans must provide specific response direction and required actions to FPF personnel for applicable containment, denial, recapture, recovery and pursuit strategies and to support interruption/neutralization operations before completion of adversary task times.
  - c. Procedures. Administrative, training, and other non-response-related operational requirements, which include specific rules of engagement (see Appendix A), must be addressed in procedures.
  - d. Non-DOE Law Enforcement Agency (LEA) Support. If local, State, or Federal LEAs are used to protect security interests on a regular or recurring basis, cooperative agreements outlining the specific support to be provided must be established. These agreements must be documented in appropriate security plans.
  - e. Configuration Control. The written directives system must incorporate a controlled and documented process that ensures that changes to operational guidance are adequately reviewed and approved by authorized FPF management representatives.

- f. Availability. Written directives must be available to FPF personnel for reference and guidance in the performance of routine and emergency duties. When plans and procedures contain classified matter, reasonable measures must be implemented to afford routine access to this guidance by appropriately cleared FPF personnel with a valid need-to-know.
- g. Review. Written operational and emergency response guidance, procedures, and cooperative agreements must be reviewed for currency when response requirements, duties, or administrative requirements are changed or at least annually (at least every 12 months). The annual or special review for adequacy and currency must be documented to show the name of the reviewer and the date the review was completed. Any revisions or changes made to written guidance as a result of the review must be highlighted or marked in such a manner to ensure FPF personnel are aware of those revisions and changes.

3. DOE PERSONNEL MANAGEMENT.

- a. FPF Positions. FPF positions are those used in either an armed or unarmed status for the purpose of protecting and/or investigating offenses against DOE assets including facilities, personnel, sensitive materials, and other property. Detailed requirements for the FPF positions identified below are contained in this Manual and applicable guidelines.
  - (1) Federal Agents (FAs) are Federal employees of the DOE Office of Secure Transportation (OST) who require firearms/arrest authority pursuant to section 161 k of the Atomic Energy Act [42 U.S.C. 2201(k)] as an official function or duty.
  - (2) Federal Officers (FOs) (unarmed) are Federal employees who conduct interviews, inquiries, inspections, surveys, investigations, and liaison activities with law enforcement officials. These FOs are not authorized to carry firearms and are not empowered with any arrest authority.
  - (3) FOs (armed) are Federal employees who require firearms/arrest authority pursuant to section 161 k of the Atomic Energy Act [42 U.S.C. 2201(k)] or section 661 of the DOE Organization Act (42 U.S.C. 7270a) as an official function or duty.
  - (4) Special Agents (SAs) are Federal employees of the DOE Special Operations Program who require firearms/arrest authority pursuant to section 161 k of the Atomic Energy Act [42 U.S.C. 2201(k)] as an official function or duty while participating in special operations such as executive protection, making an arrest, or conducting an investigation.
- b. Pre-Employment Screening. Screening (e.g., employment references, criminal background, credit, medical, and physical fitness) must be conducted to select individuals with potential to qualify for FPF positions.

- c. Job Analyses (JAs). JAs, i.e., a listing of common tasks required for FPF assignments, must be prepared and reviewed annually (at least every 12 months) for positions directly relating to protective operations. JAs must be used to prepare job descriptions and serve as basic input documents to local training requirements. JAs must address site/organization-specific requirements for those activities that have not been standardized and issued by the DOE National Training Center (NTC).
  - d. Human Reliability Program. DOE line management must identify positions that meet requirements of the Human Reliability Program (HRP) [see Title 10 Code of Federal Regulations (C.F.R.) Part 712, *Human Reliability Program*].
  - e. Training. See DOE O 360.1B, *Federal Employee Training*; DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*, and this Manual.
  - f. Records. See Schedule 18 of the General Records Schedule (GRS) or the DOE Records Schedules.
  - g. Reporting Requirement. Supervisors in the FPF command structure and the manager in charge of onsite FPF operations must ensure that any suspected criminal violations are reported in accordance with DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*, and, where appropriate, DOE O 231.1A Chg 1, *Environment, Safety and Health Reporting*. All FPF employees must comply with DOE O 221.1A, *Reporting Fraud, Waste and Abuse to the Office of Inspector General* and DOE 221.2A, *Cooperation with the Office of Inspector General*.
  - h. Implementation. DOE line management must approve a Career Longevity Plan as outlined in Chapter III based on internal organization (e.g., personnel, human resources, training, and labor relations).
4. QUALIFICATION REQUIREMENTS. FPF personnel must comply with the Departmental medical, physical fitness, and firearms qualifications and training requirements as applicable.
- a. Security Clearance.
    - (1) FPF personnel must possess an access authorization (security clearance) commensurate with the highest level of classified information or matter to which they have, or potentially have, access. Security clearances must be obtained in accordance with DOE M 470.4-5, *Personnel Security*. All FPF personnel with security clearances are subject to the Department's random drug testing requirements.
    - (2) Armed FPF personnel must possess an L or Q security clearance.

- (3) FPF personnel with access to fully automatic firearms, nuclear weapons, nuclear test devices, complete nuclear assemblies or Category I and II quantities of special nuclear material (SNM); must possess Q security clearances.
- b. Medical, Physical Fitness, Firearms, and Training Standards. FOs/FAs/SAs must complete a formal training and qualification program before assignment to duties. The training program must be based on assigned functions and site requirements. Firearms, physical fitness, and medical qualifications must meet DOE and/or Office of Personnel Management (OPM) requirements for the position assignment and organizational requirements as specified in the respective FPF annexes.
  - (1) At a minimum, unless otherwise specified in the respective annexes, all armed FPF personnel must conform to the medical standards for armed protective force personnel as contained in 10 C.F.R. Part 1046, *Physical Protection of Security Interests*.
  - (2) At a minimum, unless otherwise specified in the respective annexes, all armed FPF personnel must conform annually to a physical fitness standard of a 0.5-mile run in 4 minutes and 40 seconds and a 40-yard prone-to-running dash in 8.5 seconds.
- c. Confidentiality of Medical Information. The DOE-designated physician will notify FPF management of medical restrictions. FPF management must approve and implement site/organization-specific plans to ensure confidentiality of FPF medical information. This plan must restrict access to only those with a need to know the information and must identify those individuals by organizational position or responsibility. The plan must adhere to all applicable laws and regulations including, but not limited to, the Health Insurance Portability and Accountability Act, the Family Medical Leave Act, and Americans with Disabilities Act.
- d. Special Skills Qualifications.
  - (1) Site/organization-specific conditions may justify requirements for FPF personnel to possess qualifications for special skills [e.g., security helicopter operations, ascending and descending techniques, mechanical and explosive tactical entry (TE) techniques, chemical biological weapon countermeasures, hostage negotiation, precision rifleman/forward observer team (PRFOT), communications, exercise controllers/evaluators, or alarm station monitoring].
  - (2) Responsible managers must ensure that personnel assigned to these duties are trained, formally evaluated, and certified, if required, by an appropriate accrediting authority before performing those duties.

- (3) Certifications required by specific job functions (e.g., a Federal Aviation Administration license for pilots) must be kept current. The employing organization for each individual must maintain a record of qualification and/or certification.

e. Firearms.

No person will be authorized to carry a firearm as a FPF officer until DOE line management is assured that the individual is qualified in accordance with an approved firearms qualification standard. Approved DOE firearms qualifications courses are those that have gone through the official approval process established by the Office of Security Policy. They are located on the Office of Health, Safety and Security website, [www.hss.energy.gov](http://www.hss.energy.gov). Firearms operations must be in accordance with requirements outlined in this Manual and the approved DOE firearms qualification courses.

f. Suspending/Revoking Authority.

The DOE cognizant security authority may suspend or revoke the FO/FA/SA's credentials and suspend/revoke the use of any/all firearms when any of the below circumstances exist.

- (1) The FO/FA/SA is no longer eligible to carry a firearm due to lapses in firearms training or failure to qualify with the firearm despite attempts at remediation as described in this policy.
- (2) The FO/FA/SA is suffering from a medical, physical, or emotional condition that may impair his/her judgment or ability to properly deploy a firearm.
- (3) The FO/FA/SA has made an unauthorized discharge of his/her issued firearm.
- (4) The FO/FA/SA has demonstrated a lack of sound judgment in handling a firearm in accordance with DOE directives, policies and guidelines.
- (5) The FO/FA/SA's security clearance has been suspended or revoked through appropriate administrative processes.
- (6) The FO/FA/SA has been convicted of a misdemeanor charge of domestic violence. The Gun Control Act of 1968 as amended by the Lautenberg Amendment (effective on September 30, 1996), makes it a felony for any person convicted of a misdemeanor crime of domestic violence to possess, ship, transport, or otherwise dispose of firearms or ammunition.
- (7) The FO/FA/SA displays threatening or abusive behavior or makes threats (implied or actual) of personal injury to himself or others.

- (8) The FO/FA/SA misuses, loses, or improperly displays a weapon or displays improper safeguarding or handling of a weapon.

NOTE: Should an FO/FA/SA's DOE credentials be suspended or revoked, they must also surrender issued Special Deputy U.S. Marshal credentials.

g. Qualification Requirements.

Each FO/FA/SA must qualify with each firearm that is reasonably expected to be used during duty assignment on the qualification course indicated in the DOE-approved firearms qualification courses, or as prescribed in respective annexes, and any applicable approved site/organization-specific supplemental qualification course.

- (1) Initial firearms qualifications and semi-annual re-qualifications must be completed in accordance with requirements of this Manual and/or OPM.
- (2) Before any range activity, each person must be given a briefing on the basic principles of firearms safety. However, a firearms safety briefing is not required for each qualification course using the same firearm after the initial safety presentation for that firearm.
- (3) Failure to qualify will result in suspension of the authority to carry firearms and make arrests. Upon failure, an FO/FA/SA will enter a standardized, remedial firearms training program approved by the Chief Health, Safety and Security Officer. The remedial firearms training program will include basic firearm manipulation skills, firearms safety, and necessary individual training to afford a reasonable opportunity to meet the firearms qualification standards.
  - (a) Site/organization-specific procedures must be developed and approved by the cognizant security authority to allow a single additional qualification attempt within 1 year of removal from status if the former FO/FA/SA presents evidence of outside training that indicates enhanced skill level. Upon qualification in this final attempt, reinstatement may be effected where site/organization-specific employment conditions, position availability, and procedures permit. Any subsequent application for rehire will require training as provided to any other initial applicant for an FO/FA/SA position.
  - (b) The total number of initial requalification and remedial requalification attempts may not exceed four.
- (4) FPF organizations that do not fire individually issued firearms during qualification must have written procedures authorizing the specific model



and associated features of all firearms to be used. These procedures must be approved by DOE line management.

- (5) The requalification may occur at any time during the requalification month. If an FO/FA/SA does not requalify before or during the requalification month, the individual's authority to carry firearms and make arrests must be suspended until such time as requalification is completed.
- (6) An FO/FA/SA may be required to demonstrate the ability to meet qualification standards during an inspection, survey, review, audit, or other situation directed by DOE line management. Failure to meet the performance standard will be treated as if the individual failed the first attempt during semi-annual qualification. Procedures in paragraph 4g(3) above must be followed in the event of a failure.

h. Authority to Carry Firearms.

- (1) The employing organization must maintain written documentation signed by the employee indicating each individual who is authorized to carry firearms and make arrests without warrant while performing official duties. If this documentation does not exist for employees currently armed, it must be completed within six months of the issuance of this Manual. This documentation must include:
  - (a) the basis of arming authority;
  - (b) an outline of arrest and use of force authority and limitations that has been approved by the Chief Health, Safety and Security Officer or the Assistant Deputy Administrator for Secure Transportation, as applicable, with concurrence by the DOE Office of General Counsel or the NNSA Office of General Counsel, as appropriate;
  - (c) an outline of armed duties that specifies the procedures for the carrying of weapons (to include off duty limitations and safe storage requirements) both on and off Federal property; and
  - (d) weapons qualification requirements, to include frequency and scoring.
- (2) Firearms instructors who are not currently assigned FPF duties may carry firearms when performing their instructional duties if authorized by DOE line management. These instructors must pass the firearms qualification courses for assigned firearms and for firearms that are the subject of instruction.

5. CREDENTIALS AND SHIELDS. Credentials and shields are issued to qualified DOE Federal employees and FOs/FAs/SAs to identify the bearer as having the authority to perform assigned official duties only. The design of all S&S credentials and shields must be approved by the DOE Chief Health, Safety and Security Officer and, where applicable, DOE line management.
  - a. Types of Credentials and Shields.
    - (1) Federal Officer Credential with Shield (Unarmed). This credential is issued to DOE Federal employees who have been designated as unarmed FOs for identification when conducting interviews, inquiries, inspections, surveys, investigations, and liaison activities with law enforcement officials. These FOs do not require firearms/arrest authority. The shield is a metal, police-type badge that is issued for ready identification when conducting a Federal security function (e.g., conducting an investigation). Each shield must bear a serial number imprinted on its face. The credential must bear the shield number.
    - (2) Federal Officer Credential with Shield (Armed). This credential is issued to DOE Federal employees who require firearms/arrest authority {i.e., pursuant to section 161 k of the Atomic Energy Act [42 U.S.C. 2201 (k)] or section 661 of the DOE Organization Act (42 U.S.C. 7270a)} as an official function or duty. The shield is a metal, police-type badge that is issued for ready identification when conducting a Federal law enforcement function (e.g., making an arrest or conducting an investigation). Each shield must bear a serial number imprinted on its face. The credential must bear the shield number.
    - (3) Special Agent Credential with Shield (Armed). This credential is issued to DOE Federal employees who require firearms/arrest authority {i.e., pursuant to section 161 k of the Atomic Energy Act [42 U.S.C. 2201 (k)]} as an official function or duty. The shield is a metal, police-type badge that is issued for ready identification when conducting a Federal law enforcement function (e.g., participating in special operations such as executive protection, making an arrest, or conducting an investigation). Each shield must be imprinted with a shield number. The credential must bear the shield number.
    - (4) Federal Agent Credential with Shield (Armed). This credential is issued to Office of Secure Transportation (OST) nuclear material courier FAs who require firearms/arrest authority {i.e., pursuant to section 161 k of the Atomic Energy Act [42 U.S.C. 2201 (k)]} as an official function or duty. The shield is a metal, police-type badge that is issued for ready identification when operating in an official capacity (i.e., OST FA function). Each shield must bear a serial number imprinted on its face. The credential must bear the shield number. The OST shield design must be

approved by the Assistant Deputy Administrator for Secure Transportation, and the Chief Health, Safety and Security Officer.

- b. Issuance of Credentials and Shields. Fulfillment of training and qualification requirements for the position or duties must be verified before issuing a credential or credential with shield to an individual. Credentials must contain an expiration date not to exceed three years from the date of issue. Existing credentials without an expiration date or with an expiration date beyond three years from the date of issuance of this manual must be re-issued within six months (if the individual still requires them) with an appropriate expiration date. Expired credentials must be returned to the cognizant security authority for disposition. Credentials and shields for individuals who fail to maintain relevant training and qualification requirements must be revoked and retrieved.
- c. Credential and Shield Issuing Authority.
  - (1) The issuing authorities for the FO Credential with Shield (Unarmed), the FO Credential with Shield (Armed), and the SA are the Director, Office of Security Operations or the DOE cognizant security authority for their respective organizations. The issuing authority for NNSA FO credentials and shields is the Associate Administrator for Defense Nuclear Security.
  - (2) The issuing authority for the OST Credential with Shield (Armed) is the Assistant Deputy Administrator for Secure Transportation.
- d. Reissuing Credentials. If an employee experiences a significant change in facial appearance that could hinder positive identification or undergoes a name change, a credential with a new photograph must be requested by the individual, the individual's supervisor, a security official, or FPF management personnel.
- e. Blank Credential Stocks and Unissued Shields.
  - (1) The Director, Office of Security Operations, must procure and maintain blank Federal identification credentials, basic security credentials, FO credentials, SA credentials, and unissued FO/SA shields. Requests for these blank credential stocks and unissued FO/SA shields must be submitted, in writing, to the Director, Office of Security Operations.
  - (2) The Assistant Deputy Administrator for Secure Transportation must procure and maintain an inventory of OST blank FA credentials and unissued FA shields.
- f. Termination of Use. Credentials and shields are the property of the Government and must be returned to the issuing office when an employee transfers, terminates, or otherwise no longer requires the credential or shield.

- g. Recovery of Security Credentials and Shields. Credentials and shields must be recovered at the final security checkpoint or earlier, and the individuals must be escorted from the site if circumstances or conditions indicate such action is needed. Recovered credentials must be destroyed unless being held as evidence in an ongoing security investigation. Recovered shields may be retained and reissued.
  - h. Accountability of Credentials and Shields.
    - (1) Records. Issuing offices must maintain records showing the disposition of credentials and shields. Such records must include the description and serial number of the item issued, date of issuance, name, organization, and date of destruction. (Schedule 18 of the GRS applies.)
    - (2) Lost Credentials and Shields. A record of missing credentials and shields must be maintained. Personnel and/or systems controlling access to security areas must be provided current information regarding missing credentials or shields in order to prevent their misuse. The loss or recovery of credentials or shields must be reported immediately to the issuing office, Federal and local law enforcement agency authorities, and the Chief Health, Safety and Security Officer.
  - i. Storage of Blank Security Credentials and Unissued Shields. Blank credentials and unissued shields must be stored in a manner that ensures their protection against loss, theft, or unauthorized use.
- 6. ALLOCATION OF PERSONNEL RESOURCES. Allocation of resources is discussed in the individual Annexes of this Manual.
- 7. SAFETY. FPF activities may be conducted under the aegis of other Federal agencies, e.g., at the Federal Law Enforcement Training Center or U.S. Department of Defense facilities. Adherence to the controlling agency's safety requirements is authorized.

## **CHAPTER II. TRAINING**

### **1. TRAINING AND QUALIFICATION.**

- a. The Department of Energy (DOE) cognizant security authority must establish a formal training and qualification program to meet requirements for Federal Officer (FO), Federal Agent (FA), and Special Agent (SA) as applicable to the site/facility/organization. Qualification requirements must be based on assigned functions, DOE and/or Office of Personnel Management requirements for the position assignment, and this Manual.
- b. The requirements are designed to ensure that FOs/FAs/SAs are competent to perform the tasks within their assigned responsibilities. The qualification requirements will be supported by a formal training program that develops and maintains the knowledge, skills, and abilities (KSAs) required to perform assigned tasks. The qualification and training programs will be based on criteria established and approved by the DOE National Training Center (NTC), to include Training Approval Program (TAP) certification, as outlined in DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*, and this *Manual*.
- c. The DOE cognizant security authority must establish additional FO/FA/SA training criteria needed by site/organization-specific requirements. DOE personnel responsible for training FO/FA/SA personnel must prepare and annually (at least every 12 months) review a Job Analysis (JA) detailing the required actions or functions for each specific job assignment.
- d. The JA must be used as a basic input document for local training requirements approved by the DOE cognizant security authority and reviewed and updated annually (at least every 12 months). Training must be provided to ensure performance of assigned functions and tasks under both normal and emergency conditions.
- e. Any individual previously qualified as a Federal protective force (FPF) officer who has been deployed to military active duty for up to 36 months may return to active status after completing prescribed refresher training for the assigned position.

### **2. PROGRAM REQUIREMENTS. The formal training and qualification program must:**

- a. comply with the requirements of DOE M 470.4-1 Chg 1, *Safeguards and Security Program Planning and Management*, Part 2, Section J;
- b. be based on a valid and complete set of JAs with identified levels of skills and knowledge needed to perform the tasks;

- c. aim at achieving a well-defined level of competency; specifically, mission accomplishment and survivability;
  - d. employ standardized lesson plans with clear performance objectives as a basis for instruction. Lesson plans in regular use must be reviewed for currency any time training requirements are changed and must be reviewed and/or revised for currency before training is conducted;
  - e. include frequent, performance-based, and realistic simulation testing to determine individual and small unit tactical skills and leadership and to certify job readiness;
  - f. be documented so individual and overall training status is easily accessible (individual training records must be retained until 1 year after an employee is terminated as a member of the FPF unless other requirements specify a longer retention period); and
  - g. consider the learning characteristics and entry-level competencies of trainees.
3. OPPOSITION FORCE TRAINING. FPF personnel participating in performance tests as *Graded Security Protection (GSP) Policy* comparable adversary combatants will be trained in tactics and techniques to challenge the ability of the FPF to defeat an armed adversary. Use of the DOE NTC Opposition Force Training course is encouraged.
4. WEAPONS QUALIFICATIONS.
- a. Each FO/FA/SA must qualify semi-annually (at least every 6 months) with all assigned weapons and special skills weapons (as designated by job assignments) using the DOE daylight and reduced lighting firearms qualification and other applicable courses in the DOE-approved firearms qualification courses or in respective annexes.
  - b. Where DOE firearms qualification courses do not exist for a weapons system (e.g., belt-fed machine gun, grenade launcher, aerial firing platform, etc.) required to address site/organization-specific concerns, both daylight and reduced lighting site/organization-specific supplemental qualification courses must be developed. These courses must include minimum scoring requirements constrained by time limits. With approval by the local DOE cognizant security authority, these scoring requirements will be submitted to the Chief Health, Safety and Security Officer for review and approval. National Nuclear Security Administration sites will request approval of their site/organization-specific courses of fire from the Associate Administrator for Defense Nuclear Security, who will coordinate with the Chief Health, Safety and Security Officer prior to approval.
5. KNOWLEDGE, SKILLS, AND ABILITIES (KSAs). KSAs necessary to competently perform the tasks associated with assigned FPF duties must be identified based on the

analysis applicable for each job assignment. FPF personnel must demonstrate familiarity with, and knowledge of, the responsibilities identified in the JA for their assignment and must demonstrate proficiency in the skills and abilities necessary to perform required assigned job tasks. All FPF personnel, as identified in the JA, must demonstrate the following:

- a. knowledge of and ability to perform routine and emergency duty requirements safely;
- b. operation of assigned equipment and vehicles;
- c. operation of communication equipment employed including proficiency in accepted communication terminology, acronyms, and phonetics, and the methods for verifying operator identity of incoming signals and signaling duress;
- d. knowledge of, and the ability to apply, DOE directives, organization policies, plans, standard operating procedures, specific operational instructions, and orders and procedures governing assigned routine and emergency duties;
- e. knowledge of Federal- and State-granted authority applicable to assigned activities and responsibilities between the FPF and other law enforcement authorities; and
- f. knowledge of security practices and procedures including the following, as applicable:
  - (1) access control procedures and operations including DOE security clearance and security badging requirements;
  - (2) DOE security area designations and related prohibited article restrictions;
  - (3) implementation of plans, orders, and procedures to protect DOE interests during disruptive events;
  - (4) recognition of safeguards and security (S&S) interests they are responsible for protecting;
  - (5) responsibility and processes to report incidents, violations and anomalous conditions;
  - (6) awareness of the types of, and threats posed by, weapons of mass destruction and vehicle/personnel-borne improvised explosive devices including those adversary types, characteristics and weapons as defined in the GSP; and
  - (7) use of assigned personal protective equipment.

6. SPECIAL SKILLS.

- a. Personnel assigned specialized responsibilities outside the scope of normal duties must successfully complete the appropriate basic, refresher, and periodic training.
- b. This training must be designed to enable the individual to achieve and maintain the level of skill and knowledge needed to competently perform the tasks associated with the specialized job responsibilities and to maintain mandated certification, if applicable. Such personnel include, but are not limited to, instructors, armorers, crisis negotiators, investigators, exercise controllers/evaluators, and law enforcement specialists.
  - (1) The scope of such duties and the type and intensity of such specialized training must be based on site/organization-specific JAs and needs and must be approved by the DOE cognizant security authority.
  - (2) When certification is required for special skill positions and the certification requirements have not been established by the NTC, then site/organization-specific certification procedures must be approved by the DOE cognizant security authority.
- c. Each crisis negotiator must have successfully completed a DOE-approved crisis negotiation training course.

7. SUPERVISORS. FPF personnel who are assigned supervisory responsibilities must successfully complete the appropriate basic and annual training necessary to competently perform their supervisory responsibilities. The required tasks and expected levels of competency must be based on a site/organization-specific JA.

8. INSTRUCTORS. All FPF personnel assigned instructor duties must be currently certified to the level of training delivered.

- a. Certification Requirements. At a minimum, the following instructor certification requirements must be met.
  - (1) Each instructor assigned to deliver training must successfully complete the DOE Basic Instructor Training (BIT) course, as approved by the Office of Health, Safety and Security, or an equivalent recognized basic instructor course.
  - (2) Each instructor assigned to deliver firearms training must successfully complete the DOE Firearms Instructor Certification (FIC) course, as approved by the Office of Health, Safety and Security, for the level of firearms training delivered.
  - (3) Each instructor assigned to deliver intermediate force training will successfully complete the DOE Intermediate Force Instructor Certification (IFIC) course, as approved by the Office of Health, Safety and Security.



- (4) Each instructor assigned to deliver ground control training will successfully complete the DOE Ground Control Instructor Certification (GCIC) course, as approved by the Office of Health, Safety and Security.
    - (5) To maintain certification, instructors must instruct in at least two classes or two course iterations, or a combination of both, per calendar year. Documentation of these activities must be maintained in the individual's training record.
  - b. Recertification. The following minimum FPF instructor recertification requirements must be met.
    - (1) FPF management must ensure that each instructor is evaluated for competency at least once every 36 months.
    - (2) The instructor evaluation must consist of verification of the following.
      - (a) Instructor knowledge of:
        - 1 Office of Health, Safety and Security-approved teaching methods and instructional techniques;
        - 2 applicable assigned subject/topical areas for the level of instruction delivered; and
        - 3 requirements for developing course objectives, lesson plans, training aids, and student evaluations.
    - NOTE: Verification of compliance with the requirements in paragraphs 8a and 8b above must consist of observation of instructor performance during actual curriculum delivery or by performance testing activities.
    - (b) Skill in presenting a complete instructional lesson plan/course.
    - (c) Verification of instructor attendance in at least one relevant professional development course during the 36-month period.
- 9. FIREARMS INSTRUCTORS. Before initial assignment to duty as a firearms instructor, personnel must successfully complete a DOE FIC.
  - a. Prerequisite Training. Before attending the FIC, FPF personnel must successfully:
    - (1) complete a DOE BIT or an equivalent recognized basic instructor course;

- (2) demonstrate proficiency with an 80 percent score in two attempts on the DOE Daylight Handgun and Semi-Automatic Rifle Qualification Courses on the first day of the course; and
    - (3) complete all applicable handgun and rifle Limited Scope Performance Tests (LSPTs) as contained in respective firearms lesson plans with 100 percent accuracy.
  - b. Refresher Training. Each firearms instructor must successfully complete formal annual refresher training to maintain the level of competency required for the successful performance of tasks associated with firearms instructor responsibilities. The type and intensity of training must be based on a JA and be approved by the DOE cognizant security authority.
  - c. Recertification. The following DOE firearms instructor recertification requirements must be met.
    - (1) Pass a comprehensive, knowledge-based, site/organization-specific evaluation on live fire range operations every 12 months.
    - (2) Complete LSPTs every 12 months with a minimum score of 100 percent for each firearm system instructed.
    - (3) Conduct at least one site/organization-specific safety briefing every 12 months.
    - (4) Qualify every 12 months with a minimum score of 80 percent for each firearms system instructed and be assigned to and conduct the duties of a lead instructor, line instructor, or range safety officer twice annually (at least twice every 12 months).
- 10. INTERMEDIATE FORCE AND GROUND CONTROL INSTRUCTORS. Before initial assignment to duty as intermediate force instructors and ground control instructors, personnel must successfully complete the DOE Basic IFIC course and/or GCIC course.
  - a. Prerequisites. Before attending the IFIC and GCIC courses, FPF personnel must successfully:
    - (1) complete the DOE BIT or equivalent recognized basic instructor course and
    - (2) meet medical/fitness requirements.
  - b. Refresher Training. Each intermediate force and ground control instructor must successfully complete formal annual refresher training to maintain the minimum level of competency required for the successful performance of tasks associated with intermediate force and ground control instructor responsibilities. The type

and intensity of training must be based on a site/organization-specific JA and approved by the DOE cognizant security authority.

- c. Recertification. The following DOE intermediate force instructor recertification requirements must be met.
  - (1) Pass a comprehensive knowledge-based, site/organization-specific evaluation on the intermediate force operations every 24 months.
  - (2) Complete LSPTs every 12 months with a minimum score of 100 percent for each intermediate force technique instructed.
  - (3) Conduct at least one site/organization-specific safety briefing every 12 months.
  - (4) Be assigned to and conduct the duties of either a lead instructor or an assistant instructor every 12 months.
- 11. ARMORERS. All FPF organizations must have (onsite, under contract offsite, or in association with another DOE element) an armorer with the knowledge, capability, and responsibility for inspecting, maintaining, and repairing all firearms available for use. The armorer and all other personnel are prohibited from modifying the basic design of a firearm or any of the firearm's operating or safety components without specific written approval from the Chief Health, Safety and Security Officer or from the Associate Administrator for Defense Nuclear Security in coordination with the Chief Health, Safety and Security Officer.
  - a. Certification. Before initial assignment to duty as a DOE armorer the following must be accomplished.
    - (1) The DOE armorer must successfully complete the DOE Armorer Certification course as approved by the Office of Health, Safety and Security.
    - (2) The DOE armorer should successfully complete a manufacturer's armorer course for the specific weapons systems employed for site use, where available.
    - (3) The DOE armorer must successfully complete a manufacturer's or military armorer course for the specific weapons system(s) employed for site use when such courses are not delivered by the DOE NTC.
    - (4) In addition, armorers must demonstrate proficiency in:
      - (a) conducting firearms safety inspections,
      - (b) performing minor repairs of basic firearms,

- (c) assembling/disassembling the firearms used at the various sites,
  - (d) updating firearms maintenance records,
  - (e) rendering firearms safe, including confiscated firearms,
  - (f) knowing the minimum and maximum tolerances associated with safe operation of all firearms in inventory and available for use at each respective site, and
  - (g) identifying unapproved modifications to firearms.
- b. Recertification. The following DOE armorer recertification requirements must be met.
- (1) The armorer must be evaluated by the NTC for competency and recertification at least once every 3 years. NOTE: Verification of compliance with this requirement must consist of observation of armorer performance during actual duties and/or by performance testing activities, and inspection of required armory firearms records and other applicable documentation.
  - (2) The evaluation must consist of verification of armorer knowledge of all firearms in inventory and available for use on the site, in the following areas:
    - (a) conducting firearms inspections,
    - (b) performing required firearms repairs,
    - (c) using written procedures and technical specifications,
    - (d) updating of firearms maintenance records,
    - (e) maintaining firearms in a serviceably clean and good condition, free from unapproved modifications,
    - (f) using proper tools necessary to perform required maintenance, repairs, and inspection duties,
    - (g) using a proper tag-out system for firearms in need of repair, and proper segregation of tagged-out firearms,
    - (h) adhering to separate storage requirements for live firearms and engagement simulation systems firearms, and
    - (i) having armorer currency in factory requirements for the specific weapons systems available for use onsite.

- c. Refresher Training. Each armorer must successfully complete formal refresher training, where applicable, to maintain the minimum level of competency required for the successful performance of tasks associated with site/organization-specific armorer responsibilities. The type and intensity of training must be based on emerging and changing maintenance and repair technologies associated with site/organization-specific employed firearms and developed in conjunction with firearms factory guidelines. Refresher training may be conducted during the DOE NTC armorer recertification and/or factory armorer recertification process.
12. TRAINING EXERCISES. Exercises and performance tests of various types must be included in the training process for the purposes of achieving and maintaining skills and assessing individual and team competency levels. The types and frequency of training exercises must be based on the training needs analysis and approved by the DOE cognizant security authority. The following elements must be included in the training exercise program.
- a. The DOE cognizant security authority must request the Federal Bureau of Investigation (FBI) and other Federal, State, and local law enforcement agencies that would assist the FPF during a security incident to participate in training exercises at least every 12 months.
  - b. Sites/organizations possessing or transporting Category I special nuclear material (SNM), Category II SNM with credible roll-up to Category I, and radiological, chemical, or biological targets must plan and conduct a force-on-force (FoF) training exercise involving a weapons of mass destruction scenario at least every 24 months. Table-top exercises may be alternated with FoF activities. Where possible, this exercise should involve joint interagency national-level participation (e.g., the FBI, Federal Emergency Management Agency, or State emergency management agencies, as applicable).
  - c. Reports of each training exercise, including all FoF exercises, summarizing results and problems areas must be prepared for management review and to aid in planning FPF activities, developing corrective actions, and analyzing training needs. Participation in FoF exercises must be noted in individual training records. Reports must be available for review by oversight organizations.
13. NON-DOE TRAINING COURSES. Attendance by FPF personnel at non-DOE Government or private training courses must be approved by the DOE cognizant security authority or designee. Such courses must have clearly defined learning objectives and contribute to the job-related KSAs of the FO/FA/SA assigned to attend. Records of training provided at other Government or private facilities must be obtained and maintained.

### CHAPTER III. ADMINISTRATION

1. GENERAL FEDERAL PROTECTIVE FORCE (FPF) POSITIONS. FPF positions include both armed and unarmed positions for the purpose of protecting Department of Energy (DOE) assets including facilities, personnel, sensitive materials, and other property against threats identified in the DOE O 470.3B, *Graded Security Protection (GSP) Policy*.
  - a. Federal Agents (FAs). Armed DOE FPF personnel designated as FAs under the authority of the Assistant Deputy Administrator for Secure Transportation must provide for the safe, secure, offsite domestic transportation of the following:
    - (1) DOE-owned or DOE-controlled nuclear explosives and nuclear devices;
    - (2) category II or greater quantities of special nuclear material (SNM), excluding naval reactor core shipments;
    - (3) limited-life components of nuclear weapons; and
    - (4) other materials approved by the Assistant Deputy Administrator for Secure Transportation.
  - b. Federal Officers (FOs). DOE Federal employees designated as FOs by the Chief Health, Safety and Security Officer or the DOE cognizant security authority may or may not possess firearms/arrest authority pursuant to section 161 k of the Atomic Energy Act or section 661 of the DOE Organization Act and must, when directed:
    - (1) conduct investigations;
    - (2) conduct liaison activities with law enforcement officials; and
    - (3) perform inquiries into local and national security issues.
  - c. Special Agents (SAs). Armed DOE Federal employees designated as SAs by the Chief Health, Safety and Security Officer possess firearms/arrest authority pursuant to section 161 k of the Atomic Energy Act, may be deputized by the U.S. Marshals Service, and must, when directed:
    - (1) participate in special operations such as executive protection;
    - (2) conduct investigations;
    - (3) conduct liaison activities with law enforcement officials; and
    - (4) perform inquiries into local and national security issues.

2. CAREER LONGEVITY PLAN. The career longevity plan is focused on supporting the longevity of FPF employees who must maintain medical and physical fitness standards. The plan is designed to provide employment options for long-term FPF members.
3. EQUIPMENT.
  - a. In accordance with the requirements identified in the approved Job Analysis (JA), FPFs must be equipped and provided with the necessary resources to effectively, efficiently, and safely perform both routine and emergency duties in daylight or under reduced visibility conditions.
  - b. Equipment, specifically weapons and communications systems, must be tailored to effectively combat and defeat adversaries identified in the GSP and site/organization-specific threat guidance or as specified in the site security plan (SSP) under all environmental and tactical conditions. Equipment must be available in sufficient quantities and properly maintained to support the FPF mission. Armed FPFs must be equipped with and trained in the use of an intermediate force weapon.
4. FACILITIES.
  - a. Suitable facilities to support applicable FPF activities must be provided and maintained based on mission-specific needs.
  - b. Training facilities must support realistic, high-intensity FPF training and qualification programs. This includes facilities for (where applicable) weapons and physical fitness training, qualifications, and maintenance, special skills, and mission-specific training and qualifications.
  - c. Local, State, and Federal law enforcement agencies and Department of Defense/National Guard training facilities are acceptable alternatives to DOE-owned facilities as long as required DOE certifications and safety guidelines are maintained.
  - d. A memorandum of understanding delineating such use must be completed by the DOE cognizant security authority and approved by DOE line management. [See DOE O 440.1B, *Worker Protection Program for DOE (Including the National Nuclear Security Administration) Federal Employees.*]
5. SUPERVISORS. Supervisors must demonstrate familiarity with, and knowledge of, the responsibilities identified in the site/organization-specific JA and must show proficiency in the skills and abilities necessary to perform required assigned job tasks. These include, but are not limited to:
  - a. knowledge of the duties and qualifications of supervised personnel;

- b. familiarity with the basic operating functions of the facilities and the nature and location of safeguards and security (S&S) interests for which the supervisor has protection responsibilities;
  - c. ability to ensure that subordinates and their equipment are physically capable and ready for duty and to conduct post inspections to ensure post operations are in accordance with Departmental directives, site requirements, and procedures;
  - d. knowledge of the duty logs and reports that must be completed, distributed, and acted on;
  - e. ability to exercise tactical unit leadership through the direction and deployment of protective force responders in the event of an armed attack; and
  - f. ability to evaluate FPF tactical performance as individuals and units, identify performance strengths and weaknesses, and ensure application of appropriate corrective action.
6. INSTRUCTORS. Each instructor must possess the skills and knowledge necessary to instruct FPF personnel in the requirements for protecting S&S interests. Persons assigned as full-time staff FPF instructors must be qualified through prior experience or specialized courses for the material they instruct and receive organizational on-the-job familiarization with the duties performed by those they will instruct. All such training/familiarization should be completed within one year of assignment to instructor duties. Instructors must demonstrate knowledge of the responsibilities identified in the JA and proficiency in the skills and abilities necessary to instruct assigned subjects. These include, but are not limited to:
- a. knowledge of teaching methods and instructional techniques;
  - b. knowledge of assigned subject/topical areas for the level of instruction delivered;
  - c. ability to develop course objectives, lesson plans, training aids, and student evaluations; and
  - d. skill in presenting a complete instructional lesson plan/course.



## **CHAPTER IV. FIREARMS TRAINING**

1. **REQUIREMENTS.** Firearms training programs must be based on criteria established by the Department of Energy (DOE) as discussed in the following paragraphs. Such training programs must contain attachments on specific site-developed firing range safety information, including appropriate on- and off-duty safety requirements, and must incorporate sections of the manufacturer's operating manuals that are necessary for the safe operation, inspection, and maintenance of specific firearms.
  - a. During firearms training, all personnel must have access to an instruction manual for each type of firearm with which they may be armed while on duty and must demonstrate both technical and practical knowledge of the contents of the manual governing the safe use of that firearm.
  - b. Training records for personnel authorized to carry firearms must be available for review by appropriate safety and security personnel.
  - c. All firearms training, qualification, practice and test firing activities must be conducted by personnel who are certified in the principles of operation for the specific weapon system on which training is provided. This certification is specific, and personnel must not conduct activities for which they have not been certified.
  - d. Lesson plans for all firearms training must be available for review by appropriate safety and security personnel. Such lesson plans must incorporate safety in addition to other training objectives and task performance standards. The DOE National Training Center must provide training on how to develop the categorical information to be contained in typical lesson plans for training performed at DOE facilities.
    - (1) Lesson plans must include a safety briefing for all participants and authorized observers. The briefing must be conducted by personnel experienced in performing exercises and knowledgeable about the firearms to be used.
    - (2) Lesson plans must be written and include safety requirements for any course of fire.
  - e. Standard Operating Procedures (SOPs).
    - (1) All firearms training must be conducted in accordance with this Manual and local SOPs developed in response to specific site/organizational needs and tactics as designated by the DOE cognizant security authority. SOPs must include detailed procedures emphasizing the safety of participants, observers, and bystanders and the use of personal protective equipment (PPE).

- (2) All SOPs must be reviewed and approved by appropriate safety and Federal protective force (FPF) personnel at least annually (every 12 months) or more frequently if significant revisions are made in the training program. The DOE cognizant security authority and safety personnel review and approve SOPs initially and whenever significant changes are made.
- f. The Four General Firearms Safety Rules.
- (1) All firearms are always loaded.
  - (2) Never point a firearm at anything you are not willing to destroy.
  - (3) Keep your finger off the trigger until your sights are on the target.
  - (4) Be sure of your target.
- g. Specific Range Safety Rules.
- (1) It is mandatory to use approved eye and ear protection and other PPE as required by the range safety officer.
  - (2) Unsafe conditions must be reported immediately to an instructor.
  - (3) A firearm may only be exchanged with another shooter under the direct supervision of an instructor.
  - (4) Firearms must not be left unattended or unsecured.
  - (5) Firearm loading and firing may commence only on command.
  - (6) Shooters are not permitted to talk during a firing activity except in reply to an instructor as a part of the activity or to shout "cease fire" in an unsafe situation.
  - (7) Until the firing line has been declared safe by the firearms instructor, shooters must not move past or bend over on the line.
  - (8) All shooters must be trained on what constitutes an unsafe condition and to shout "cease fire" when such a condition is observed.
  - (9) Smoking, eating, or drinking must be prohibited while shooting.
  - (10) Alcoholic beverages and drugs are prohibited on firing ranges. Shooters taking medication must report this fact to the firearms instructor before reporting to the firing line. The firearms instructor is responsible for determining whether a shooter is fit to use the range. The determination will be based on the medication taken, the physical condition of the

shooter, and/or whether other reasons exist to believe the shooter may be under the influence of alcohol or drugs. A physician may be consulted if necessary.

- (11) Shooters must take precautions to prevent hot spent cartridges and gunshot residues from getting inside their clothing.
  - (12) When a training session is completed, each firearm must be physically examined by the shooter and by a designated range safety officer or qualified firearms instructor to ensure that it is unloaded and in safe condition before leaving the range. If the shooter is using a duty firearm on the range, he or she may reload that weapon at the range if returning directly to duty.
  - (13) Shooters must collect unexpended ammunition and return it to a firearms instructor.
  - (14) While a firearm is being cleaned, live ammunition must not be allowed in the cleaning area.
- h. All firearms training and qualification activities require instructor-to-shooter ratios with no more shooters than:
- (1) One instructor to one shooter.
    - (a) Any initial automatic firing (e.g., submachine gun, machine gun or rifle).
    - (b) Any initial live fire training of the machine gun (e.g., M60, M249, M240).
    - (c) Any initial explosive projectile (e.g., M79, M203, M72).
    - (d) Any initial advanced course of fire with any firearm involving movement of the shooter other than straight down range or with a fan of fire greater than 15°.
    - (e) Any initial shoot on the move live fire training.
  - (2) One instructor to no more than four shooters.
    - (a) Special response force courses.
    - (b) Re-qualification and tactical training requirements include:
      - 1 automatic firing,
      - 2 machine gun,

- 3 explosive projectile,
  - 4 night fire in semiautomatic mode and handguns, and
  - 5 initial training in semiautomatic mode and handguns.
- (c) Advanced course of fire with any firearm involving movement of the shooter other than straight down range, or with a fan of fire greater than 15°, or on an indoor range, whether daylight or simulated night fire, one instructor to five shooters.
- (d) One instructor to eight shooters when firing in the semiautomatic mode (e.g., automatic rifle in semiautomatic mode, shotgun, semiautomatic rifle, and pistols).

NOTE: Range-driven, specific risk analysis may require more instructors than those listed for live fire.

- (3) A range safety officer or an instructor with specific delineated responsibilities for range safety (e.g., to monitor the safety performance of the shooters as well as overall safety of the firing range) must be present during all firearms training and qualification activities.
- (a) When the instructor-to-shooter ratio requires only one instructor on the firing line, he or she must be the lead instructor and may be assigned range safety responsibilities if approved by the range master/lead instructor/officer-in-charge (OIC).
  - (b) When the instructor-to-shooter ratio requires two or more instructors on the firing line, a lead instructor must preside over the firing activities (i.e., “calling the line”) who will not be assigned additional instructional duties or be included in the instructor-to-shooter ratio, but may be assigned range safety responsibilities. To accomplish these activities, the lead instructor may be positioned either behind the firing line, in a booth, or in a tower, whichever location provides the greatest safety and control.
- i. All Federal organizations with employees using firearms in non-security-related activities must develop a program of firearms safety specific to those activities. The program must be approved by the DOE cognizant security authority. Specific written procedures must be developed and approved for any activity not addressed elsewhere in this Manual that involves the planned discharge of firearms, e.g., testing activities, competitive shooting matches, public hunting, or pest control.

2. BASIC TRAINING.

- a. Basic firearms safety training and demonstrated technical knowledge and practical proficiency is required before firearms are permitted to be carried on duty. Safety training must be conducted semiannually (at least every 6 months) at which time safety proficiency must be demonstrated in order to retain weapon-carrying status.
- b. Basic firearms training must be conducted at a site approved by the DOE cognizant security authority.
- c. Basic firearms safety training must include the following:
  - (1) general firearms safety orientation;
  - (2) instructions on the capabilities of firearms and ammunition and their implications; and, where applicable, instructions on the hazards associated with the impact of bullets and other projectiles on nuclear explosives, nuclear weapons, explosives, and other possible items that could result in a significant release of energy or toxic substances;
  - (3) firearms safety information for each type of firearm required by duty assignment;
  - (4) practice with the unloaded firearm in the teaching environment;
  - (5) range safety procedures and demonstration of safe firing techniques on the range;
  - (6) dry-firing techniques and hazards associated with dry firing;
  - (7) handling of misfires;
  - (8) detailed procedures on clearing, handling of malfunctions, inspecting, cleaning, loading, unloading, and other specific tasks related to each firearm for which the student receives training, which may include instruction and practice in assembly/disassembly but must not include repair, modification, or replacement of parts;
  - (9) details of firearms accidents and how they could have been prevented; and
  - (10) the Four General Firearms Safety Rules.

3. ADVANCED TRAINING. The firearms safety portions of advanced firearms training must follow the same rules as 2c above.

#### 4. RANGE OPERATIONS AND PROCEDURES.

- a. Specific site range safety rules and regulations must be developed and implemented by the organization designated to be responsible for operating a live fire range. Such rules and regulations must be formal, provide a disciplined approach to range operations, and include rules and regulations on pre- and post-firing range activities.
- b. A risk analysis or a Safety Analysis Report must be prepared for the facilities and the operations of each live fire range. The report must be reviewed and approved by safety personnel and the DOE cognizant security authority.
- c. Range safety rules must be conspicuously posted at the entrance to each DOE-controlled live fire range or range complex.
- d. Before firing commences, a safety briefing for all participants must be conducted that will include the basic range safety rules, the capabilities of the firearms to be used, and the safe operating procedures for the course of fire to be undertaken.
- e. Dry-fire practice must be conducted only in an approved area under the direct supervision of a firearms instructor.
- f. A scarlet streamer must be prominently displayed at outdoor DOE live fire ranges at all times during daylight firing. The streamer must be replaced with a blinking or pulsating red light for night firing. These day and night range warning indicators must be visible to aircraft. Where live fire operations may affect routine aircraft operations directly, the appropriate aviation control center must be notified.
- g. If professional medical personnel are not readily available, firearms instructors must be trained and currently qualified in cardiopulmonary resuscitation (CPR)/first aid. CPR/first aid training must be conducted by instructors certified by the American Red Cross or the American Heart Association. Specific training on the handling of gunshot wounds must be provided.
- h. Medical equipment must be available at a live fire range as determined by the cognizant site physician or other authorized personnel.
- i. An approved plan must be in place for handling, treating, and evacuating injured personnel through the use of an air ambulance or on-scene wheeled ambulance. Emergency response drills must be carried out annually (at least every 12 months) to test personnel preparedness in implementing the plan.
- j. Airborne lead monitoring must be conducted at all firing ranges in compliance with Occupational Safety and Health Administration lead standard, 29 Code of Federal Regulations (C.F.R.) Part 1910.1025. The medical surveillance provisions of the lead standard must be established and implemented when measurements

indicate that employees are, or may be, exposed to airborne lead concentrations that exceed the action level.

- k. Any employee involved in regular firearms training (e.g., instructors) must be entered into a hearing conservation program (see 29 C.F.R. Part 1910.95).
- l. A communications system with backup (e.g., telephone and/or two-way radio) must be available at each live fire range.
- m. Live fire ranges must be equipped with sufficient lighting to ensure safe nighttime firing exercises.
- n. Written and approved procedures for handling duds and misfires must be provided at all live fire ranges.

5. LIVE-FIRE SHOOT HOUSE (LFSH) OPERATIONS.

a. Responsibilities.

- (1) Range Master. The range master is responsible for the safe operation and coordination of maintenance for the live fire shoot house (LFSH) operations and all activities at the live fire range.
- (2) Range Safety Officer. The safety officer is specifically responsible for safety during LFSH operations.
- (3) Lead Instructor/Range Master/OIC. The lead instructor/range master/OIC is responsible for the overall conduct of a specific course and must:
  - (a) meet the requirements to support training and to include targets, ammunition, medical support, support equipment, classrooms, and training aids;
  - (b) ensure all participants are qualified to engage in LFSH activities;
  - (c) ensure the required instructor-to-shooter ratio is met;
  - (d) ensure everyone in the LFSH and on the elevated observation control platform (EOCP) during a live fire exercise is wearing appropriate PPE;
  - (e) ensure all participants have received a safety briefing; and
  - (f) delegate and assign responsibilities to other instructors.
- (4) Instructor. All activities conducted within the LFSH, whether live- or dry-fire, will be under the direct supervision of a qualified instructor who will:

- (a) position targets and bullet traps to prevent an errant round from crossing the path of another shooter's movement within the target room;
  - (b) blow the "stop" whistle and/or announce "CEASE FIRE" in the event of any observed safety violation;
  - (c) observe the loading and unloading of weapons;
  - (d) clear the LFSH of personnel before the exercise begins;
  - (e) conduct demonstrations for students as appropriate;
  - (f) ensure there is no debris, pooled water, or ice on the floor; and
  - (g) supervise and control the issue, deployment, and disposal of all ammunition and diversionary devices used during training exercises.
- (5) Shooters. A shooter is any training participant who enters the LFSH as a member of the entry team regardless of whether the individual's weapon is loaded or unloaded. They must follow the directions of the instructors at all times.
- (6) Observers. Observers must follow the established safety rules.

b. Operations.

- (1) LFSH Safety Briefing. Shooters must receive a safety briefing before participating in training. The briefing must include:
- (a) the Four General Safety Rules;
  - (b) specific range safety rules;
  - (c) instructions to keep the weapon at the low ready unless engaging a target;
  - (d) instructions to de-cock or safe the firearm as soon as offensive actions have stopped, or anytime the shooter plans to move a significant distance;
  - (e) instructions to await further commands from the instructor when an operation has ended;
  - (f) the fact that every participant is a safety officer;



- (g) instruction that when a whistle blast is heard and/or a verbal command of “CEASE FIRE” is given, the shooter is to freeze and keep the trigger finger straight along the frame of the weapon;
  - (h) direction that weapons handling and muzzle discipline must be enforced;
  - (i) information that a round that does not impact a bullet trap is a safety violation;
  - (j) direction that the 1-meter rule must be enforced (i.e., A ROUND MUST NOT BE DISCHARGED if the shooter is within 1 meter of the target or if the line of fire would pass within 1 meter of another shooter);
  - (k) instruction not to shoot unless the shooter is certain that a shot is safe;
  - (l) instruction that a shooter should not turn back after turning in the wrong direction (i.e., the shooter is committed to the new area of responsibility);
  - (m) direction that the shooter should not exceed the area of responsibility;
  - (n) instructions to exercise fire discipline using the fewest number of rounds to solve the problem; and
  - (o) instructions to take appropriate action in the event of a malfunction.
- (2) Safety Violations. Shooters must adhere to established safety policies and procedures at all times.
- (a) Shooters will be evaluated to determine causal factors for all safety violations.
  - (b) Shooters must be removed from training activities if safety policies or procedures are disregarded.
  - (c) Shooters identified as repeat violators of safety policies must be removed from training and placed in remedial training.
- (3) Qualification Requirements.
- (a) Before conducting training within the LFSH, instructors must have successfully completed DOE Office of Health, Safety and

Security-approved LFSH instructor course requirements and completed 40 hours of assistant instructor duties within an LFSH.

- (b) Additional requirements include annual (within a 12-month period) completion of 20 hours of live fire operations within the LFSH and semiannual completion (at least once every 6 months) of both the LFSH qualification test and the DOE Shooting-on-the-Move Qualification Course for pistol and submachine gun/rifle, with a minimum score of 90 percent on each.
  - (c) For non-DOE users, a lead instructor from the user agency must be designated before that agency uses a DOE LFSH. All instructor qualifications must be reviewed and approved by the DOE cognizant security authority with oversight of LFSH operations.
  - (d) Prospective shooters in LFSH exercises must demonstrate proficient marksmanship skills of at least 90 percent accuracy on the respective DOE shooting-on-the-move qualification course of fire.
- (4) Instructor-to-Shooter Ratio. The instructor-to-shooter ratio is one instructor to four shooters plus a lead instructor/safety officer.
- (5) Instructor Locations. Instructors must be positioned to observe shooters' actions at all times.
- (6) Weapons Allowed. Only weapons for which an LFSH has been certified may be used.
- (7) Ammunition Allowed. Only ammunition approved for use by DOE may be used within the LFSH.
- c. Targets and Bullet Traps. Various types of targets may be used in the LFSH. Target placement must meet the requirements of this section. If a target or target system fails these requirements, that particular target may not be used in the LFSH. Targets will be placed on bullet traps so the maximum effective area of the trap will be used to contain rounds; thus, no rounds will penetrate the construction joints on that trap.
  - (1) Three-Dimensional Targets. Three-dimensional targets may be used. Firing angles must be verified by the lead instructor to ensure rounds are contained within approved bullet traps or backstops.
  - (2) Bullet Traps. Bullet traps must be approved before use within the LFSH. Any bullet trap that appears to be in need of repair will not be used during live fire training. Bullet traps must be angled at least 7° from vertical to the potential shooting position and positioned so that a shooter cannot engage

a target at less than a 60° horizontal angle. Blinders, obstructions, or other means may be used to obtain this angle limitation. Bullet traps and targets will not be positioned to allow a shooter to fire outside LFSH limitations.

- d. Diversionsary Devices.
    - (1) Shooters must wear fire-resistant gloves during diversionsary device deployment.
    - (2) Full-charge diversionsary devices must not be deployed into occupied rooms except under controlled training conditions with an approved safety analysis.
    - (3) Sub-charge, flash-sound diversionsary devices may be deployed into occupied areas or rooms with the approval of the appropriate safety organization.
    - (4) Instructions on the approved procedures for the safe handling of dud diversionsary devices will be provided to all participants and will be followed at all times.
  - e. Reduced Lighting Operations. For reduced lighting operations ensure that:
    - (1) the LFSH lighting system is operational;
    - (2) the shooters' lighting systems are operational;
    - (3) chemical light sticks or other effective means are available for identification of both shooters and instructors. Chemical lights for instructors must be a different color from those worn by shooters so that instructors may be easily identified; and
    - (4) the assault is practiced during lighted conditions before conducting the assault under no- or low-light conditions.
  - f. Elevated Observation Control Platform (EOCP). All DOE owned LFSHs must be equipped with an EOCP to maintain positive observation of live fire activities.
  - g. Personal Protective Equipment (PPE). All personnel using an LFSH must adhere to risk controls identified in LFSH training course risk analyses, to include PPE requirements.
  - h. Weapons Loading and Unloading. Weapons loading and unloading must be done under the supervision of a firearms instructor at a specially designated area in the vicinity of the LFSH.
6. GENERAL INSTRUCTIONS FOR FIREARMS QUALIFICATION. The following general instructions must be followed during firearms qualification courses.

- a. Shooters must maintain silence on the line so they can hear and interpret range commands.
- b. All range commands or questions to the line must be issued by the lead instructor.
- c. Shooters must not move off the line or pick up any equipment or brass until the line is declared safe and the line is told to act by the lead instructor.
- d. Shooters on the line must commence firing on command only. Shooters must cease fire immediately when commanded to do so.
- e. A shooter on the line holding a firearm must always maintain the muzzle pointed downrange or in a depressed low ready position as directed by the lead instructor.
- f. Shooters must fire all rounds at the center of mass of the target presented to them, unless otherwise directed.
- g. Shooters must always wear approved sight and hearing protection.
- h. Shooters may touch the trigger only when the sights of the firearm are aligned with the target. Until then, the shooters must keep their trigger fingers extended straight alongside the receiver or frame.
- i. Shooters must not attempt to catch brass or to eject brass into collection containers.
- j. Shooters must reload using issued equipment in a duty/mission configuration.
- k. The lead instructor must ensure the firing line is clear of debris (e.g., magazines, brass, and ammunition boxes) and equipment to prevent injury to shooters moving from one position or distance to another.
- l. If a shooter experiences a malfunction during a course, he or she must attempt to clear the malfunction using proper clearing methods. If the shooter properly clears the malfunction and the threat remains, the shooter will complete the course of fire. If the threat is no longer visible, an alibi is provided.
- m. If a shooter experiences a malfunction during a course and does not attempt to clear that malfunction using proper clearing methods, an alibi will not be provided.
- n. Shooters with an alibi must be allowed to complete a string.

- o. Adjustable sights on all non-individually assigned firearms must be set in a standard manner so all shooters know the point of impact and can make aiming adjustments quickly and consistently to permit accurate initial fire.
- p. The lead instructor may authorize firearms or magazines to be fully loaded, unless otherwise specified, for all stages/strings; however, the shooter must clear the chamber between stages when the next stage begins at a half load.
- q. Shooters using a firearm equipped with a selector lever must ensure that it is returned to the safe position after every string unless otherwise directed by the lead instructor.
- r. Shooters must place a shoulder-fired firearm to the shoulder and align the sights with the target for every string unless the stage specifies another position (e.g., the low ready).
- s. When required, shooters must use only approved flashlights with a pressure switch that turns the flashlight on when pressed and off when released.
- t. When firing for qualification, FPF, according to the applicable job analysis, must wear all equipment required by this Manual and site/organization-specific requirements for duty and tactical responses.

## CHAPTER V. FIREARMS QUALIFICATIONS

### 1. SCOPE.

- a. Firearms qualification courses described in the Department of Energy (DOE)-approved firearms qualification courses are approved by the Chief Health, Safety and Security Officer for firearms qualification and requalification to ensure that Federal protective force (FPF) personnel are uniformly qualified with the firearms they are authorized to carry. The courses evaluate basic shooting skills with various authorized firearms. Site/organization-specific conditions and the deployment of firearms may justify requirements for developing and implementing supplementary special firearms training and qualification courses (e.g., aerial firing platforms, executive protection, and vehicle mounted firearms). All firearms courses must be conducted in accordance with DOE O 440.1B, *Worker Protection Program for DOE (Including the National Nuclear Security Administration) Federal Employees*, and this Chapter.
- b. FPF personnel will achieve high standards of marksmanship and proficiency in related shooting skills to successfully complete the firearms qualification courses. Periodic training must supplement all approved courses. Shooting skills are enhanced by training and testing knowledge, skills, and abilities, as appropriate (e.g., firearms manipulation; target discrimination; the engagement of moving, multiple, and reactive targets; and shooting under stress). The firearms qualification courses located on the Health, Safety and Security (HSS) website or those developed by the Federal Law Enforcement Training Center (FLETC) may be used for training and must be used to determine whether FPF personnel are qualified to be armed with a particular firearm. All firearms qualification courses must be conducted by firearms instructors certified by DOE or FLETC for instruction in the various firearms used during the specific courses.

### 2. REQUIREMENTS. Armed FPF personnel must qualify semi-annually (at least every 6 months) with assigned firearms on the applicable DOE firearms qualification courses located on the HSS website at [www.hss.energy.gov](http://www.hss.energy.gov).

- a. Federal Officers/Federal Agents/Special Agents (FO/FA/SAs).
  - (1) FO/FA/SAs assigned a handgun must, at a minimum, fire the Day and Reduced Lighting Handgun Qualification courses.
  - (2) FO/FA/SAs assigned a handgun and rifle must, at a minimum, fire the Day and Reduced Lighting Handgun and Rifle Qualification courses.
  - (3) FO/FA/SAs assigned a handgun and rifle/submachine gun (SMG) must, at a minimum, fire the Day Combined Handgun and Day Combined SMG/Rifle Qualification courses, the Reduced Lighting, Handgun and

SMG/Rifle Reduced Lighting Qualification courses. FO/FAs so armed must fire a DOE-approved live fire shoot house (LFSH) Skills Test Qualification course.

- (4) FO/FA/SAs assigned a handgun, rifle, and precision rifle must, at a minimum, fire the courses listed in paragraph 2a(3) above, and the Day and Reduced Lighting Precision Rifle Qualification courses.
  - b. Substitution of Practical Shooting Courses. Organizations may be authorized to substitute selected practical shooting courses from the approved courses of fire to be fired for qualification during one of the semi-annual (at least every 6 months) qualifications periods in lieu of the standard, applicable firearms qualification courses.
  - c. Other Qualification Courses. Organizations should use the various other DOE approved courses for firearms maintenance, refresher, and proficiency training.
3. REMEDIAL FIREARMS QUALIFICATION COURSE. The Remedial Firearms Qualification Course is designed to assist FPF personnel who fail to qualify in a particular firearms qualification course. The course is scheduled as needed, includes daylight and reduced lighting range conditions, and is administered by DOE or FLETC certified firearms instructors. Firearms instructors review available firearms qualification documentation and focus instruction on previously identified problem areas for individual shooters while reinforcing the principles of marksmanship, firearms manipulation, and safety in accordance with approved instruction plans for FPF personnel.
- a. Instructions for Remedial Firearms Qualification Course.
    - (1) The course must consist of two phases, each of which must be no more than 4 hours long. Phase I must address the basic fundamentals of marksmanship, beginning with dry-firing exercises, advancing to live-fire practice, and culminating in a qualification attempt. If the shooter fails the Phase I qualification attempt, Phase II must address the shooting defects identified during Phase I and culminate in a second qualification attempt. Phase II will not be required if Phase I culminates in a successful qualification attempt.
    - (2) Firearms instructors must provide one-on-one instruction, require correct demonstration of shooting techniques through dry-fire exercises before permitting live-fire practice, and carefully analyze all results with the shooter to remedy the identified problem(s).
    - (3) Firearms instructors must document course progress to include identification of the shooter's problem(s), remedial action(s), and the number of rounds expended to correct the problem(s).

- (4) Firearms instructors must assist shooters to ensure the correct sighting of a firearm, if it is questioned; verify sighting, if required; and resolve any question before live-fire qualification practice.
    - (5) Shooters must be permitted to slowly fire a specified number of rounds for live-fire qualification practice from the positions or employing the techniques determined to have occasioned the problems.
    - (6) Shooters must be allowed to attempt the applicable firearms qualification course following the live-fire qualification practices with less than 4 hours of remedial training, subject to the concurrence of the shooter.
    - (7) Shooters are required to attempt the applicable firearms qualification course in order to complete Phase I of this course.
    - (8) Shooters are required to attempt the applicable firearms qualification course, following completion of each phase of Remedial Firearms Qualification Course.
    - (9) The shooter must complete Phase II within 30 days of initial entry into the Remedial Firearms Qualification Course, if the shooter fails the applicable firearms qualification course during Phase I.
    - (10) A shooter successfully completing the applicable firearms qualification course must be returned to a full duty status.
    - (11) A shooter who fails to qualify after Phase II training loses his/her FPF status.
  - b. Remedial Firearms Qualification Course. The applicable firearms qualification course must be conducted in accordance with the DOE or FLETC firearms qualification courses. It must be preceded by the announcement, "This is a qualifying run for score."
4. REVIEW. The firearms qualification courses must be reviewed annually (at least every 12 months) by the DOE Firearms Policy Panel, which may recommend changes, as required. These recommendations will then be forwarded to the training managers working group and Training Advisory Committee for review and concurrence before entering the validation and approval stages. (See Chapter II, of the *Protective Force Firearms Qualification Courses* document located on the HSS website.) DOE cognizant security authorities are encouraged to forward written recommendations for changes or comments, with sufficient detail for consideration, to the Office of Security Policy. Non-DOE developed courses (e.g., FLETC) must be reviewed and validated by the DOE cognizant security authority, or as delegated to line management, as still applicable to the Federal PF mission.



5. VALIDATION PROCESS. Sites will be offered the opportunity to participate under the oversight of the DOE in the validation of courses of fire (COF) that have been modified or newly developed. For purposes of validation, draft courses can be used in lieu of the current DOE-approved COF that are to be replaced. FPF personnel who complete the new courses successfully will be considered qualified as if they had completed the standard DOE COF. Officers who do not successfully complete the new COF will not be penalized and will be given the opportunity to qualify using the current approved DOE standard COF. Resultant modifications will be made and a phase-in period for approved COF of one year (two semiannual requalification cycles) will be prescribed to permit sufficient opportunity for training to the new course.

## **CHAPTER VI. FIREARMS OPERATIONS**

### **1. BASIC CONSIDERATIONS.**

#### **a. General.**

- (1) DOE weapons, ammunition, and pyrotechnics are the property of the United States Government and, as such, their use is restricted to the performance of official duties.
- (2) Specific site/organizational policies and procedures covering the safe transportation, handling, use and storage of live ammunition, blank ammunition, chemical munitions and pyrotechnic devices used in firearms operations must be developed.
- (3) Each Department of Energy (DOE) cognizant security authority must require that analyses be performed to determine what ammunition and firearms can be used safely.
- (4) All personnel covered by this Manual must be required to comply with the personal protective equipment (PPE) and safety rules in effect at each workplace.
- (5) Duty firearms must be in serviceable condition at all times. Semiautomatic pistols must be carried with a round in the chamber. Other duty and auxiliary firearms configurations (loaded or unloaded) must be as specified by the DOE cognizant security authority.

#### **b. Post and Patrol Activities.**

- (1) Routine loading or clearing of firearms must take place only in an approved area or when the barrel of the firearm is in or pointing toward a bullet containment device. Loading and clearing of firearms under field conditions or where a bullet containment device is not available shall be performed with the firearm pointed in a safe direction according to approved procedures which address the safety of the principal, fellow agents, and bystanders.
- (2) Routine loading and clearing of all firearms must be witnessed by a supervisor or a designated DOE-certified firearms instructor.
- (3) If the presence of alcohol or drugs is detected on a person, or there is reason to believe the person is under the influence of alcohol or drugs, he or she must be denied the issuance of a firearm and/or disarmed and removed from duty.
- (4) All duty firearms must be carried in the manner approved by the DOE cognizant security authority. Unless otherwise stated in local procedures,

from check-in to check-out a handgun must be holstered, and a rifle, shotgun, or submachine gun must be carried on an appropriate sling with the muzzle pointed up or down, except where the firearm is designed to be carried in a different manner or operational conditions dictate otherwise. Firearms must not be carried with a finger on the trigger or inside the trigger guard.

- (5) When firearms are transported in vehicles, watercraft, or aircraft and are not carried by an individual, they must be mounted in an appropriate rack or container with the firing chamber empty. During normal operations, long guns (e.g., rifles, shotguns, submachine guns) must not be carried with a round in the firing chamber. Long guns must never be placed in post or vehicle racks or carriers with a round in the firing chamber.
- c. Firearms, Ammunition, Pyrotechnics, and Explosives. Firearms, ammunition, pyrotechnics, and explosives must be available in sufficient quantity to permit Federal protective forces (FPF) to act according to response plans. Firearms, ammunition, pyrotechnics, and explosives must be of a type suitable for the intended use, deployed in a manner commensurate with that use, and controlled in a manner consistent with DOE M 440.1-1A, *DOE Explosives Safety Manual*. The firearms, ammunition, pyrotechnics, and explosives used must pose the minimum danger to personnel and facilities commensurate with success of the FPF mission. Firearms, ammunition, pyrotechnics, and explosives must be carried and transported safely and securely. Any discharge of a firearm for other than training purposes must be reported. (See DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*.)
- d. Sights. All unassigned firearms with adjustable sights must have the sights set in a manner to ensure that FPF personnel who may use these firearms know the point of impact and can make point-of-aim adjustments quickly and consistently to permit accurate initial fire. Sight adjustment and bullet impact must be verified semiannually (at least every 6 months) by live fire or through the use of a sighting device that simulates bullet impact.
- e. Spare Firearms. FPF management must demonstrate that there are sufficient spare firearms of each type deployed to satisfy all contingency/response plans and training requirements.
- f. FPF Firearms, Ammunition, and Explosives. Firearms, ammunition, and explosives used by FPF must be based on consideration of DOE O 470.3B, *Graded Security Protection (GSP) Policy*, assigned missions, the site security plan (SSP), and vulnerability assessment (VA) and must be approved by the DOE cognizant security authority. Use of explosives is addressed in DOE M 440.1-1A, *DOE Explosives Safety Manual*.
- g. Firearms Trigger Safety Locks. Any firearm transported or shipped offsite (e.g., by Federal Express, in baggage to be checked, etc.) must be locked with a trigger

safety lock or placed in a locked container. Firearms shipped by bulk must be secured in a locked or banded container. Firearms that cannot fire live ammunition [e.g., engagement simulation systems (ESS) including dedicated blank-fire, multiple integrated laser engagement system (MILES), airsoft, and dye-marking cartridge (DMC) firearms] are not required to be locked individually with a trigger safety but must be secured in a locked or banded container.

- h. Firearms Modifications. Modifications to firearms must be conducted by a DOE-certified armorer.
  - (1) Written approval must be requested and received from the DOE cognizant security authority before a DOE firearm (live fire or ESS firearm) may be modified. Modifications of the DOE Firearms Modification List (FML), as approved by the Office of Security Policy, may be made after the DOE cognizant security authority has granted approval. The current DOE-approved FML is maintained by the Office of Security Policy and located on the Health, Safety and Security (HSS), [www.hss.energy.gov](http://www.hss.energy.gov).
  - (2) Requests for modifications not on the FML must be submitted in writing to the Office of Security Policy with the following:
    - (a) a general description of the modification;
    - (b) the purpose/objective of the modification;
    - (c) a detailed, step-by-step description of the process used to make the modification, with mechanical and/or illustrative drawings;
    - (d) a description of the post-modification testing to be conducted; and
    - (e) the number of firearms to be modified.
  - (3) The request will be forwarded to the NTC for review by its armorer section. The NTC will provide written comments and/or a recommendation to the Office of Security Policy and the DOE cognizant security authority.
  - (4) Upon review and concurrence, based on the NTC's recommendation, the modification may be approved by the DOE cognizant security authority. Once approved, the modification must be submitted to the Office of Security Policy for inclusion on the FML.
  - (5) ESS Firearms Modifications.
    - (a) Dedicated ESS firearms must not be reactivated for live fire usage without the approval of the DOE cognizant security authority.

- (b) If a factory “drop-in” kit is used to modify a firearm to use DMC, a DOE-certified armorer specifically trained in the installation of such a kit must conduct the modification.
  - (c) Proposed modifications of ESS firearms to change their function in any way or to enhance their safety must be submitted to the Office of Security Policy for approval through the DOE cognizant security authority. The provisions of paragraph 1h(2) above, apply.
    - 1 Weapons with modifications that have not been approved in writing by the Office of Security Policy will not be issued for use.
    - 2 The current list of approved ESS firearms and modifications is provided on the HSS website.
  - (d) ESS firearm modifications include any changes made to a firearm system, magazine, clip, feeding assembly, or blank-fire adaptor.
- 2. AUTHORIZED FIREARMS. Commonality of firearms enhances the efficiency of standard and centralized training and enables inter-site assistance in the event of a security incident or other situation requiring supplemental or replacement forces.
  - a. The following weapons constitute DOE-authorized firearm systems:
    - (1) handgun: semi-automatic, 9mm or greater,
    - (2) duty rifle: M-16 family of rifles and variants, 5.56mm or greater,
    - (3) shotgun: 12 gauge,
    - (4) precision rifle: 7.62mm or greater,
    - (5) 40mm grenade launcher: Military Models M79, M203 and variants; and multiple grenade launchers,
    - (6) belt-fed machine guns: 5.56mm or greater, and
    - (7) submachine gun: 5.7 x 28mm or greater.
  - b. Because multiple agencies and contracts are involved in a centralized procurement, where possible, the Office of Health, Safety and Security will coordinate the acquisition of weapons. Existing procurement contracts and Federal interagency support agreements will be used. Otherwise, the cognizant DOE authority for security is responsible for coordinating the procurement of site weapons.

- (1) Replacement of current inventories with authorized weapons is intended to occur as firearms become due for replacement.
- (2) The authorized list provides needed firearms capability for the majority of Departmental missions within site/organization-specific conditions; however, operational, safety, or other requirements may dictate the need for an alternative firearm.
- (3) Deviations from, or additions to, this list must be approved by the Office of Health, Safety and Security, or the Associate Administrator for Defense Nuclear Security, as applicable. If unable to obtain any needed firearms through interagency agreements pursuant to the Economy Act, DOE will comply with the requirements of the Federal Acquisition Regulation, Subpart 6.3.

3. STORAGE OF FIREARMS, AMMUNITION, PYROTECHNICS, AND EXPLOSIVES.

Firearms, ammunition, pyrotechnics, and explosives must be stored safely and under the direct control of a Law Enforcement Agency (LEA), contractor or FPF personnel, or controlled within established security areas. Alternatively, they may be stored in a vault-type room if an intrusion detection system is installed to detect penetration and the alarm response capability is such that unauthorized removal is unlikely.

- a. Bulk Storage. Bulk quantities of ammunition, pyrotechnics, or explosives that are not used routinely and/or are stored for long periods of time must be stored in facilities that meet design criteria specified in DOE M 440.1-1A, *DOE Explosives Safety Manual*. These storage facilities must be located within a designated security area.
- b. Storage Containers. Firearms, ammunition, pyrotechnics, and explosives must be stored in General Services Administration-approved storage containers, which include Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) Type II that are bolted or otherwise secured to the structure or under alarm coverage. Where the weight of the storage container would deter its removal, the requirement to bolt or secure it does not apply. Firearms not in such containers or under alarm coverage must be locked in racks, chained, or cabled to prevent unauthorized removal. Racks securing unattended firearms that are not under alarm coverage must be designed to inhibit removal via partial disassembly of the firearm.
- c. Storage of Ammunition. Applicable requirements for the storage of commonly used FPF munitions can be found in DOE M 440.1-1A, *DOE Explosives Safety Manual*, and in Department of Defense (DoD) 6055.9-STD, *DoD Ammunition and Explosives Safety Standards*.
  - (1) Storage Structures. Refer to DOE M 440.1-1A, *DOE Explosives Safety Manual*, for guidance on design of structures for storing munitions.

- (2) Hazard Class and Hazard Division. For the purpose of placarding, the United Nations Organization or the National Fire Protection Association hazard classification systems must be used.
- (3) Storage of Small Arms Ammunition. Articles in Hazard Class/Division 1.4 and Storage Compatibility Group S are considered as inert for storage purposes and require only appropriate fire-protection distance separation as long as they are stored only with inert items or other 1.4 S items. This applies only if the Hazard Class/Division 1.4 and Storage Compatibility Group S articles remain in their original packaging containers. When stored with items in a Storage Compatibility Group other than S, normal quantity-distance requirements must be observed (see DOE M 440.1-1A, *DOE Explosives Safety Manual*). Live ammunition and ESS-related ammunition (e.g., blank fire, DMC, dummy rounds, etc.) must be stored separately. Separate storage could be placing live and ESS ammunition in separate, secured storage containers in the same location or storing them in separate locations.

d. Firearms Storage.

- (1) Firearms not identified for duty or contingency use and having a valid justification for retention must be stored in a manner that will prevent deterioration due to environmental conditions.
- (2) Weapons taken offsite in the performance of assigned duties are considered in-use. Interim protection strategies must be employed to prevent theft or loss of the firearms.
- (3) Dedicated ESS firearms must be stored separately from live firearms. Separate storage may be attained by placing live firearms and ESS firearms in separate, secured storage in the same location or storing them in separate locations to prevent inadvertent issue of the wrong weapon type.

e. Approved Ammunition.

- (1) FPF management is responsible for developing, updating, and maintaining a list of approved ammunition and diversionary pyrotechnics that conform to SSP requirements. This list must specify the caliber, bullet type and weight, and manufacturer of the ammunition.
- (2) Ammunition used for duty, live fire training and qualification, ESS training, and other non-lethal training must be of high quality and factory new. Reloaded, reprocessed, or military surplus ammunition must not be used. Ammunition must not be unboxed and placed in bulk containers.

- f. On-Post Firearms, Ammunition, Pyrotechnics, and Explosives. Auxiliary firearms, ammunition, pyrotechnics, and explosives that are maintained at posts for use during response to security incidents must be under the direct control of, and readily accessible to, on-duty FPF personnel. Firearms, ammunition, pyrotechnics, and explosives must be secured in such a manner that they are inaccessible to, and cannot be removed by, persons passing through, by, or in the post.
  - g. Pre-positioned Pyrotechnics and Explosives. In support of FPF response plans and strategies, limited quantities of pyrotechnics and explosives may be pre-positioned at approved locations (e.g., FPF posts, response vehicles, etc.). Pre-positioned pyrotechnics and explosives must be kept in their original containers unless operational and response requirements dictate otherwise. These pyrotechnics and explosives must be readily accessible to authorized FPF personnel and secured in such a manner that they are inaccessible to, and cannot be removed by, persons passing through, by, or in the post. FPF personnel charged with the responsibility of employing and overseeing the storage of pyrotechnics and explosives must be trained in their use and storage. (See DOE M 440.1-1A, *DOE Explosives Safety Manual*.)
4. SAFE TRANSPORTATION AND HANDLING OF MUNITIONS.
- a. Transportation of Munitions.
    - (1) Except where exempt by Federal Regulation, transportation of munitions on public highways is governed by Department of Transportation (DOT) regulations (49 C.F.R. Part 173, *Shippers–General Requirements For Shipments and Packaging*). For transportation purposes only, munitions must be given DOT hazard class designations.
    - (2) Transportation of munitions onsite must be performed commensurate with the requirements contained in Chapter II, Section 16, of DOE M 440.1-1A, *DOE Explosives Safety Manual*. Munitions not in their original DOT containers must be transported in containers specified in Chapter II, paragraph 17.5 of the above Manual.
    - (3) Transportation of Munitions in FPF Vehicles.
      - (a) FPF duty vehicles are authorized to transport the quantity of munitions needed to support approved contingency plans and to execute FPF duties.
      - (b) Whenever possible, support munitions required for defense against hostile forces should be pre-positioned in readily accessible magazines.



- (c) FPF vehicles loaded with a combination of up to 25 pounds net explosive weight of Hazard Class/Division 1.1 and 1.2 munitions are exempt from explosives quantity-distance requirements when executing approved contingency plans or FPF duties.
  - 1 Vehicles so loaded must not be used for administrative purposes.
  - 2 Vehicles so loaded must be separated from inhabited facilities and property lines by a minimum of 125 feet when temporarily out of FPF service.
  - 3 Vehicles so loaded must be downloaded into properly sited magazines or approved facilities when parked for periods in excess of one FPF shift.
- (d) Except for the Office of Secure Transportation (OST), operation of explosives-loaded vehicles will be restricted to onsite locations unless involved in a pursuit role.
- (e) The explosives must be secured within the vehicle to prevent movement and to preclude unauthorized removal.
- (f) These vehicles must be downloaded into properly sited magazines or approved facilities before repair or maintenance.
- (g) Munitions in the vehicle must not be exposed to temperatures that exceed the criteria stated on the material safety data sheet or manufacturer's recommendation. Appropriate safety precautions will be taken to ensure munitions are not exposed to extreme temperatures.
- (4) FPF personnel may be allowed to carry on their person Hazard Class/Division 1.1 and 1.2 munitions issued to them for use in the execution of approved contingency plans without regard to explosives quantity-distance requirements.
- (5) FPF personnel and Federal training staff may be allowed to carry hazard Class/Division 1.1 a- 1.4 on their person or secured in a training vehicle (including government leased) in the conduct of training operations.

b. Handling of Munitions.

- (1) Munitions must be protected from abnormal stimuli or environments such as impact, shock, high temperatures, or open flames.

- (2) Smoking must be prohibited when handling, transporting, or storing munitions. Matches, lighters, other fire-, flame-, or spark-producing devices must not be taken into a munitions storage area; appropriate signs or markings must be posted at such areas.

5. FIREARMS AND AMMUNITION MAINTENANCE/INSPECTION. Firearms available for duty or contingency operations must be inspected by a DOE-certified armorer before initial use and at least every 6 months thereafter to determine serviceability. Firearms must be cleaned and maintained in a manner that meets or exceeds the manufacturer's recommendations.

a. Authorization. An armorer certified by the NTC is the only individual authorized to perform the following firearms activities:

- (1) semiannual (at least every 6 months) inspections,
- (2) any firearms repair,
- (3) any firearms modification or component alteration, and
- (4) any disassembly beyond the manufacturer's recommended "field strip" for cleaning purposes.

b. Inspection Criteria.

- (1) All firearms must be inspected semiannually (at least every 6 months) by a DOE-certified armorer. Inspections must consist of a detailed disassembly of the firearm's components. The armorer must inspect the components for excessive wear, cracks, or breaks. In addition, the armorer must ensure the firearm meets all manufacturing tolerances relevant to the maintenance of that firearm, guaranteeing safe and reliable firearm function. A bench function check will not constitute an inspection.
- (2) The armorer must inspect and conduct test firings of a firearm following any unusual operation of, occurrence with, or functional repairs made to that firearm. Functional repairs are those that affect the safe operation or reliability of the firearm. Any firearm that has experienced an unusual operation must be tagged "out-of-service" and segregated from operational firearms until certified by the armorers as safe to operate.
- (3) The armorer must maintain accurate individual records for all firearms including manufacturer, model type or number, serial number, inspection dates, and the nature and date of any repair or modification. Records of any unusual occurrence and subsequent inspection/test firing must be maintained in accordance with prescribed authorized schedules.
- (4) For safe operations, the minimum trigger pull for firearms must not be less than the requirement specified by the manufacturer.

- (5) Stored firearms must be inspected before being returned to active inventory.
- (6) Duty ammunition must be exchanged for fresh ammunition annually (at least every 12 months) except where impractical due to prohibitive costs for replacement ammunition (e.g., 40mm and armor piercing rounds). Duty ammunition is that which is loaded in a weapon or magazine.

c. Test Firing.

- (1) The armorer must coordinate test firing of any firearm following unusual operations or occurrences.
- (2) All firearms must be test-fired following the repair or replacement of components listed in the DOE *Armorers' Technical Guide* that involve the functioning of the weapon. The need for test firing of firearms following other repairs must be according to local site standard operating procedures or left to the discretion of the armorer.

d. ESS Weapons.

- (1) Armorers working on ESS weapon systems must familiarize themselves with all DOE documentation that deals with deploying the weapons. They must also know their site's specific rules pertaining to ESS weapon use.
- (2) Armorers who work on ESS firearm systems must learn the various modifications on these firearms through DOE NTC on-the-job training, training provided through the Armorers Policy Panel, or both.
- (3) Only DOE-certified armorers may install DMC dye-marking conversion kits.
  - (a) Dye-marking conversion kits must be installed and maintained according to the manufacturer's instructions.
  - (b) Before use, the armorer must ensure that the conversion kit is properly installed, the bore is free from fouling, and the components are in good working order.

6. PYROTECHNICS AND EXPLOSIVES INSPECTION. Pyrotechnics, explosives, and any associated equipment available for use during routine or contingency operations must be inspected by qualified FPF personnel before each use and at least every 3 months to ensure they are properly stored, stable, and within current shelf-life and use requirements. Pyrotechnic and explosives inspections are further addressed in DOE M 440.1-1A, *DOE Explosives Safety Manual*.

7. INVENTORY OF FIREARMS, AMMUNITION, PYROTECHNICS, AND EXPLOSIVES. Firearms, ammunition, pyrotechnics, and explosives inventories must be maintained to allow efficient and effective arming and training of FPF personnel.
- a. Live Firearms Inventory. Due to the remote location of some training facilities, some site inventories may require live fire weapons for training and qualification. Therefore, additional inventories of firearms may be maintained to support live firearms training activities. All individually assigned firearms must be inventoried by a number count at the beginning of each shift. Those firearms checked out for operational details may be inventoried by a record that identifies the responsible party. Firearms in storage must be inventoried by a number count weekly. An inventory of all firearms listing the type of firearm, the manufacturer, and its serial number must be conducted monthly. Firearms that are not identified for duty or contingency use may be inventoried by container in the event a complete container inventory has been conducted previously and the container is secured by a serial-numbered security seal.
  - b. Dedicated ESS Firearms Inventory. Departmental safety instructions require that firearms used for ESS activities be permanently modified and not routinely transferred between live and non-lethal uses. Additional inventories of dedicated firearms may be maintained to support ESS training activities. Dedicated ESS firearms must be inventoried by a number count before and after each use. An inventory of dedicated ESS firearms listing the type of firearm, the manufacturer, and its serial number must be conducted monthly. ESS firearms that are not in continual use may be inventoried by container in the event a complete container inventory has been conducted previously and the container is secured by a serial-numbered security seal.
  - c. Ammunition, Pyrotechnics, and Explosives Inventory. Ammunition must be inventoried annually (at least every 12 months). Pyrotechnics and explosives must be inventoried monthly. Pre-positioned pyrotechnics and explosives must be inventoried by a number count at the beginning of each shift. Pyrotechnics and explosives stored in bulk, which are not identified for duty or contingency use, may be inventoried by container if a complete container inventory has been conducted previously and the container is secured by a serial-numbered security seal.
  - d. Inventory Shortages. After conducting a preliminary inquiry that indicates an unaccounted for, missing, or stolen firearm; any quantity of explosive; any live ammunition, .408 CheyTac caliber or larger (including 40mm HE/HEDP/TP); 100 rounds or more of ammunition smaller than .408 CheyTac caliber; or any pyrotechnic, ammunition, or training device not legal for civilian sale, purchase or use, FPF management must immediately report such a shortage to the DOE cognizant security authority, who must report to the DOE Headquarters Operations Center within 24 hours. The DOE cognizant security authority must then prepare and transmit an Incident of Security Concern report (see DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*).

## CHAPTER VII. OPERATIONAL ASSURANCE

1. APPRAISALS/SELF-ASSESSMENTS. These types of security oversight practices can be used to support the oversight responsibilities of Department of Energy (DOE) O 226.1A, *Implementation of Department of Energy Oversight Policy*.
  - a. Formal appraisals or self-assessments of the safety and health aspects of the safeguards and security program must include firearms safety and must be performed by line management annually (at least every 12 months).  
[DOE O 440.1B, *Worker Protection Program for DOE (Including the National Nuclear Security Administration) Federal Employees*].
  - b. DOE line management must conduct and document formal self-assessments, which include annual program reviews and appraisals of selected worksites.
  - c. Firearms safety assessments must be conducted by safety personnel or by a joint safety and Federal protective force (FPF) evaluation team.
  - d. Firearms safety assessments must cover procedures, responsibilities, and duty assignments within the firearms safety program to ensure that overall objectives and performance are being met.
  - e. Firearms safety assessments must include reviews of:
    - (1) records of unauthorized firearms discharges, investigations of such discharges, and the application of lessons learned;
    - (2) armorer's records of firearms inspections, malfunctions, and repairs;
    - (3) firearms documentation maintained by Federal safety and health personnel to ensure that management decisions and actions to correct deficiencies have been completed and documented on time;
    - (4) FPF weapons safety performance data, as compared with similar operations and programs in other agencies, to determine whether there are lessons to be learned or deficiencies that require corrective action;
    - (5) hazardous incidents involving firearms and associated equipment;
    - (6) safety tagout program for defective firearms;
    - (7) results of the airborne lead monitoring programs at firing ranges and of the testing programs for blood lead level changes and hearing loss;
    - (8) storage and handling of firearms, ammunition, and cleaning materials in armories;

- (9) high-risk activities such as loading, unloading, and exchanging firearms to ensure the existence of proper accident prevention controls; and
- (10) firearms training programs.

2. PROTECTIVE FORCES SAFETY COMMITTEE.

- a. Composition. Co-chairpersons must be representatives of the Office of Security Policy and the Office of Health and Safety. The following DOE organizations must be afforded the opportunity to provide one permanent DOE safety representative voting member or alternate to the Protective Forces Safety Committee (PFSC).

- (1) Office of Security Policy.
- (2) Office of Health and Safety.
- (3) Office of Security Operations.
- (4) National Nuclear Security Administration (NNSA), Office of the Associate Administrator for Defense Nuclear Security.
- (5) Office of Secure Transportation.
- (6) DOE National Training Center.
- (7) Office of Environmental Management.
- (8) Office of Science.
- (9) Office of Nuclear Energy.
- (10) Office of Fossil Energy.
- (11) Office of Civilian Radioactive Waste Management.
- (12) DOE Site Offices (including NNSA Service Center, as applicable).

b. Responsibilities.

- (1) The Office of Security Policy and the Office of Health and Safety administer and manage the PFSC.
- (2) The PFSC reviews, evaluates, and recommends action on proposed changes to directives, other requirements, and procedures involving the purpose, program, duties, qualifications, training, equipment, and firearms of the DOE FPF Program.

- (3) Managers of DOE offices providing FPF functions on, at, or for a DOE site must have a PFSC formally organized and chartered to assist management in providing safe FPF activities.

**APPENDIX A. GUIDELINES FOR LEGAL AUTHORITY,  
FRESH PURSUIT AND RULES OF ENGAGEMENT**

1. LEGAL AUTHORITY, FRESH PURSUIT AND RULES OF ENGAGEMENT.
  - a. Applicable Legal Terms.
    - (1) Felony. A felony is any offense enumerated in 10 Code of Federal Regulations (C.F.R.) Part 1047.4(a)(1)(i), or as defined in 10 C.F.R. Part 1049, as well as any offense constituting a felony under the laws of the jurisdiction in which operations are being conducted and with respect to which a Federal protective force (FPF) would have arrest authority under 10 C.F.R. Part 1047.4(d) and (e).
    - (2) Fresh Pursuit. Fresh pursuit is (with or without a warrant) for the purpose of preventing the escape or effecting the arrest of any person who has committed a misdemeanor or felony or is suspected of having committed a misdemeanor or felony. Fresh pursuit implies pursuit without unreasonable delay but need not be immediate pursuit. [Although fresh pursuit implies pursuit without unreasonable delay, to prevent the escape or to arrest fleeing suspected criminals who are in unauthorized control or possession of nuclear weapons, weapons components, and/or special nuclear material (SNM), such pursuit must be effected immediately.]
    - (3) Hostile Intent. Hostile intent is the threat of imminent use of force against DOE interests, property and/or personnel. When hostile intent is present, the right exists to use proportional force, including armed force, by all necessary means available to deter or neutralize the potential attacker or threat. A determination documented in approved rules of engagement that establishes when hostile intent exists and requires the use of proportional force must be based on site/organization specific criteria.
    - (4) In the Presence. In the presence means the criminal act must have taken place in the physical presence of (under the observation of) the Federal Protective Force (FPF) officer. A FPF officer is authorized to make an arrest for covered misdemeanors and felonies if the offense is committed in the presence of the FPF officer.
    - (5) Jurisdictional Lines. For the purposes of these guidelines, jurisdictional lines shall include, but shall not be limited to, the property lines of a Department of Energy (DOE)/National Nuclear Security Administration facility/site.
    - (6) Misdemeanor. A misdemeanor is any offense enumerated in 10 C.F.R. Part 1047.4(a)(1)(ii), or as defined in 10 C.F.R. Part 1049, as well as any offense constituting a misdemeanor under the laws of the jurisdiction in which operations are being conducted and with respect to which a FPF



officer would have arrest authority under 10 C.F.R. Part 1047.4(d) and (e) or 10 C.F.R. Part 1049.

- (7) Federal Protective Force Officer. As defined in 10 C.F.R Part 1047.3(g), an FPF officer is any Federal employee authorized by DOE authority to carry firearms under section 161 k of the Atomic Energy Act of 1954, and as defined in 10 C.F.R. Part 1049.3(e), any Federal employee authorized by DOE authority to carry firearms under section 661 of the DOE Organization Act.
  - (8) Reasonable Grounds to Believe. Reasonable grounds to believe has the same meaning as set forth in 10 C.F.R. Part 1047.4 (b)(2). An FPF officer is authorized to make an arrest for any felony covered under their limited arrest authority if the covered offense is committed in the presence of the FPF officer or if the FPF officer has reasonable grounds to believe (e.g., information from another FPF or law enforcement officer, communications from a FPF dispatcher or central alarm station operator) that a suspect had committed or was committing a felony.
- b. Arrest Authority. The authority for FPF members to make arrests without warrant stems from section 161 k of the Atomic Energy Act of 1954 [42 U.S.C. 2201 (k)], which provides for the authority to carry weapons and make arrests in the protection of DOE assets. 10 C.F.R. Part1047.4 defines the specific offenses for which a FPF officer may make an arrest under the limited arrest authority. FPF personnel armed pursuant to this Act must understand the limits of the offenses covered under the limited arrest authority and be aware that their authority applies only when in the performance of official duties.
- c. Executing an Arrest. When other Federal law enforcement agencies (LEAs) [e.g., Federal Bureau of Investigation (FBI), U.S. Marshal or DOE Office of Inspector General] are involved with FPF officers in the apprehension of a suspected criminal (regardless of whether on or off DOE property), FPF officers must relinquish arresting authority to the other Federal LEA. The circumstances pertaining to the arrest, will be reported to the DOE cognizant security authority as soon as it feasible.
- (1) When a suspected felon is apprehended (regardless of whether on or off DOE property), or when a suspected misdemeanor is apprehended on DOE property, the FPF must immediately notify the appropriate U.S. Attorney's Office and escort the suspect to the nearest U.S. District Court or U.S. Magistrate for arraignment (unless otherwise directed by local Federal LEAs; e.g., the FBI or a U.S. Marshal). Under no circumstances should a suspected felon be removed to another jurisdiction without first being processed through the Federal criminal justice system where the suspected felon was apprehended.

- (2) When State or other local LEAs are involved with FPF officers in the offsite apprehension of a suspected criminal, the issue of which law enforcement official is in charge in order to affect an arrest is generally not a matter of policy but one of common sense dictated by the circumstances. Such an assessment includes an evaluation of the expertise of those present, which agency has first established control, and the disruptive effect, if any, of transfer of control. The determination of which jurisdiction should make the arrest is therefore left to the discretion of the officers involved. To the extent practicable, guidelines addressing this issue should be prepared on a site-by-site basis in coordination with State and other local LEAs. Such guidelines must be included in the site/organization-specific guidelines submitted to the Chief Health, Safety and Security Officer for approval. The approval authority for NNSA sites/organizations is the Associate Administrator for Defense Nuclear Security.
    - (3) FPF officers must ensure that any Government property retrieved at the time of an apprehension or during a pursuit is properly secured and a chain of custody is established.
2. FRESH PURSUIT. The purpose of these guidelines is to set forth the procedures to be followed by DOE FPF personnel when pursuing suspected criminals across jurisdictional lines, except when the suspected criminals are in possession of DOE security assets.
  - a. Policy. It is DOE policy to prevent the escape and to effect the arrest of fleeing suspected criminals in a safe and expeditious manner. The following procedures are intended to provide protective personnel with flexibility when in fresh pursuit of a fleeing suspected criminal. Each site/organization must prepare guidelines that take into account the geography, equipment, and functions of the facility/site and that address the procedures that will be used to provide emergency notification to jurisdictions that may be entered in a fresh pursuit situation. The DOE cognizant security authority must submit the guidelines through the cognizant Departmental element to the Chief Health, Safety and Security Officer, for approval. The approval authority for NNSA sites/ organizations is the Associate Administrator for Defense Nuclear Security.
  - b. Definitions. The following definitions apply to this Appendix.
    - (1) Misdemeanors. An FPF officer may engage in the fresh pursuit of a suspected misdemeanor across jurisdictional lines only if the alleged misdemeanor was committed, or is being committed, in his or her presence. If the alleged misdemeanor was not committed in the presence of a FPF officer, FPF officers must not pursue the suspected misdemeanor across jurisdictional lines. Instead, the FPF officers must attempt to obtain a description of the suspected misdemeanor, as well as a description and license tag number of any vehicle being used by the suspected misdemeanor, and must convey this information (in accordance

with the specific notification procedures issued by DOE line management) to the State and other LEAs for the jurisdiction into which the suspected misdemeanor has fled.

- (2) Felonies. FPF officers may engage in the fresh pursuit of a suspected felon across jurisdictional lines if:
  - (a) the alleged felony is being committed, or was committed, in the presence of a FPF officer or
  - (b) any FPF officer has reasonable grounds to believe that the person pursued is committing, or has committed, the alleged felony.

c. Fresh Pursuit Procedures.

- (1) Responsibility. Responsibility for decisions respecting fresh pursuit must follow the FPF command structure. In making fresh pursuit decisions, FPF officers must consider applicable Federal and State laws; Departmental directives, guidelines, and regulations; and FPF plans, orders, guidelines, and training.
- (2) Safety Considerations. Safety is a primary consideration when engaged in fresh pursuit of a suspected criminal. In determining whether to pursue, as well as the method and means of pursuit, an FPF officer will weigh the seriousness of the alleged offense and the necessity for immediate apprehension against the risk of injury to himself/herself, other FPF officers, and the public. If, at any time during the pursuit, the risk of injury to pursuing FPF officers or the public surpasses the necessity for immediate apprehension, the pursuit must be terminated.
- (3) Use of Force. FPF officers will use the minimum force necessary under the circumstances to apprehend a suspected criminal.
- (4) Jurisdictional Lines. Regulations at 10 C.F.R. Parts 1047.6, 1047.7, 1049.6, and 1049.7 address the applicability of physical and/or deadly force in a fresh pursuit situation, regardless of whether jurisdictional lines have been crossed. Such use may include, as appropriate, firing at or from a moving vehicle, aircraft, or water craft; the ramming and disabling of pursued vehicles by precision immobilization techniques (PIT); and the use of tire-deflating devices.
- (5) Hostages. If hostages are present in a pursuit situation in which recovery of SNM is involved, the safety and welfare of hostages must be considered; however, due to the ramifications of unauthorized use of SNM to the national security, the public, and the environment, the hostages' presence must not deter or impact immediate pursuit and recovery of the SNM.

(6) Vehicular Pursuit.

- (a) Vehicles used in fresh pursuit must be operated in as safe a manner as is practicable.
- (b) To the extent practicable, vehicles used must be marked and equipped with visual and audible emergency equipment.
- (c) Vehicles occupied by non-FPF personnel must not be used in fresh pursuit situations unless the situation mandates an immediate pursuit and the extreme circumstances prohibit the occupant's disembarkation.
- (d) The number of pursuing vehicles that cross a jurisdictional line must be limited to that necessary to provide sufficient personnel to deal with the situation. Under no circumstance will the number of pursuing FPF officers be such that the assets are left without sufficient security protection.
- (e) There are inherent dangers associated with the use of roadblocks; thus, unless exigent circumstances mandate immediate apprehension of the suspected criminal (e.g., unauthorized control of SNM, possession of explosives), FPF officers generally must not attempt roadblocks without the authorization of the appropriate law enforcement officials of the jurisdiction entered and must not use roadblocks to apprehend suspected misdemeanants. A roadblock must not be used without the concurrence of the supervisor of the pursuing FPF officers.
- (f) There are inherent dangers associated with the use of ramming/PIT and tire deflating devices; thus, unless exigent circumstances mandate immediate disabling of the suspect vehicle (e.g., unauthorized control of SNM, possession of explosives), FPF officers generally must not attempt ramming/PIT or use tire deflation devices without the authorization of an FPF supervisor. However, such authorization is not required when requesting such authorization may affect the timely termination of the pursuit. Ramming/PIT and tire deflation devices must not be used to apprehend suspected misdemeanants. Specific guidelines regarding the use of ramming/PIT and tire deflation devices in fresh pursuit situations must be included in the site/organization-specific guidelines submitted to the Chief Health, Safety and Security Officer, for approval. The approval authority for NNSA sites/organizations is the Associate Administrator for Defense Nuclear Security.

- (7) Aerial Assistance. Where DOE has aerial capability (helicopters or fixed-wing aircraft), specific guidelines regarding the use of aircraft in fresh pursuit situations including pursuit, observation, reporting, and deployment of response forces must be coordinated with appropriate State and other local officials. This information must be included in site/organization-specific guidelines submitted to the Chief Health, Safety and Security Officer for approval. The approval authority for NNSA sites/organizations is the Associate Administrator for Defense Nuclear Security.
- (8) Water Craft Assistance. Where DOE has waterborne capability, specific guidelines regarding the use of water craft in fresh pursuit situations including pursuit, observation, reporting, and deployment of response forces must be coordinated with appropriate State and other local officials. This information must be included in the site/organization-specific guidelines submitted to the Chief Health, Safety and Security Officer, for approval. The approval authority for NNSA sites/ organizations is the Associate Administrator for Defense Nuclear Security.
- (9) Communications. At all times during a fresh pursuit situation, the FPF officers involved must make every attempt practicable to maintain open communications and to relay as much information as possible to the FPF dispatcher and/or FPF chain of command.
  - (a) Upon the engagement of a fresh pursuit situation, the FPF dispatcher must immediately notify supervisors in the FPF command structure and the officer in charge of onsite FPF operations.
  - (b) When it becomes apparent to the pursuing FPF officers that jurisdictional line(s) might be crossed, this information must be transmitted immediately to the LEAs of the jurisdiction to be entered in accordance with the mission-specific emergency notification procedures. To the extent possible, such notification must include a description of the fleeing suspect and/or vehicle, the alleged criminal violation for which the suspect is being pursued, and the location and direction of travel of the suspect.
- (10) Coordination with Other LEAs. When other Federal, State or local LEAs with jurisdiction in the area into which the suspected criminal has fled join the pursuit, they must be primarily responsible for the continued pursuit except when the suspected criminal is in possession of DOE nuclear security assets.
  - (a) The FPF dispatcher, supervisors in the FPF command structure, and the officer in charge of FPF operations must coordinate the

pursuit efforts of FPF officers with other Federal, State, and/or other local LEAs.

- (b) FPF officers participating in the pursuit must continue to participate in pursuit operations until otherwise instructed by the FPF dispatcher, respective supervisors in the FPF command structure, or the officer in charge of FPF operations.
- (c) At least one FPF officer unit will remain available to assist the other pursuing Federal or State and other local LEAs until the pursuit is concluded or otherwise terminated. That FPF officer will thereafter provide such LEAs with all relevant information regarding the circumstances surrounding the incident.

3. **GUIDELINES FOR RULES OF ENGAGEMENT (ROE).**

- a. **Purpose.** To provide guidance in developing the rules of engagement (ROE) for use of deadly force as established in 10 C.F.R. Part 1047.

DOE's use of deadly force policy, as set forth in 10 C.F.R. Part 1047, defines the circumstances when deadly force is authorized; i.e., self-defense; serious offenses against persons; theft, sabotage, or unauthorized control of nuclear weapons, nuclear explosive devices, or SNM; and apprehension. It also states, "Its use may be justified only under conditions of extreme necessity, *when all lesser means have failed or cannot reasonably be employed*" (emphasis added). DOE has determined that the concept in the policy of "or cannot reasonably be employed" needs further site/organization-specific amplification in the post-September 11, 2001 environment. To ensure acceptable protection of critical assets, site/mission-specific ROE are needed that define the circumstances, e.g., location, time, and distance at each site or under what circumstances, when lesser means of force cannot reasonably be employed. These ROE must address the concept of hostile intent as described in this Appendix.

- b. **ROE Guidelines.** Each DOE organization with forces having the mission of protecting nuclear weapons, SNM, and/or other hazardous material that may be used as a weapon of mass destruction must develop specific ROE that incorporate the concept of hostile intent.

The determination of specific ROE must consider the type of materials or other assets being protected, situational/environmental conditions, FPF strength and capability, adversarial task times, characteristics, and capabilities as described in the current DOE O 470.3B, *Graded Security Protection (GSP) Policy*, and consequences of asset loss. The ROE must clearly state under what conditions the circumstances of hostile intent have been met. Depending on certain conditions, the circumstance of hostile intent may be met even if no shots have been fired.

- c. Use of Directed Energy and Remotely Operated Weapons Systems (ROWS). The potential use of new weapon systems, e.g., directed energy and ROWS within DOE, is consistent with 10 C.F.R. Part 1047 and should be considered when formulating ROE. It is DOE policy that a human being must make a conscious decision to employ all weapons systems capable of delivering deadly force before each operation of such equipment; i.e., fully automated use is not permitted.
- d. Approval. The completed ROE must be submitted to the DOE cognizant security authority for review and approval. Upon approval of such ROE, orders/procedures must be updated to include mission-specific examples of likely scenarios where the use of deadly force may and may not be authorized.

## **APPENDIX B. PERFORMANCE TESTING**

1. PERFORMANCE TESTS (PTs). PTs must be used to realistically evaluate and verify the effectiveness of FPF programs, identify and provide needed training for personnel, identify areas requiring system improvements, validate implemented improvements, and motivate personnel. Such tests must adhere to the requirements found in this Appendix.
  - a. Limited Scope Performance Test (LSPTs).
    - (1) LSPTs may be either scheduled or unannounced. The tests must be used to determine the level of FPF skill or capability or to verify different elements of the FPF program. LSPTs must be conducted to realistically test any operation or procedure, verify the performance of a policy requirement, or verify possession of a requisite knowledge or skill to perform a specific task that falls within the scope of FPF responsibility.
    - (2) The tests may involve large numbers of FPF personnel working together, or they may involve an individual or a small team. When individuals or small teams are tested, repetitions of the test may be conducted with each individual or team. Examples of these tests include individual and team tactical movement, defensive and offensive positioning, arrest and control techniques, building clearing, handling civil disturbances, containment operations, command and control activities, implementation of protection strategies, or any individual components of these activities.
    - (3) Any element of FPF responsibility, as determined by mission procedures and job analysis, may be tested. LSPTs may involve the use of dedicated engagement simulation systems (ESS) [e.g., multiple integrated laser engagement system (MILES)], dye-marking cartridge (DMC), blank-fire, or inert systems, and such use must meet the operational and safety requirements involving the conduct of Force on Force (FoF) exercises in paragraph 8c, below, where applicable.
  - b. Validation FoF (VFoF).
    - (1) A VFoF exercise is a major test of the overall effectiveness of all elements involved in response to *Graded Security Protection (GSP) Policy* and mission-specific threats and is also used to validate mission-specific protection strategies. VFoF exercises must be held annually (at least every 12 months) for all missions meeting the requirements for an armed FPF.
    - (2) VFoF scenarios must include the parameters of the various adversary weapons, equipment, number of adversary personnel, and methodologies as postulated in the GSP. Scenario content must be controlled on a strict need-to-know basis to foster realistic exercise activities and evaluation. Exercises must be planned, announced in advance to all participating parties, and conducted during specified time periods.



- (3) Personnel must be designated and briefed in advance to act as adversaries.
- (4) All weapons used by exercise participants must be dedicated ESS weapons. For this reason, if an exercise involves an operating facility as opposed to a test area, a “shadow force” of FPF personnel must be deployed for protection of the safeguards and security (S&S) interests. Interface procedures, including rules of conduct for all participants, controller actions, exercise boundaries, and off-limit areas must be developed and documented. Procedures for communication between the simulated and shadow forces must be developed to ensure no compromise of S&S during the exercise. All exercise participants, controllers, and the shadow force must be briefed on the interface and communication procedures.

c. Command Post Exercise (CPX).

- (1) A CPX is conducted to observe and evaluate a crisis management team’s overall handling of simulated safeguards and/or security or a natural disaster incident. A CPX may involve a local Emergency Operations Center (EOC) or multiple centers, including the DOE Headquarters EOC.
- (2) CPXs may be either announced or unannounced and may vary in scope and time as dictated by the purpose of the exercise. A security-related CPX must be based on the GSP and the mission-specific threat. The CPX must be used to evaluate both tactical and technical assessments and decisions.
- (3) Lines of authority, the interrelationship of various organizational components in crisis mitigation, and the timeliness of reporting and decision making must be considered in the overall evaluation. Facility and equipment availability must also be evaluated.

d. Command Field Exercise (CFX). A CFX is an extension of a CPX and is conducted to test the interaction among various support organizations, site management, and the FPF to a simulated incident. Procedures, tactical intelligence, communications, logistics, and the interfaces between Federal and contractor support systems must be tested during a CFX. Such exercises must be planned and announced in advance to all participating personnel. They may be combined with FoF exercises.

e. Joint Testing Exercise (JTX). When a VA or performance test indicates a need for outside agency support for the successful mitigation of a security incident, and such support is properly documented in the site security plan (SSP), the support expected from outside agencies must be covered by a formal memorandum of understanding (MOU). JTXs must be conducted annually (at least every 12 months) and consist of an FoF, CPX, or emergency management exercise with these agencies to determine the agencies’ abilities and capabilities to respond to

mission threats as documented in the SSP and agreed to in the MOU. Annual exercises with outside agencies must include scenarios involving required mission protection strategies including recapture, recovery, and pursuit, as applicable. The frequency of testing outside resources beyond the annual FoF exercise requirement must be based on the degree of support anticipated and approved by the DOE cognizant security authority.

2. COORDINATION. When a CPX or CFX involves a demonstration of mission-level emergency response capabilities, the development and conduct of the exercise must be coordinated with the appropriate mission-level emergency management organizations.
3. TESTING FREQUENCY. Performance testing must be conducted as stated in Table 1, Testing Frequency.

**Table 1. Testing Frequency**

Type of Performance Test	Minimum Performance Test Frequency
LSPT	As required by the Performance Assurance Program.
VFoF	1/year/facility/organization for all sites/organizations with armed FPF.
CPX	1/year/site or mission type.
CFX	1/year/mission type.
JTX	As required per SSP, 1/year/mission type as applicable.

NOTE: Annual requirements for VFoF, CPX, CFX, and JTX exercises may be combined when determined appropriate in SSPs

4. PT AND TRAINING ACTIVITIES PLANNING.
  - a. PT and Training Activity Plans. The PT plan and training activity plan (or lesson plan, procedures, etc.) must define the scenario/activity and the exercise/training area in sufficient detail to allow a valid hazard assessment to be performed. The following additional information must be included in a PT/training plan involving the use of ESS, as applicable:
    - (1) personnel safety and health requirements;
    - (2) vehicle safety;
    - (3) storage, handling, and the safe use of firearms, ammunition, and ESS equipment;
    - (4) facility security to include shadow force operations; and

- (5) other applicable considerations that may be necessary as identified in the governing risk assessment(s).

NOTE: Where applicable, approved safety and ESS procedures may be referenced in the PT plan and training plan and are not required to be restated in their entirety unless required by local implementing procedures.

b. S&S Planning. As applicable, planning must address the following topics:

- (1) the specific element being tested to identify the specific element of the SSP training program, etc., being evaluated;
- (2) the objective(s) of the test; e.g., to evaluate personnel, equipment, and systems against established requirements;
- (3) the scenario designed to ensure that the objectives of the test are met (e.g., an adversary plan that the DOE cognizant security authority and the trusted agents (TA)s has validated as credible in all aspects of conducting the attack);
- (4) the applicable criteria to describe the standards for evaluation as derived from appropriate source documents;
- (5) the specific safety considerations consisting of a safety plan that contains information derived from the risk assessment, the facility safety walk down, and specific safety requirements that may apply to the PT or training being conducted according to safety considerations may addressed in the approved PT procedures on file;
- (6) the specific S&S considerations to include information such as required compensatory measures that are in place during the PT;
- (7) the test results documentation and after action reviews to include a summary of controller and evaluator information and conclusions derived from this information;
- (8) a process in place to allow for after-action reviews by appropriate personnel as determined by the DOE cognizant security authority; and
- (9) a classification review of the PT plan, documentation of the PT results, and completion of an after-action report.

c. FoF Exercise Plans. The following areas must be considered and included, as applicable, in the development of a typical FoF plan or for an LSPT involving the use of ESS.

- (1) Objective(s). The objective(s) must be stated succinctly. This will consist of a concise statement of the goal(s) such as to evaluate against established

requirements, to enhance preparedness through training, and/or to evaluate potential upgrades to systems or equipment.

(2) Scenario Description.

- (a) Describe the Threat Scenario. Define the target and the threat to provide an understanding of the nature of the exercise. Specific information in this area may be classified.
- (b) Describe the Facility(ies) Involved. Establish the exercise boundaries and provide clear indication of the exercise area, the facilities involved, and out-of-bounds areas/limits.
- (c) Define the Required Response. Describe the desired FPF response to adversarial actions. This may entail citing the applicable existing response plan or a standing operating procedure. Specific information may be classified.
- (d) Establish the Schedule. Define PT initiation, time/date, and schedule of events. Specific information in this area may be classified.

(3) Test Methodology.

- (a) State how the exercise/validation will be conducted.
- (b) Identify the number of PT, exercise and/or event iterations to be conducted.
- (c) Identify required pre/post-exercise briefings (see example provided in paragraph 11 of this Appendix).
- (d) Establish appropriate evaluation criteria (e.g., statistical model, test criteria, mathematical formulas, or methods, lesson plans, as applicable).

(4) Test Control. Identify exercise control measures.

- (a) Establish the PT control chain of command.
- (b) Describe controller responsibilities specific to the PT/exercise/scenario.
- (c) Explain use of TA(s).
- (d) Describe non-participant (observer) controls.
- (e) Describe PT and emergency communications systems.

- (f) Describe accountability and control of ESS and live fire firearms and ammunition.
  - (g) Describe the controls for the shadow force, if applicable.
- (5) Resource Requirements. Identify resources necessary to control and conduct the exercise.
  - (a) Participants.
    - 1 Shadow force.
    - 2 Opposing force (OPFOR).
    - 3 Fixed FPF posts.
    - 4 Special response force.
    - 5 Mobile FPF units.
    - 6 Airborne FPF units.
    - 7 Waterborne FPF units.
    - 8 Canine units.
    - 9 Local law enforcement agency (LEA) units.
  - (b) Logistics.
    - 1 Equipment.
      - a Firearms.
      - b Vehicles.
      - c Communications.
    - 2 Supplies.
    - 3 Safety/health.
- (6) Training Requirements.
  - (a) Describe prerequisite training for FPF, OPFOR, and role players (e.g. scenario-specific training).
  - (b) Describe prerequisite training required for controllers.

- (7) Exercise Coordination Requirement. Describe all organization coordination requirements.
  - (a) Continuation of Operations.
    - 1 Shadow force.
    - 2 Operations area(s).
    - 3 Building/area occupancy.
  - (b) Safety and Health Oversight and Support.
    - 1 Emergency medical.
    - 2 Fire department.
    - 3 Radiation protection.
    - 4 Appropriate population notification.
  - (c) Essential local LEAs.
  - (d) OPFOR Coordination.
    - 1 Arrange OPFOR team lodging, vehicle support, and other logistical requirements.
    - 2 Develop mission order for use in tactical planning.
    - 3 Develop scenario-based training schedule.
    - 4 Negotiate weapons effects for vehicles and/or structures that cannot be MILES-harnessed.
    - 5 Coordinate OPFOR controller assignments.
- (8) Compensatory Measures. Describe any compensatory measures required during the PT.
- (9) Safe Exercise Halt Procedures.
  - (a) Actual alarm response.
  - (b) Response into exercise area (treatment, handling, and evacuation of injured during actual emergencies and accidents).
    - 1 Operational anomalies.

2 Administrative hold.

3 Exercise freeze.

4 Weather.

(10) End of Exercise Accountability.

(a) Personnel.

(b) Firearms.

(c) Equipment.

(11) Radiation Monitoring.

(12) Shadow Force.

(a) Release and control.

(b) Accountability before restart/resumption of exercise activity.

(13) Coordination and Approval. Review and/or sign off (concurrence), as applicable.

(a) FPF management.

(b) Facility security officer.

(c) Environment, safety and health (e.g., facility representative).

(d) FPF range master.

(e) FPF training manager.

(f) DOE cognizant security authority.

(14) References. Identify any applicable site/organization-specific procedures.

d. Performance Test Report. The PT report must address the following:

(1) detailed results of the exercise, including evaluation of applicable criteria;

(2) lessons learned; and

(3) required corrective actions and/or mitigation factors to address identified vulnerabilities.

5. SAFETY. PTs must be conducted with the highest regard for the safety and health of personnel, protection of the environment, and protection of Government property. Specific safety considerations and requirements for conducting PTs are found in this Appendix. Site/organization-specific procedures addressing the conduct of PTs, the use of ESS, and safety considerations must be prepared by FPF management, submitted to the DOE cognizant security authority for review and approval, and incorporated into the site/organizational performance assurance program (see DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*).
6. COMMAND AND CONTROL.
  - a. Command and Control System. A system of command and control must ensure that ESS safety and other requirements of this Manual are met and maintain an environment free of the recognized risks associated with conducting certain PTs and training activities. The command and control system must ensure that rules of engagement (ROE) are followed; specific hazards and safety concerns, as identified in a risk assessment, are appropriately addressed; and exercise continuity is maintained. The command and control system depends on a contingent of personnel selected and specifically trained to control ESS PTs.
  - b. Command and Control Responsibilities. The controller staff must be organized in a manner that facilitates the control of all affected locations and the control and coordination of all events to be initiated during the exercise. Individual controllers may have several duties assigned depending on where they are and what activities are occurring in their areas of responsibility. Their first and foremost responsibility is ensuring safety during exercise activities. This includes ensuring that all participants adhere to the safety procedures and ROE. Event controllers at a particular exercise location are responsible for ensuring that prompt action is taken in accordance with established safety procedures to prevent accidents or unsafe conditions. Controllers are responsible for enforcing or implementing the following requirements during exercises:
    - (1) conducting safety checks and inspections of all personnel under their control for live rounds or other prohibited ammunition in DMC/Paint Ball (DMC/PB) or MILES PTs/exercises;
    - (2) ensuring that no live firearms or ammunition of any type is allowed within the ESS PT area, except those under the direct supervision of the shadow force controller;
    - (3) ensuring PT participants and observers wear and use appropriate safety equipment;
    - (4) ensuring that personnel under their control comply with the PT plan to include the ROE and the safety regulations;



- (5) ensuring that ESS firearms handling and manipulation procedures comply, or are compatible, with procedures for live fire training/operations;
- (6) terminating a specific activity or the entire PT if unsafe conditions or acts are observed; and
- (7) ensuring the accountability of personnel and equipment at the termination of the PT and reporting the results to the senior controller and shadow force controller.

NOTE: No DMC/PB rounds are allowed in MILES exercises unless approved hybrid ESS weapons are used. Safety checks and inspections should also be conducted for other prohibited articles and for general safety. The results of these checks and inspections must be reported to the senior controller before the PT begins.

- c. Command and Control Positions. Every FoF PT and related activity must be regulated by controllers under the supervision of an exercise (or Test) director, who is responsible for overall control of the PT. The exercise director must be supported by a senior controller, a safety controller, an ESS controller, a shadow force controller, and specific event controllers. These individuals must be trained to fulfill their responsibilities to ensure activities are accomplished safely.
  - (1) **Exercise Director.** The exercise director is a senior Federal official charged with overall responsibility for the exercise, to include pre-planning activities, assuring command and control during the exercise, and follow-up for any lessons learned. The exercise director:
    - (a) is responsible for ensuring that all appropriate safety and S&S measures are in place before the start of, and during, the exercise;
    - (b) is responsible for signaling the beginning and end of exercises and for guiding and supervising the other controllers;
    - (c) has final authority for exercise halts due to potential safety or S&S concerns; and
    - (d) should have a counterpart management official when operational facilities are the site of the exercise.
  - (2) **Senior Controller.** The senior controller reports directly to the exercise director and is responsible for coordinating, establishing, and supervising the exercise controller staff; identifying the number of personnel required to control the exercise; ensuring that appropriate controller training is conducted; and developing and implementing the concept of operation for the exercise director. The senior controller ensures that:

- (a) all controllers have attended onsite pre-exercise controller training and scenario orientation;
  - (b) a sufficient number of technically qualified controllers are available to support each exercise event;
  - (c) all participant groups, as determined by the exercise director, are thoroughly briefed on their respective exercise scenarios, ROE, safety concerns, emergency procedures, medical response, munitions and firearms safety, and vehicle and personnel safety (see paragraph 11 in this Appendix for an example of a pre-exercise briefing format);
  - (d) exercise debriefings are conducted and documented to ensure that
    - 1 controllers understand their responsibilities in support of exercise documentation and
    - 2 controller debriefings are coordinated and documented; and
  - (e) OPFOR personnel from other sites, locations or agencies:
    - 1 receive training on site/organization-specific procedures for ESS exercises and safety and health protection and
    - 2 participate in safety walk downs of the exercise area as permissible and required.
- (3) Safety Controller. The safety controller is responsible for assessing the PT plan and ensuring that walk downs of the exercise area and safety briefings are conducted. The safety controller also ensures that safety briefings specify the ROE, medical response, munitions and firearms safety, and vehicle and personnel safety. The safety controller provides support to the senior controller and must remain in contact with the senior controller at all times during the exercise. In addition, the safety controller:
- (a) assists the senior controller in the development and conduct of pre-PT controller training;
  - (b) ensures that adequate safety walk downs are conducted to determine site suitability before the PT;
  - (c) ensures that identified controllers are required to go on each safety walk down;
  - (d) verifies that all required personnel are present for each safety walk down;

- (e) conducts a safety walk down of the PT area with the exercise director, senior controller, event controllers, shadow force controller, and other selected controllers (as appropriate) before the exercise; and
  - (f) coordinates with emergency management personnel to ensure emergency medical and fire protection services will be present or on call for the duration of the PT.
- (4) ESS Controller. In PTs that use ESS equipment, the ESS controller is responsible for:
  - (a) issuing and accounting for all ESS firearms, weapons, and support equipment;
  - (b) inspecting all ESS ammunition to be used before it is issued;
  - (c) testing the ESS equipment for operability in conjunction with the firearm before the PT begins; and
  - (d) collecting all ESS firearms and ammunition and pyrotechnics at the conclusion of the PT.
- (5) Shadow Force Controller. A shadow force controller with the experience necessary to ensure that the shadow force responds as required to a real security incident, which may occur during a PT, is a critical participant. The shadow force controller is responsible for ensuring that:
  - (a) voice communications are established and maintained with the senior controller throughout the course of the PT;
  - (b) all live firearms are maintained under his/her supervision and shadow force personnel do not come in contact with PT participants with ESS equipment; and
  - (c) the shadow force knows the PT area and emergency response procedures.

NOTE: The shadow force must remain under direct supervision and control during the PT, and after coordination with the senior controller, will be released in the event of an actual alarm or other security incident in accordance with the approved PT plan.

- (5) OPFOR Controller. The OPFOR controller must possess sufficient tactical expertise, knowledge, and physical ability to ensure that his/her presence does not interfere with, or hamper the actions of, the OPFOR in completing planned scenario actions. The OPFOR controller is responsible for ensuring:

- (a) voice communications are established and maintained with the senior controller throughout the course of the PT; and
  - (b) the OPFOR adheres to the ROE and planned scenario(s) actions.
- (6) Event Controllers. Event controllers report to the senior controller and are responsible for executing control over specific categories of PT activity, including one or more events. Event controllers are responsible for ensuring nonparticipating facility personnel in the PT area are aware that an exercise is to be conducted and that they are not to interfere with the flow of the exercise. Event controllers must ensure that all PT participants under their control:
- (a) are aware of procedures for halting a PT for safety reasons or for an actual emergency;
  - (b) are not in possession of any live firearms or ammunition;
  - (c) as applicable, have been provided with instruction on the hazards of light anti-tank weapon (LAW) simulators, and any personnel using a LAW simulator have received comprehensive instruction on its usage before PT initiation;
  - (d) have operable communications equipment;
  - (e) are fully trained and qualified if assigned responsibilities to deploy hand-thrown pyrotechnics, flash-sound diversionary devices, and/or chemical agents; and
  - (f) are instructed that full-charge flash-sound diversionary devices must not be deployed into occupied areas or rooms and that the minimum distance they may be deployed near personnel in open areas must be consistent with the specific pyrotechnic technical data sheet or material safety data sheet in no case less than 50 feet.

NOTE: Sub-charge, flash-sound diversionary devices may be deployed into occupied areas or rooms with the approval of the appropriate safety organization.

- (7) Evaluators. Evaluators are PT observers with responsibility to record the PT progress, the actions of participants, and the results of actions. Evaluator observations are used to determine exercise results. Controllers may also be tasked to conduct evaluation duties. Evaluators are responsible to stop PT activities for safety reasons.
- (8) Trusted Agents (TAs). In preparing for and conducting a PT, it may be necessary to provide sensitive information to selected non-participants and participants regarding the occurrence and/or timing of events to coordinate

realistic testing. Such individuals may be designated as TAs. The term is not normally applied to controllers, who may also possess the sensitive information (PT timing or planned events).

- (a) Role. The TA serves as a liaison between a simulated OPFOR and the FPF being evaluated. PT planners must determine the number of TAs necessary.
- (b) Responsibilities. The TA works with the OPFOR commander to develop the PT scenario(s). The TA identifies potential hazards in the PT area and works with the exercise director to establish recommended controls that minimize the likelihood of injuries/illnesses among PT participants. To successfully fulfill the role of TA, the individual must divulge as little information about the PT scenario as possible while ensuring that appropriate measures are taken to ensure the PT is conducted safely.
- (c) Selection Criteria. Individuals selected to serve as TAs must:
  - 1 Have sufficient understanding of the FPF's security posture, response plans, and capabilities to predict how the FPF is likely to respond;
  - 2 Be familiar with the GSP used in VAs and the SSP to assist the OPFOR in developing realistic scenarios;
  - 3 Be familiar with the targeted facility to understand the safety implications of OPFOR activities;
  - 4 Be capable of recognizing potential radiological, chemical, biological, explosive, occupational, and other hazards in the PT area;
  - 5 Either have the safety and health skills to establish appropriate controls or be familiar with the evaluated site's organizational structure to obtain the necessary technical support (e.g., from the facility manager, safety professional, industrial hygienist, health physicist, et al.); and
  - 6 Have the management support necessary to resolve issues that may cut across organizational lines of authority and responsibility.
- d. Controller and Evaluator Training. The command and control system depends on a contingent of personnel selected and specifically trained to control ESS PTs. In addition to being trained to oversee exercises, controllers must receive training commensurate with the scope, complexity, and special nature of the activity.

Based on the nature and complexity of the PT, specific controllers may be required for the shadow force, ESS equipment issue and accountability, occupational safety and health, and special or high-risk activities (e.g., LAWs, explosive breaching, pyrotechnics, rappelling, etc.). Evaluators must receive controller training in order to perform controller duties.

- (1) Formal Training. All personnel assigned controller or evaluator duties must receive formal documented training for the safe conduct of a PT. The controller and evaluator training program must be approved by the DOE cognizant security authority and must include the following topics.

- (a) Controllers and Evaluators.

- 1 Purpose.

- 2 Responsibilities.

- 3 Duties.

- (b) General Knowledge Requirements.

- 1 ESS equipment/pyrotechnics.

- 2 ESS weapons versus comparable live fire weapons capabilities.

- 3 Safety.

- a Firearms.

- b Vehicle use.

- c Participants.

- d Environment, safety, and health.

- e Medical.

- 4 Exercise Plans.

- a Schedules.

- b Scenarios/scenario variables, as applicable.

- c Required FPF actions.

- d OPFOR actions, as applicable.

- e Required and assigned controller/evaluator actions, as applicable.
  - f Role player actions, as applicable. Administrative Hold/Exercise Freeze or Termination.
  - g ROE.
  - h Communications.
  - i Administration.
  - j Security.
- (2) PT Scenario-Specific Briefings. In addition to the formal training discussed above, controllers/evaluators must receive PT and scenario-specific briefings before each PT. These briefings must include:
  - (a) individual specific tasks and responsibilities before PT initiation;
  - (b) procedures for the following: exercise freeze, administrative hold, ROE for participants, vehicle safety, vehicle kills, explosives, firearms and ammunition, ESS, general safety, and actual emergencies and security incidents;
  - (c) description and demonstration of the desired method for recording information about the events that transpire during the PT;
  - (d) planned simulations/artificialities, how they will affect the PT, when they will be injected, and the procedures for formulating and introducing other simulations/artificialities, as needed, after PT initiation;
  - (e) transportation arrangements for controllers, exercise participants, data collectors, and observers to the PT location and during PT activities;
  - (f) purpose of the after-action meeting, the information that should be brought to the meeting, and the location for the meeting;
  - (g) location for the issue and turn in of equipment, accountability measures, and detailed instructions on the equipment required for each controller during the PT;
  - (h) detailed description and demonstration of the radios the controllers operate during the PT and explanation of the importance of operating only on the channel and frequency specified in the communications plan;

- (i) detailed briefings and demonstrations, as appropriate, on each piece of ESS equipment to be used in the PT and how and where it will be used;
- (j) map(s) depicting the route to the PT area and conducting a walk-down with all controllers/evaluators, as necessary;
- (k) PT emergency procedures;
- (l) guidelines for information control and established policies and procedures for the protection of PT-related classified information and unclassified controlled information; and
- (m) methodology for identifying controllers/evaluators and donning and wearing of any apparel to be used for identification purposes, as applicable; and directions to, and scheduled time(s) for, controller/evaluator meetings.

7. ENGAGEMENT SIMULATIONS SYSTEMS (ESSs).

- a. Scope. PTs must be used to realistically evaluate and verify the effectiveness of FPF programs, identify and provide training for personnel, identify areas requiring improvements, validate implemented improvements, and motivate FPF personnel. FPF personnel must, through training, maintain competencies needed to perform assigned tasks required to fulfill the FPF mission.
  - (1) ESSs are primarily used to simulate conditions during FPF PTs and training activities involving FoF and deadly force-related situations. The use of ESS allows data to be collected to evaluate FPF performance in numerous areas, e.g., individual and team tactics, firearms proficiency, tactical movement, deadly force training, ROE, etc. ESS also provides a means to validate protection strategies and hands-on training to FPF personnel. The requirements contained in this Manual pertain to the use of ESS during the conduct of FPF PTs and training activities. In many cases, these requirements specifically address the conduct of FoF PTs; however, they must also be applied when applicable to FPF LSPTs and training activities involving one-on-one and deadly force engagements.
  - (2) FPF PTs and training activities must be conducted with the highest regard for the safety and health of personnel, protection of the environment, and protection of Government property. Safety issues must be considered from the inception to completion of these activities. DOE directives require that all applicable safety standards and requirements be met before conducting PTs and training activities involving the use of ESS and associated equipment.



- b. Types of ESS. There are six major types of ESS used within DOE for the conduct of simulated engagements during FPF PTs and training activities.
- (1) Multiple Integrated Laser Engagement Systems (MILES). MILES consist of weapons-mounted laser transmitters and harness-mounted laser sensors placed on potential targets (e.g., personnel, vehicles, and buildings) to enable accurate and realistic assessment of the effects of FPF and adversary weapons fire. Examples of MILES firearms and weapons include handguns, rifles, machine guns, LAWs, and claymore mines. MILES are primarily used during FPF FoF exercises and LSPTs.
  - (2) Marking Systems.
    - (a) Dye-marking cartridge (DMC) systems consist of specially modified duty handguns, submachine guns and rifles (using a replacement barrel) and non-lethal DMCs (a lightweight, hollow plastic projectile that contains a colored, nontoxic marking compound) designed to allow for realistic decisional shooting situations during FPF PTs and training activities.
    - (b) PB systems consist of paint guns, also called “markers,” that come in a variety of shapes and styles. They may be powered by carbon dioxide (CO<sub>2</sub>), nitrogen (N<sub>2</sub>) or compressed air. The projectile, or paintball, is a round, thin-skinned gelatin capsule containing colored liquid. The liquid is non-toxic, non-caustic, water-soluble, biodegradable, and rinses out of clothing and off skin with mild soap and water.
    - (c) DMCs and PB rounds have very limited effective and maximum ranges. Thus, both systems are used typically during LSPTs and training activities to simulate close quarters battle (CQB) and decision shooting situations.
  - (3) Hybrid DMC/ESS Firearm. A firearm that has been modified or designated by a DOE-certified armorer as a DMC weapon that feeds, fires, and functions DMC ammunition. The modification reduces the ability for a live round to chamber in the weapon. Additionally, the weapon is mounted with a MILES transmitter.
  - (4) Blank-Fire Systems. Blank-fire equipment consists of specially modified duty firearms (that cannot fire live ammunition or projectiles) and blank-fire cartridges (loaded with powder but contain no projectile) designed to provide realism during PTs and FPF training on the use of deadly force and the escalation of the force continuum.
  - (5) Inert Weapons Systems. Inert weapons systems consist of simulated firearms and weapons or actual firearms and weapons that have been

rendered incapable of firing live or blank-fire ammunition. Inert weapons systems are typically used to simulate firearms and weapons during FPF control and restraint training and LSPTs.

- (6) Airsoft Systems. Airsoft systems, sometimes referred to as soft air systems, consist of replica duty weapons that propel 6mm plastic or biodegradable BBs by means of either rechargeable batteries or green gas (HFC 143a). Airsoft weapons training systems can be used in virtually any work area. They will not accept live or blank rounds.
- (7) Other Types of ESS. Other types of ESS and associated equipment may be used during FPF PT and training activities to simulate adversary and FPF actions and real-world incidents. Pyrotechnics and smoke generators may be deployed to simulate fires and chemical agents. Hand-thrown smoke grenades may be used to cover adversary and FPF tactics or to provide diversions. Practice or inert grenade systems can be used to simulate thrown explosives and can be followed up by flash/sound diversionary devices, air horns, and other devices to simulate explosions.

## 8. ESS SAFETY.

### a. General Safety.

- (1) Safety is a major concern in any PT or training activity. Safety rules must be followed to minimize the potential for accidents/injuries during activities involving the use of ESS. Management, controllers, and participants must anticipate and react to unsafe situations. Realism must be achieved, and safety must be considered in the actions of all participating personnel. Integrating realistic safety requirements into scenarios involving ESS enhances participant safety under both operational and ESS activities.
- (2) All PTs and training activities must be governed by plans and procedures that specifically address safety issues while remaining consistent with realistic evaluation and training. Risk assessments must include procedures for any materials, equipment and/or operations that are identified as potential hazards during the conduct of any scenario. Safety plans must cover facility safety concerns specific to scenarios being conducted. Preparations must also be made to respond with appropriate medical assistance to situations that could occur.
- (3) ESS PTs and training activities must be regulated by controllers and instructors who have authority regarding safety. Controllers and instructors are responsible for ensuring that all operations are conducted safely. Controllers, instructors, any participant, and/or any individual may stop an evaluation and/or training activity for safety reasons. Safety is paramount in exercise planning and execution.

- b. Participant Responsibilities. The following paragraphs specifically address safety-related considerations that impact exercise personnel and/or equipment; however, they apply to all ESS activities. Personnel acting as adversary/OPFOR team and response force members must be briefed as to their individual responsibilities to include:
- (1) avoiding hazardous areas;
  - (2) monitoring their own physical condition for signs of overexertion;
  - (3) watching for other participants who appear injured or otherwise are in need of assistance, and immediately ceasing ESS activities in order to render aid and notify a controller or instructor;
  - (4) reporting injuries, regardless of severity, to the nearest controller, instructor, or safety representative;
  - (5) handling and using all ESS firearms and weapons safely as though they were live fire weapons;
  - (6) inspecting issued MILES weapons and blank ammunition to ensure that no live ammunition and the proper blank ammunition is present and that the MILES weapons and magazines, where used, are properly color-coded;
  - (7) inspecting issued DMC firearms and DMC ammunition to ensure that no live or blank-fire ammunition is present and that the DMC firearms and magazines, where used, are properly color-coded;
  - (8) inspecting issued blank-fire firearms and blank ammunition to ensure that no live or DMC ammunition is present and that the blank-fire weapons, and magazines, where used, are properly color-coded;
  - (9) inspecting inert weapons to ensure that they are incapable of operation and to ensure that no ammunition is present and that they are properly color-coded;
  - (10) while conducting ESS activities, knowing what the participant should do in the event the FPF shadow force is deployed and what actions the shadow force will take;
  - (11) limiting physical contact during an arrest scenario to that force necessary for searching and handcuffing while refraining from violent physical contact;
  - (12) refraining from attempts to disarm participants by grabbing their firearm or person;

- (13) ascending or descending from elevated positions by ladder, stairway, or other safe method; jumping from elevated positions only if necessary and safe;
- (14) avoiding hot propellant gases vented from weapons systems; and
- (15) avoiding taking outdoor positions near the ESS vehicle hit indicator system, which contains an explosive charge.

NOTE: The ESS vehicle hit indicator system is designed to simulate and react to firearms fire. Blasts are vented upwards and usually do not present a hazard. Participants must be careful not to position themselves above or within 10 feet of the device while outside a vehicle.

c. ESS Safety.

- (1) All firearms and weapons used in ESS exercises and training activities must be permanently modified and dedicated for ESS use only. The only permissible exceptions are the M-60, HK-21, M-249, and M-240 machine gun receivers. ESS modifications of these machine guns are limited to the barrel and feed tray, which gives them additional flexibility. ESS modifications must comply with the DOE firearms modification list.
- (2) With the exception of single-shot grenade launchers, MILES firearms must be equipped with approved blank fire adapters or blast deflectors.
- (3) Dedicated ESS firearms must not be reactivated for live fire usage without the approval of the DOE cognizant security authority.
- (4) All MILES firearms must be equipped with live-round inhibiting devices or ported chambers, plus one or more additional engineered layers of safety to prevent the accidental introduction of live rounds.
- (5) Only DMC firearms equipped with DMC conversion kits and DMC ammunition approved by the Office of Security Policy may be used. All DMC conversion kits must be designed to inhibit live rounds from being chambered. If a factory “drop-in” kit is used to modify a firearm to use DMC, a DOE-certified armorer specifically trained in the installation of such a kit must accomplish the modification. DMC systems may be fired only at participants who are at least 1 meter away.
- (6) ESS firearms used in an exercise must be inspected by a DOE-certified armorer or firearms instructor before the exercise, clearly marked as exercise firearms, closely controlled, and kept separate from any firearms not associated with the exercise. Approved color coding markings are:
  - (a) orange for MILES and blank-fire firearms and magazines, clips, and belts (first link);

- (b) blue for DMC firearms and DMC magazines, clips, and belts (first link), speed loaders, and PB systems;
  - (c) blue and orange for MILES/DMC hybrid firearms;
  - (d) red for inert firearms and weapons; and
  - (e) green for airsoft systems.
- (7) ESS firearms must not be loaded until authorized by a controller or instructor.
  - (8) Blank ammunition must not be used in tactical exercises except with ESS equipment.
  - (9) MILES firearms equipped with blank fire adapters or blast deflectors may be fired only at participants who are at least 10 feet away.
  - (10) Maintenance and adjustments to laser transmitters must be performed only by the supplier or by qualified site personnel approved by the supplier.
  - (11) ESS firearms must be cleaned after an exercise according to a site's standard operating procedure and repaired or removed from service if necessary.
  - (12) All ESS firearms must be inspected by a DOE-certified armorer and certified at least every 12 months. All engineered layers of safety incorporated in an ESS weapon also must be inspected.
- d. ESS Ammunition and Blank-Fire Adapters (BFAs).
- (1) Only blank ammunition magazines, clips, and belts (first link) that have been distinctively color-coded orange and modified for use with an ESS firearm may be used. The ESS magazine, clip, or belt, when used in conjunction with a modified ESS firearm, must prevent the inadvertent feeding and chambering of a live round. Caution must be exercised because a live round can be placed in the lip of some firearm magazines.
  - (2) Only DMC ammunition magazines, clips, and belts that have been distinctively color-coded may be used. Caution must be exercised because a live round can be placed in a DMC magazine lip, or in some cases, a DMC magazine can be fully loaded with live ammunition.
  - (3) Blank, DMC, airsoft, and PB ammunition must be stored separately from live ammunition and from each other, either in a different location or in a locked cabinet, and must be inspected before issuance by a controller or instructor.

- (4) Before each ESS PT and/or training activity:
  - (a) participants must inspect their firearms and person to ensure that only the proper exercise ammunition (e.g., blank ammunition for MILES and DMC/PB/airsoft ammunition for DMC/PB/airsoft exercises) and properly equipped MILES and/or DMC firearms/PB/airsoft systems are in use; and
  - (b) each firearm and all ammunition must be inspected by the responsible ESS controller/instructor to ensure that only the proper ammunition and properly equipped ESS are in use.
- (5) Manufacturers' recommendations for shelf life of DMC and PB ammunition must be followed.
- (6) LAWs/Rocket Propelled Grenades (RPGs).
  - (a) LAWs/RPGs must not be cocked until the target is identified. If the simulator is not fired at a given target but is anticipated to be fired at another target during the exercise, it must be returned to the uncocked position until the target is sighted. If the simulator is not fired, it must be in an unloaded/tube empty position before being returned.
  - (b) LAWs/RPGs must be used only in designated areas.
  - (c) LAWs/RPGs must be used only for training purposes when exclusion distances and conditions are established as though an actual LAW was being fired. The exclusion distance for the LAW/RPG is 5 feet to either side and 30 feet to the rear.
- e. Pyrotechnics, Flash-Sound Diversionary Devices, and Chemical Agents.
  - (1) Pyrotechnics and explosive simulators must be consistent with the pyrotechnics list included in the DOE-approved ammunitions list.
  - (2) Participants must never pick up thrown pyrotechnics, flash sound diversionary devices, or chemical agents, even one that appears to be a dud. Duds must be reported, as soon as possible after discovery, to the senior controller.
  - (3) Written and approved procedures for handling duds and expended devices must be included in PT procedures and applicable lesson plans. These plans and procedures must follow the manufacturer's disposal recommendations or site-approved procedures and must be implemented by properly trained personnel.

- (4) Written and approved procedures for activities such as the wiring of pyrotechnics into vehicle electrical systems and the use of booby traps and trip wires must be included or referenced in PT plans/procedures. These activities must follow manufacturer's recommendations or site-approved procedures and must be conducted by properly trained personnel.
  - (5) Smoke and obscurant generating pyrotechnics.
    - (a) Smoke and obscurant generating pyrotechnics may not be used indoors or in confined spaces.
    - (b) Planning for smoke use must address the possible effects on facilities, production processes, workers and other parties (e.g., nearby roads and vehicle drivers, adjacent facilities and workers, air intake systems).
    - (c) Participants must avoid unnecessary exposures to smoke systems by staying upwind of the smoke, where possible, by avoiding entry to the smoke cloud, by limiting the time traversing the cloud, and by choosing routes involving the least densities of smoke consistent with the tactical objective. Full immersion in high-density smoke for extended periods shall be avoided where possible. If immersion cannot be avoided, respiratory protection must be used as defined in the risk analysis for the training, performance test, or FoF activity.
    - (d) Thrown smoke generators must be deployed by persons trained in their safe deployment methods and knowledgeable of their potential hazards.
    - (e) When thrown smoke generators and other pyrotechnics are deployed in training or testing activities, adequate firefighting equipment and persons knowledgeable in its use must be readily available.
    - (f) Pre-activity safety briefings must address the safety concerns of the use of smokes and obscurants, the controls for the deployment of smoke, and the safety controls established to control and limit personnel exposures.
- f. Vehicle Safety. The following requirements apply to the use of vehicles during an exercise.
- (1) Vehicles must not be mounted or dismounted until after they come to a complete stop.

- (2) All personnel in moving vehicles must wear seat belts at all times. Passengers may ride in the back of moving open vehicles provided that restraint devices are installed and used and they remain seated in the vehicle.
  - (3) Vehicle maneuvers (e.g., accelerations and decelerations, cruising, turns, etc.) must be made in accordance with local vehicle operating procedures.
  - (4) When a PT/training scenario requires a roadblock, it will be simulated by placing a blocking vehicle on the shoulder of the road and by ensuring that a controller is notified that a roadblock has been established. If the blocking vehicle could effectively obstruct the roadway, the controller should not allow the vehicle being blocked to pass.
- g. Rules of Engagement (ROE). Specific ROE must be developed and documented for each FoF or man-on-man PT/training activity, as applicable.

9. MARKING SYSTEMS ACTIVITIES.

- a. General Requirements.
- (1) All DMC/PB PTs must be monitored by a controller who is a National Training Center (NTC)-certified firearms instructor or has received specialized training.
  - (2) All DMC/PB training activities must be conducted by a NTC-certified firearms instructor.
  - (3) Instructor/controller-to-shooter ratios will be dictated by the type of training/PT scenario. Participants must be familiar with the DMC firearm/PB system to be used in the PT or training activity.
- b. Safety Considerations. In addition to the safety considerations described in previous sections, the following safety considerations specific to DMC and PB activities must be included in training or PT activities that use DMC/PB.
- (1) DMC/PB ammunition velocity could exceed the American National Standards Institute (ANSI) Z87.1 standard so protective eyewear must meet ANSI or the manufacturer's specification, whichever is more stringent.
  - (2) All DMC/PB equipment must be maintained and tested in accordance with manufacturer specifications.
  - (3) All DMC/PB personal protective equipment (PPE) must be visually inspected before each use.



- (4) Helmets with spring-loaded face shields must not be used during DMC or PB activities.
- (5) DMC/PB will not normally break vehicle glass that does not have defects or prior damage. However, if the glass is already cracked, a DMC/PB round may break it. Repeated or rapid fire on undamaged plastic or glass may cause breakage. DMC will dent most soft building materials including drywall, plywood, paneling, and hollow core doors; however, they will generally not penetrate them.
- (6) Wearing clothes with a tight-weave fabric, such as that in military-type/field uniforms or coveralls, is required to cover and protect any exposed skin.
- (7) If exposed body armor is used, it must be dedicated for DMC/PB use only.
- (8) Testing of face and eye protection equipment by subjecting it to firing of DMC and PB projectiles from the actual DMC firearms or PB gun to be used is recommended. Testing must also include concentrated full automatic fire when such firearms are to be used. For information purposes, the manufacturer of the Avon protective mask recommends that outserts be used on the lenses of its masks when used in DMC/PB exercises.
- (9) DMC/PB systems must not be fired at personnel closer than 1 meter.
- (10) DMC ammunition must not be fired in standard, non-DMC-modified firearms because plastic cartridge components could stick in the bore causing a safety hazard.
- (11) Blank ammunition must not be fired in DMC firearms due to potential hazards from muzzle gasses and ejected material.
- (12) Face protection must provide protection from DMC/PB projectiles entering under the face mask when the wearer tilts his/her head back or looks upward.

c. Ammunition and Firearms Conversion Kits.

- (1) Only DMC firearms equipped with conversion kits, PB systems, and ammunition approved by the DOE cognizant security authority may be used.
- (2) All DMC/PB firearms must be distinctively color-coded blue.
- (3) All DMC firearms conversion kits must be designed to inhibit live rounds from being chambered.

- (4) DMC/PB ammunition must be used in accordance with the manufacturer's recommendations for storage conditions and shelf life. The marking compound in DMC/PB may solidify and harden in older ammunition. Poor marking performance may also be encountered with older DMC and PB ammunition. Personnel may have increased risk of potential injury from DMC/PB ammunition projectiles if the marking compound becomes hardened through age or is used in cold temperatures.
- d. Personal Protection Equipment (PPE). A risk assessment must determine the type of PPE required for the specific PT/training activity being conducted.
  - (1) The following PPE must be used when conducting training/PTs involving the use of DMC/PB during FoF and one-on-one engagements.
    - (a) Eye protection.
    - (b) Full face and head protection, which includes covered protection for the ears (i.e., helmets specifically designed for use with DMC or duty equipment that provides equivalent protection).
    - (c) Hand protection (gloves).
    - (d) Groin protection.
    - (e) Throat protection.
    - (f) Hearing protection (optional—unless diversionary devices are being used or exercise is conducted in an environment that requires noise protection). Sound levels generated by DMC/PB use are below Occupational Safety and Health Administration requirements that require hearing protection.
  - (2) When conducting training/PTs involving the use of airsoft systems, the minimum PPE is the JT Spectra face shield or equivalent.
- e. Target Training. Training may be conducted using DMC/PB/airsoft systems to fire at training targets such as the DOE TQ-15, decisional targets, or other targets. Such training does not involve FoF or one-on-one activities.
  - (1) Use of DMC systems for shooting training targets must follow the requirements of this Manual and normal live fire safety procedures. Sites must evaluate the need for numbers and types of controllers and other exercise personnel based on the specific location and training to be performed.
  - (2) Provisions of DMC/PB/airsoft training plans, controller staffing plans, procedures, and risk assessments must address protection of uninvolved

persons. They include observers, plant workers, and others who might become exposed to hazards of DMC/PB/airsoft if training targets are to be used in areas where uninvolved persons could be exposed. Potential hazards must be addressed related to using DMC/PB/airsoft systems for FPF PTs and training involving activities such as team movement, CQB, breaching training, room entries, live fire shoot house, and officer survival activities.

10. RULES OF ENGAGEMENT (ROE).

- a. Safety. Safety is a major concern in any ESS PT, and training activity and safety rules must be followed to minimize the potential for accidents and injuries during these activities. Management, participants, and controllers must caution and prepare participants to anticipate and react to unsafe situations. Realism must be achieved, and safety must be considered in the actions of all participating personnel. Preparations must also be made to react with appropriate levels of medical assistance to situations that could occur.
- b. Halting an ESS Activity. An ESS PT or training activity may be halted at any time for safety, emergency, real-time security events, or administrative reasons.
  - (1) Exercise Freeze. An EXERCISE FREEZE is a command used to halt an exercise when it is necessary to correct safety-related problems or respond to an emergency.
    - (a) Any person observing a safety problem must announce, “EXERCISE FREEZE.”
    - (b) Controllers/evaluators must relay the “EXERCISE FREEZE” announcement throughout the PT area.
    - (c) Every participant must immediately freeze in place (i.e., stop at their locations and cease fire, movement, communication, and any other action) until the command “RESUME EXERCISE” is given by the exercise director or senior controller at the direction of the exercise director.
    - (d) In the case of a real-time security event, the exercise cannot resume until all shadow force members return to their staging areas and the shadow force controller confirms with the exercise director that all shadow force members are properly staged.
  - (2) Administrative Hold. The command ADMINISTRATIVE HOLD is used to halt an ESS PT when it is necessary to correct exercise problems of an administrative or procedural nature. The use of the command may be planned when it is necessary to put a temporary hold on activities to set

the stage for continuation of the PT (e.g., change scenarios, operations shift change activities, etc.).

- (a) The effect of an ADMINISTRATIVE HOLD can be limited to a specific location(s) or activity in a PT or the entire exercise.
- (b) The command “ADMINISTRATIVE HOLD” must not be called to correct safety problems or respond to emergencies.
- (c) Only a controller can administratively halt exercise activities. The controller will announce the hold in the affected area, and all participant activity in that area will immediately halt until the controller gives the command “RESUME EXERCISE.”

c. Participants.

(1) Pre-Exercise Activities.

- (a) All pre-exercise actions must be conducted in accordance with normal operating procedures. Participants must be closely monitored to ensure they do not use artificially generated factors to affect the outcome of the PT.
- (b) Participants must be familiar with the operation of issued ESS equipment.
- (c) Participants who will be using or handling pyrotechnics, diversionary devices, hazardous materials, or electrical or mechanical equipment must receive training in their proper use in accordance with current applicable requirements.
- (d) Before being assigned to act as hostage(s)/role players, individuals must be asked if they are willing and capable of dealing with the isolation and demands of a hostage/barricade situation.
- (e) Participating non-DOE law enforcement and other emergency personnel must be instructed how to react in accordance with PT plans and safety and health requirements.
- (f) All players and participants must be physically capable of participating without undue risk of injury to themselves or others.

(2) Safety.

- (a) No attempt will be made to disarm a participant by forcibly taking an ESS weapon.

- (b) All ascents to, or descents from, elevated positions must be by ladder, stairs, or other approved methods.
  - (c) No person acting in the role of a hostage may be abused.
  - (d) Event controllers must ensure all occupants of the facility are moved into a safe area during assault phases and provided with appropriate PPE and safety equipment.
- (3) Injuries.
  - (a) All injuries must be reported immediately to the nearest controller. Anyone observing an injured or ill participant must immediately advise the nearest controller.
  - (b) The command “EXERCISE FREEZE” must be used in communications in the event a hostage role player or other participant becomes injured or ill. If a problem arises during hostage scenario events, it must be brought to the attention of a controller immediately.
- (4) Damages. Any damage to vehicles and equipment must be reported to a controller no later than at the termination of the PT.
- (5) Elimination.
  - (a) Once eliminated under the ROE and/or per scenario-specific requirements, a participant must immediately cease fire, movement, communication, and all other actions. Location permitting, eliminated participants must be prone or seated and weapons must be grounded to ensure they do not impact scenario/exercise actions. The responsible controller may remove an eliminated participant from the area for safety and operational reasons. Eliminated participants must remain in place until they are released by a controller.
  - (b) Participants occupying vehicles must be instructed on the provisions for vehicle and vehicle occupant casualties including the number of allowed survivors based on the type of weapon hit(s) received.
  - (c) No physical contact is allowed with eliminated participants except to search and secure (apply restraints) if applicable to the scenario. An eliminated OPFOR or FPF participant may be approached to obtain radios or other equipment. ESS firearms and ammunition may be seized and used by other participants only when a controller is present to ensure the seized ESS firearms and

ammunition are used safely. The controller must ensure the seized ESS weapon is returned to the participant to whom it is assigned for accountability purposes.

- (d) Persons deliberately attempting to circumvent the ROE or gain an unfair advantage by using any unrealistic tactic or action (e.g., covering MILES sensors, hiding behind false cover, removing headbands, etc.) will be immediately eliminated by a controller.

d. Vehicles.

(1) Safety.

- (a) Vehicles that will be used in the PT must be identified clearly as exercise vehicles. All participants are restricted from using vehicles other than those outfitted with ESS equipment and/or designated for PT use.
- (b) All vehicles must be operated safely. Drivers must observe all site requirements and applicable laws relating to vehicle operation. The wearing of safety belts is mandatory for all vehicle occupants. No vehicle will be operated off roadways unless necessary for scenario action and there has been prior approval by the responsible controller.
- (c) During scenario play depicting normal site operations, vehicles must be operated at posted site speed limits. During scenario play requiring emergency response, vehicles will be operated at speed limits delineated in approved PT plans and procedures. Vehicles responding to real-world site emergencies and security incidents during EXERCISE FREEZE conditions will be operated at speed limits per approved response plans.
- (d) Except for normal passing, no vehicle may be driven closer to another vehicle than the distance permitted by the two-second rule. Following a normal pass, the passing vehicle must immediately reduce speed to the posted speed limit.
- (e) There will be absolutely no attempt to use a vehicle to crash, block, or endanger another vehicle in any way unless the PT scenario or training activity specifically involves the use of precision immobilization techniques (PIT), vehicles in use are properly equipped to conduct PIT, and participants are utilizing proper PPE.
- (f) Impassable roadblocks will be indicated by placing yellow engineer tape, orange cones, flags, etc. on or across the roadway per approved PT plans/procedures.

- (g) Emergency vehicles are not part of the exercise unless equipped with ESS equipment.
- (2) Elimination. PT plans/procedures must include requirements to determine the elimination of exercise vehicles. Requirements should include the use of MILES vehicle hit indicator harnesses and controller calls.

e. Explosives and Pyrotechnics.

- (1) Organizations using explosives and pyrotechnics must provide safe operating procedures to the safety controller. These procedures must identify the hazards and required training, assess the risks, and establish the necessary safety requirements for the particular operation.
- (2) Explosives and pyrotechnics must be employed commensurate with the applicable requirements of DOE DOE O 440.1B *Worker Protection Program for DOE (Including the National Nuclear Security Administration) Federal Employees*, and DOE M 440.1-1A, *DOE Explosives Safety Manual*.
- (3) Pyrotechnics and explosives must be used by the OPFOR, Special Response Forces, or other personnel only as authorized by the DOE cognizant security authority. Personnel must be trained in the use of deployed explosives and pyrotechnics and in the respective safety requirements. Quantities of, and locations for, explosives and pyrotechnics to be used during the PT must conform to approved response plans and be reviewed and approved by the senior controller and the safety controller before use.
- (4) ESS Pyrotechnics.
  - (a) Electrical explosives in an ESS explosive simulator device are directed upward and slightly to the rear of this device. The safety zone around these devices is 10 feet.
  - (b) Participants firing an ESS LAW/RPG must ensure that the area 30 feet behind and 5 feet to each side of the weapon is clear. Personnel in the exercise area must also be briefed to not approach closer than 30 feet directly behind any participant firing a LAW/RPG. LAWs can be made safe by depressing the safety rod located on the top rear of the weapon.
  - (c) Vehicle system electrical explosive charges are mounted on the opposite side from the color indicator light. Since these devices are usually mounted on the vehicle roof with the blast directed upward, they normally do not present a hazard. However, there may be selected special applications where the device is mounted.

on a vehicle bumper or hood. In these situations, participants must be careful not to position themselves above or within 10 feet of the explosive holder.

11. EXAMPLE FORMAT FOR A PRE-EXERCISE BRIEFING. Briefings must be tailored to specific PTs and to the participants. Specialized briefings may be necessary to ensure selected participants are aware of detailed information and/or requirements pertaining to a specific event or role. Responsible personnel must ensure that participants are provided the necessary briefing(s). This example listing of items to be covered in a pre-exercise briefing is not meant to be all-inclusive for every PT or scenario.
  - a. Scenario(s) – need-to-know basis only
  - b. Assignments and responsibilities
  - c. Operational considerations
  - d. Security
  - e. Operations security
  - f. Shadow force
  - g. Communications requirements, procedures, and methods
  - h. Safety
  - i. Controllers
  - j. Participants
  - k. ESS equipment (firearms and other systems, ammunition, pre- and post-exercise requirements)
  - l. Vehicles
  - m. Risk assessment reports, hazards, and mitigating controls
  - n. Actions to be taken in the event of real-world emergencies and/or the shadow force is deployed
  - o. Questions and answers



## **ANNEX 1. FEDERAL AGENT PROGRAM**

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### **CHAPTER I. MANAGEMENT**

1. **MISSION.** The Office of Secure Transportation (OST) mission is to provide safe and secure ground and air transportation of nuclear weapons and components and special nuclear material (SNM) and to conduct other missions supporting national security.
  - a. **Mission Essential Task List (METL).** The METL defines what duties the Federal Agent (FA) must be able to perform, in normal and off-normal operations, to maintain control of the Transportation Safeguards System (TSS). The METL is identified as:
    - (1) Safe and secure ground transportation of nuclear weapons, nuclear weapon components, and SNM;
    - (2) Safe and secure air transportation of nuclear weapon components; and
    - (3) Conduct of other missions supporting national security.
  - b. **Critical Elements.**
    - (1) Intelligence/Surveillance/Reconnaissance
    - (2) Operations Security
    - (3) Command/Control/Communications
    - (4) Protective Force
    - (5) Physical Deterrence
  - c. **Tactical Doctrine.** OST must conduct operations to detect, deter, and disrupt intended adversary actions. If deterrence, detection, and disruption fails, OST must be prepared to conduct defense, recapture, and recovery operations.
2. **OPERATIONAL GUIDANCE AND WRITTEN DIRECTIVES SYSTEM.** To ensure that OST missions/functions are accomplished as intended, sufficient operational guidance must be provided through the establishment and maintenance of a formalized written directives system.
  - a. **Plans.** Tactical response plans must be developed in support of the site security plan (SSP) and tactical doctrine. Response plans must be developed in support of tactically cohesive units. Required Federal protective force (FPF) plans include:
    - (1) Standard Operating Procedures (SOP). The TSS operational requirements are addressed in written guidance including OST policies, SOPs, and manuals where existing guidance is not provided via Department of Energy (DOE) directives.

- (2) Named Areas of Interest (NAI). OST must maintain a listing of NAI. OST NAIs are a direct replacement to DOE target folders. Special attention will be given to NAIs with respect to threat assessment and operational security measures. NAIs must be included in the OST Area of Interest Mapping System (AIMs) and will be updated continuously.

NOTE: FAs must follow human resource administrative directives and policies. OST maintains policies, and manuals that further address administrative, training and other requirements of FA and TSS support personnel.

- b. Configuration Control. Integrated Safeguards and Security Management configuration and control and approved staff procedures such as Concept to Capability and/or the Configuration Management System found on the OST website will be used to ensure that changes to operational guidance are adequately reviewed and approved by authorized OST management representatives.
  - c. Non-DOE Law Enforcement Agency (LEA) Support. The TSS travels through many local, state and Federal jurisdictions. An ongoing liaison program provides mission orientation to these local jurisdictions that allows OST to gather support from these agencies in case an event occurs. Site/organization-specific memorandum of understanding (MOU)/memorandum of agreement (MOA) must be in place at locations where the TSS performs work or remains over night.
3. ALLOCATION OF PERSONNEL RESOURCES. During normal operations, the segment travel time is 32 hours, with a minimum of 14 hours between each segment. Operational segments of 34 hours or more will require a minimum of 24 hours between segments. FAs will have a minimum of two days at home after trip assignments of five or more days. Suspension of the normal operational segment travel time is with the approval of the Manager, Office of Mission Operations.
  4. LEGAL AUTHORITY, RULES OF ENGAGEMENT (ROE) AND FRESH PURSUIT.
    - a. Use of Force.
      - (1) Intent. OST is responsible for the security of government materials in its custody and will employ all available legal and ethical means, including the use of force, to retain control of these materials and preserve OST's FPF personnel.
      - (2) Purpose. The purpose of these ROE is to ensure the proper use of force in accordance with the security mission, legal authority and jurisdiction.
      - (3) Process. Submit questions, requests for additional training or requests for change to legal counsel through the appropriate chain of command/staffing process.

b. ROE.

- (1) Defend oneself at all times.
- (2) Defend the shipment and other FAs.
- (3) Act as soon as clear evidence of hostile intent exists.
- (4) When force is required, the minimum amount of force reasonably necessary to counter the threat must be used. While armed, FAs will be equipped with an intermediate force weapon, e.g., ASP collapsible baton.

(a) Guidelines. Use the following guidelines when applying ROE.

- 1 When the use of force is required, the primary consideration will be the timely and effective application of the appropriate level of force to maintain or re-establish lawful control of nuclear materials.
- 2 FAs will use force proportional to the perceived threat in situations where they have arrest authority.
- 3 FAs must respond to the level of threat they perceive. They will employ the measures necessary to gain and maintain control over the perceived threat to the TSS and prevent further escalation.
- 4 FAs will employ the minimum force required to accomplish this mission task. Any response to a threat that is insufficient to gain and maintain control invites escalation and risk of mission failure, which is not acceptable.
- 5 If action less than deadly force reasonably appears sufficient to make the arrest or meet another law enforcement purpose, then deadly force is not authorized.
- 6 Deadly force will only be employed in cases of extreme necessity when justifiable in accordance with 10 Code of Federal Regulations (C.F.R.) Part 1047.7.
- 7 The use of force, including deadly force, is authorized to pre-empt a person or persons who have clearly demonstrated hostile intent to commit a crime enumerated in 10 C.F.R. Part 1047.4, are in the act of committing such a crime, or to prevent the escape or to capture person(s) under the conditions described in 10 C.F.R. Part 1047.7.

- 8 Fresh pursuit is authorized to recover DOE materials or to apprehend persons responsible for an attack on the TSS.
- 9 Warning shots are not authorized.
- 10 FAs must consider and minimize the risk of fratricide to civilians and other agents in the area when employing deadly force.
- 11 FAs will compare the immediate danger to other agents and civilian personnel in the area against the risk to the public in a larger sense later in their decision making process.
- 12 FAs must positively identify their targets before engagement.
- 13 Once control has been established, FAs will de-escalate.
- 14 Civilians in the immediate vicinity will be directed to a holding area for their own safety and protection. They will be asked for identification for two reasons: first to help locate them if needed later as witnesses in a criminal investigation, and second, to ensure they are not actually adversaries.
- 15 FAs will detain suspected adversaries.
- 16 Security and the “five S’s” (defined below) will apply to suspect detainees.
  - a Search. Detainees will be searched for the safety of the FAs and the public using approved officer safety techniques. Search techniques will not intentionally inflict additional injury. Evidence will be collected and preserved for law enforcement agencies.
  - b Segregate. Detainees will be separated from civilians and each other.
  - c Silence. Detainees will not be allowed to communicate other than to answer official questions. FAs will ask them questions concerning immediate dangers but will not ask them questions intended to establish or confirm their guilt in the crimes leading up to the situation.
  - d Speed. Detainees will be processed and moved out of the area as soon as the situation allows.

NOTE: Contact the Office of General Counsel through the Transportation Emergency Communication Center (TECC) to coordinate the disposition of all prisoners with the U.S. Attorney's Office and the Department of Justice.

- e      Safeguard. Safeguard detainees in custody from harm.

17      If the detainee is wounded, give first aid and move to a casualty collection point for evacuation to definitive care under a local or Federal LEAs control.

- (b)      Training. OST use of force training will include legal considerations, use of intermediate force, and exercises in tactical decision making to exercise the application of ROE.

c.      Fresh Pursuit.

- (1)      FAs are authorized to engage in pursuit operations when the need for immediate recovery of Nuclear Weapons Components (NWC) and/or SNM in the interest of national security outweighs the risk of injury to him/herself, other FAs and the public.
- (2)      When facts or circumstances indicate that unauthorized persons have gained control of and removed NWC or Category I or Category II quantities of SNM, as defined by DOE M 470.4-6, *Nuclear Material Control and Accountability*, FAs will employ all legitimate means necessary for immediate recovery as intended by Presidential Decision Directive 39, *U.S. Counter-Terrorism Policy*, to include pursuit and the use of deadly force. Refer to 10 C.F.R. Parts 1047.7 and 1047.6 for the authorized use of force.
- (3)      The primary objective of OST pursuit is the recovery of NWC and Category I or Category II quantities of SNM with the minimum possible overall impact to national security and public safety.
- (4)      The use of physical or deadly force must be in strict conformance to 10 C.F.R. Parts 1047.7 and 1047.6.
- (5)      When pursuit is warranted, it will be the primary effort. OST will employ the maximum available assets for recovery; however, at no time will other sensitive assets be left without adequate security.
- (6)      If hostages are present in a situation involving recovery of NWC/SNM, the safety and welfare of the hostages must be considered. However, due to the risks to national security, the public, and the hostages themselves

posed by unauthorized use of these materials, the presence of any hostages must not deter or prevent immediate pursuit and recovery of NWC/SNM.

- (7) FAs shall not pursue misdemeanants or those suspected of committing felonies unrelated to NWC/SNM but will maintain maximum security of OST assets. FAs will report such information to the TECC to be forwarded to the appropriate LEA having jurisdiction.
- (8) Vehicular pursuit in recovery operations may include all available disabling measures for timely termination of the pursuit and recovery of material. Measures include, but are not limited to, firing at or from a moving vehicle, intentional ramming of vehicles being pursued, and using blocking maneuvers and tire deflating devices to prevent unauthorized persons in control of NWC/SNM from gaining a stronghold position, as long as the prerequisites of 10 C.F.R. Part 1047.7 are met.
- (9) The FA force conducting Emergency Response Operations (EROs) must communicate the emergency situation to the TECC before pursuit. FAs must maintain communications to maximize the coordination of pursuit efforts with local LEAs.
- (10) To the extent practicable, OST vehicles will be identified with placards, be equipped with visual and audible emergency equipment and otherwise be distinguishable as official Government vehicles.
- (11) FA pursuit efforts must be effectively coordinated when other LEAs having jurisdiction join the pursuit. FAs will yield the pursuit lead to LEAs that claim primary responsibility for pursuit. Having yielded the pursuit lead, FAs have a duty to maintain pursuit of unauthorized persons escaping with NWC/SNM and to effect recovery.
- (12) The FA force or TECC may request that local LEAs use roadblocks to help contain or terminate a felony pursuit.
- (13) Vehicles in recovery operations must be operated as safely as practicable.
- (14) Aviation support may be employed where available to support pursuit/recovery operations.
- (15) Available aviation assets may be employed for aerial observation to coordinate pursuit efforts.
- (16) Available aircraft may be used to transport or reposition security forces.
- (17) Effective communications are essential in all EROs. The TECC will continuously monitor unit operations and provide all assistance within their capabilities.

- (18) FAs must make every practical effort to maintain open communications with the TECC and to relay complete and factual information.
- (19) The TECC will coordinate LEA response during defend and recapture situations to establish LEA containment before pursuit.
- (20) The TECC will serve as a primary communications link between FAs and LEAs unless direct contact is established between FAs and LEAs.
- (21) The operations center will immediately initiate emergency call out procedures to activate the situation room and notify the appropriate chain of command at the onset of emergency operations.
- (22) In accordance with DOE O 151.1C, *Comprehensive Emergency Management System*, the TECC will report operational emergencies to DOE Headquarters (HQ). Other Federal agencies will be notified in turn.
- (23) Arrest authority for FAs is provided by 10 C.F.R., Part 1047.4, *Arrest Authority*.
- (24) When other Federal LEAs such as the FBI or U.S. Federal Marshals are involved in the apprehension, FAs must relinquish arresting authority to the other Federal LEA personnel.
- (25) Where possible, FAs should defer to other LEA personnel to arrest criminals to allow the FA force to concentrate on security issues including securing recovered Government property.
- (26) When necessary for FAs to exercise their arrest authority, they must make the arrest in accordance with 10 C.F.R., Part 1047 and immediately notify the TECC, who will notify the appropriate U.S. Attorney's Office. FAs will turn over detainees to Federal LEAs on their arrival. Under no circumstances should FAs move a detainee to another jurisdiction before he/she is processed through the Federal criminal justice system.
- (27) FAs must use the minimum force required to make an arrest.
- (28) When NWC/SNM is recovered, the FAs must properly secure those materials and ensure custody procedures are maintained.

## CHAPTER II. QUALIFICATIONS AND TRAINING

### 1. QUALIFICATIONS.

- a. Duty Positions. Federal Agent (FA) duty positions require individuals to be physically tough, mentally fit, and highly trained to perform assigned duties and qualification requirements commensurate with their duty position. Positions include:
  - (1) FA Trainee. A newly appointed FA serving in the position for less than one year and in a one-year probationary period, who is in a specific on-the-job training (OJT) program. Upon completion of the OJT program, the FA Trainee is promoted to an FA.
  - (2) FA Positions. A FA serving in an assigned duty position for one year or more and who meets the subject standards and requirements. These positions include:
    - (a) FA, Nuclear Materials Courier (NMC),
    - (b) Senior FA NMC (vehicle commander),
    - (c) Lead FA NMC (convoy commander), and
    - (d) Supervisory FA (squad leader).
- b. Initial Certification of FA. FAs receive initial training and qualification in the Agent Candidate Training (ACT) program, which encompasses the following subject matter categories. Evaluation policy, procedures, and standards are detailed in the ACT course chart and the ACT student guide.
  - (1) Driving. Candidates gain knowledge and tractor/trailer driving skills required to attain a commercial driver's license (CDL). They are familiarized with the operation and capabilities of other vehicles used in shipment operations.
  - (2) Firearms. Candidates train in firearms basics and marksmanship fundamentals, culminating in Department of Energy (DOE) qualifications with issued primary and auxiliary weapons. They also receive familiarization training in the operation of specialized weapons.
  - (3) Intermediate Use of Force (IUF). Candidates gain the knowledge and skills required to gain and maintain control of subjects with less than lethal force.
  - (4) Tactics. Candidates receive training in individual and small-unit field tactics in rural and urban environments, instruction in tactical doctrine and



Mission Essential Task List (METL), and perform tactically as team members in shipment defense scenarios.

- (5) Physical Fitness. Candidates are trained and conditioned to perform tasks anticipated in emergency operations and learn the importance of healthy lifestyles and methods of avoiding common preventable injuries.
- (6) Communications. Candidates learn the characteristics, capabilities, limitations, and operating procedures for communications equipment employed in Office of Secure Transportation (OST) shipment operations.
- (7) Technical Training. Candidates learn the unique features of the safe secure trailer/safeguards transporters (SST/SGT) and associated equipment and functions.
- (8) Emergency Management. Candidates are familiarized with the National Incident Management System and related OST emergency management procedures.
- (9) First Aid. Candidates are trained in Red Cross First Aid/cardiopulmonary resuscitation (CPR).

c. Initial Certification for Special Skills. FAs may be assigned to positions within the TSS that require special skills. Assignment to special skill duty is determined by the deputy commander.

- (1) Weapons. The TSS is supported by multiple weapons systems in addition to the basic weapons on which the FA trainee becomes qualified on during ACT. If assigned, the FA will receive additional training and practice on assigned weapons and become qualified on that weapon system. The weapons identified for special skills include, but not limited to:
  - (a) 7.62mm rifle,
  - (b) machine guns, and
  - (c) 40mm grenade launcher.
- (2) Vehicles.
  - (a) Tractor/Trailer. Basic tractor/trailer skills are introduced during ACT. If assigned, the FA will receive additional training and practice on the tractor/trailer. The FA will receive the CDL with hazardous material (hazmat) endorsement.
  - (b) Specialized Vehicles. Basic skills are introduced during ACT. If assigned, the FA will receive additional OST training and practice on the other specialized vehicles.

- (3) Medic. If so assigned, the FA will be trained to the emergency medical technician-tactical (EMT-T) level and use out-of-hospital emergency care protocols approved by the senior medical official.
- (4) Special Response Force (SRF). If so assigned, FAs may perform SRF duties upon successful completion of the SRF Basic course. The OST SRF program is similar to the Special Response Teams (SRT), modified for TSS protocols.

2. MAINTAINING QUALIFICATION.

a. FA Minimum Skill Competencies.

- (1) Federal Employee Requirements.
  - (a) Integrated Safety Management
  - (b) Security Awareness
  - (c) Cyber Security
- (2) FA General Training.
  - (a) Legal Considerations
  - (b) Firefighting – General
  - (c) Hearing Conservation
  - (d) Secondary Weapons Familiarization
  - (e) Handling and Transporting Prisoners
  - (f) Lead Safety Program
  - (g) Alcohol Awareness Briefing
  - (h) Protective Actions Recommendations
  - (i) Technical Safety Requirements
  - (j) Intermediate Use of Force
  - (k) Force on Force (FoF) Exercise
  - (l) Firearms Safety
  - (m) General Employee Radiological Training

- (n) Explosives - Handling and Storage
- (o) Incident Command System
- (p) Nuclear Cargo Safety
- (q) Physical Assessment
- (r) Emergency Radiological
- (s) Tactical First Responder or First Aid
- (3) Basic FA Nuclear Explosive Duties (NED).
  - (a) Human Reliability Program
  - (b) One-mile run in 8 minutes 30 seconds
  - (c) 40-yard sprint from prone in 8 seconds
  - (d) Assigned duty firearms
- (4) Special Skills for NED (as assigned).
  - (a) Tractor/Trailer CDL
  - (b) Weapon Qualifications (semi-annual)
    - 1 7.62mm Rifle
    - 2 Machine Gun
    - 3 40mm Grenade Launcher
  - (c) Medic Training (First Responder)
  - (d) SRF

NOTE: When an individual fails to maintain a special skill, the Deputy Director of Operations will decide whether to remove that individual from NED until remediation in the special skill occurs or to reassign to duties for which that individual is currently qualified.

b. Additional Skill Competencies.

- (1) Vehicles. An assigned FA must be evaluated on vehicles requiring competency in special skills. Where required, this includes the CDL physical and hazmat endorsements.

- (2) Weapons. Weapons certification using issued weapons and assigned equipment.
  - (a) 7.62mm Semi Annual Recertification Requirements.
    - 1 7.62mm Rifle Day Qualification.
    - 2 7.62mm Rifle Reduced Light Qualification using issued rifle/night vision.
    - 3 Maintenance training may be in conjunction with other training venues, provided the following training requirements are fulfilled.
      - a Confirm Day Scope Data to 800 yards.
      - b Rifle Night Vision Device confirm zero and distance to 300 yards.
      - c Confirm Day Battle Field Zero.
      - d Decision Shooting.
      - e Positional Shooting.
      - f Tactical Employment.
  - (b) Quarterly Training Requirements.
    - 1 Confirm 100 yard zero and point of aim/point of impact.
    - 2 Confirm night 100 yard zero with assigned rifle night vision device.
- (3) Medical. All medics will be evaluated annually to determine individual levels of competency in emergency evaluation/treatment procedures. Recertification will be based on the EMT-T certification expiration dates.
- (4) SRF Recurring Recertification and Training.
  - (a) General Requirements. The general requirements of the FA must also be fulfilled by individuals assigned as SRF.
  - (b) Semi-Annual Recertification.
    - 1 Shoot on the move (SOTM) rifle qualification using the issued primary firearms.
    - 2 SOTM handgun qualification using the issued handgun.

- 3 Live fire shoot house (LFSH) qualification.
- (c) Semi-Annual Maintenance Training. The objective of SRF training will be to maintain and enhance individual or collective proficiency to perform mission requirements. Operational Readiness Training (ORT), Joint Testing Exercise (JTX) or other outside training will satisfy training requirements as long as they meet the objective of the training to which they are applied.
  - 1 Decisional Shooting-Training. Enables FAs to make appropriate shoot/no shoot decisions rapidly in a stressful environment.
  - 2 Close Quarters Battle (CQB)-Training. Exercise a coordinated team tactical maneuver in close or urban combat scenarios such as emergency stronghold assaults and building clearing.
    - a CQB training must use live fire, engagement simulation system (ESS) weapons, and/or dry practice.
    - b CQB scenarios will contain definable objectives to measure individual and/or team performance.
  - 3 LFSH Operations-Training. Perform an advanced team tactical maneuver in a live fire urban environment. Requires at least four hours of LFSH training over and above the LFSH shoot house qualification course exclusive of dry fire or ESS practice.
  - 4 Non-LFSH. Perform mobile and open-air team tactical maneuvers under both day and night conditions.
  - 5 Stronghold Assault. Perform assaults that include live-fire team operations under both day and night conditions.
  - 6 Diversionary Devices. Demonstrate knowledge of the capabilities and employment of diversionary devices.
  - 7 Live Fire Tactical Obstacle Course-Training. Develop and maintain tactical marksmanship skills in a physically demanding environment. This requirement is met by successfully completing any approved live fire tactical obstacle course conducted per the Command's procedures and risk assessment, both day and night.

- 8 Team Tactical Movement-Training. Develop and maintain tactical SRF team movement or maneuver skills in the approach to an SRF objective. This requirement is met by participating as a team member in approved tactical training in a field environment other than CQB.
    - 9 Force Options Training. An SRF individual must participate in mission planning where available force options are considered, analyzed, and selected based on the mission, enemy, time, terrain, troops available, and risk. This requirement is satisfied through, but not limited to:
      - a Participation in classroom training on planning and tactical decision making, using rapid planning and/or tactical decision making.
      - b Review and practice (dry fire, DMC or live fire as facilities allow) of:
        - i. mobile force options involving pursuit or vehicle assault and
        - ii. emergency assault options:
          - a. vehicle,
          - b. open air, and
          - c. stronghold.
  - (d) Quarterly Training Requirements. SRF agents must initially, and thereafter quarterly, participate in tactical entry training. Any of the following techniques are acceptable methods to meet this requirement:
    - 1 mechanical breaching techniques,
    - 2 shotgun entry, and
    - 3 explosive entry.
- c. Shotgun Entry. Inert or dry fire performance is acceptable, but live fire using appropriate facilities and training aids is preferred and will be utilized as practicable. It includes:
  - (1) breaching shotgun malfunctions and
  - (2) breaching shotgun manipulations.

- d. Explosive Entry. Explosive entry utilizing live explosive charges/firing systems or dry practice for tactical deployment and misfire procedures of OST specific inert breaching charges and firing systems.
3. ANNUAL TRAINING.
- a. Operational Readiness Training (ORT). ORT training includes convoy and team tactics that cannot be included at the unit training level. Skill sets are developed and enhanced in subsequent training venues.
  - b. Unit Training. Each unit and command must establish an active training program to reinforce the skill sets presented during ORT and establish a training environment to complete all the general training requirements. Unit training must also incorporate specific skill testing for the Performance Assurance Program (see DOE M 470.4-1, Chg 1, *Safeguards and Security Program Planning and Management*).
4. RECERTIFICATION: RETURN TO DUTY.
- a. FAs who are removed from NED for failure to maintain qualification/currency in NED-required activities may be reinstated when the deficiency is corrected.
  - b. When an FA returns to duty after an extended absence, a training plan will be developed based on lapsed skills. Before being assigned to NED, the individual must have current qualifications as identified in paragraph 2a above, including required recurring training requirements in paragraph 2b(4).

### **CHAPTER III. CAREER LONGEVITY**

1. PURPOSE. The Federal Agent Education and Training Plan (FAETP) fulfills the requirement for a Department of Energy (DOE) job analysis (JA).
2. BACKGROUND. Federal Agents (FAs) are career professionals who are specially trained for a unique job. They devote themselves to a career and subsequently retire. Training derived from a traditional JA focuses mainly on performance. In contrast, the FAETP considers the full spectrum of knowledge, skills, and abilities (KSAs) related to each position/grade.
3. COMPREHENSIVE AND EDUCATION TRAINING PLAN. The FAETP provides the information necessary for managers, directors, supervisors, training managers, and trainers to plan, develop, manage, and conduct an effective and efficient career field-training program. The plan outlines what training individuals in the FA specialty should receive to develop and progress throughout their career. This plan identifies initial skills, upgrade, qualification, advanced, and proficiency training. Initial skills training is obtained in the Agent Candidate Training program. Upgrade training identifies mandatory courses and task qualification requirements to progress within the FA career path. Qualification training is actual hands-on task performance training designed to qualify a FA in a specific duty position. This training occurs both during and after the upgrade training and is designed to provide the performance skills/knowledge required to do the job. Advanced training is formal specialty training. Proficiency training is additional training, either in-residence or exportable advanced training courses, or on-the-job training provided to personnel to increase skills and knowledge beyond the minimum required for upgrade. The FAETP has several purposes that include:
  - a. being a management tool to plan, organize, conduct, and evaluate a career training program. In addition, it is used to help supervisors identify training at the appropriate point in an individuals' career;
  - b. identifying task and knowledge training requirements for each skill level in the specialty and recommending education/training throughout each phase of an individual's career;
  - c. listing training courses available in the specialty and identifying sources of training and the training delivery method; and
  - d. identifying major resource constraints that impact implementation of the desired career field training process.
4. USE. The FAETP will be used by supervisors at all levels to ensure comprehensive and cohesive training programs are available for each FA. Office of Training and Logistics (OTL) training personnel will develop/revise formal resident, nonresident, field and exportable training based on requirements established by the users and documented in Part II of the FAETP. They will work with supervisors to develop acquisition strategies for obtaining resources needed to provide the identified training.



- a. Supervisors will ensure their training programs complement the FAETP mandatory initial, upgrade, and proficiency requirements. Identified requirements may be satisfied by on-the-job training (OJT), resident training, contract training, or exportable courses. OTL-developed training to support FAs must be identified for inclusion in this plan.
  - b. Each individual will complete the mandatory training requirements specified in this plan. The lists of courses in Part II will be used as a reference to support training.
5. FAETP PLAN. The FAETP is divided into two parts: part one contains career information and job requirements, and part two contains the job qualification standard, an expanded version of a JA. The FAETP captures a career force with a unique job combined with unique KSAs offering an opportunity for a career development program from recruitment to retirement. Career plans fully integrate training and development by considering the whole person concept and stepping back and viewing the individual as a long-term asset.
6. LOGICAL PROGRESSION. Logical progression, from a training and development perspective, enables all possible KSAs required of FAs to intersect at the optimal skill level or career point. Administering training at the appropriate time, based on existing individual KSAs, is equally as important as the type of training. That intersection is the precise point where the optimal type of training and delivery method is identified.
7. CAREER PATH CHART. The following chart identifies FA career progression. The details of career progression are contained in the FAETP. The FAETP uses a building block approach (simple to complex) to encompass the entire spectrum of training requirements for the FA career field. The spectrum includes a strategy for when, where, and how to meet the training requirements.

		Federal Agent Speciality Levels				
		FA Trainee	FA	Team Leader/ Vehicle Commander	Recovery Team Lead and Convoy Commander	Squad Leader
Education and Training Requirements	Agent Candidate Training	X	X	X	X	X
	On-the-Job Training	X	X	X	X	X
	Federal Training Requirements	X	X	X	X	X
	QTS Proficiency and Qualification Requirements	X	X	X	X	X
	Team Leader/Vehicle Commander (TL/VC) Course. Prerequisites are Basic Instructor Training (MIT-111), Firearms Instructor Certification (PFT-401), Supervisory Development (MIT-200) and Controller Training			X	X	X
	Tactical Leadership (TL) - Must be a GS-11 or GS-12 selectee and a resident graduate of TL/VC Course.				X	X
	Squad Leader and Supervisor Course(s) - Must be a GS-12 or GS-13 selectee and a resident graduate of TL Course					X

8. QUALIFICATION TRACKING SYSTEM (QTS). QTS is the Office of Secure Transportation's (OST) official method to document training. Training documentation for all OST personnel, FAs, support qualifications and staff, must be maintained in QTS. This is in addition to other DOE training programs.
9. SECONDARY POSITIONS. Limiting secondary positions to FAs provides other employment options for FPF personnel.

## CHAPTER IV. SUPPORT QUALIFICATIONS

### 1. GENERAL.

- a. The staff required to support the Transportation Safeguards System (TSS) mission and Federal Agents (FAs) consists of Federal and contractor personnel working in concert to protect Department of Energy (DOE) assets including facilities, personnel, sensitive materials, and other property.
- b. The instructor will have access to current approved training documents for the event they are assigned to perform. Training documents refer to applicable instruction support material such as lesson plans, exercise plans, safety plan, security plan, execution plan, etc.

### 2. INSTRUCTORS.

- a. Assignments. Instructor assignments may include contractor or Federal training staff or full-time or part-time personnel that may perform as instructors, controllers, evaluators or opposition forces.
- b. Knowledge, Skills, and Abilities (KSAs). See Chapter II of this Manual.
- c. Basic Instructor Requirements.
  - (1) Initial Certification Requirements. At a minimum, the following instructor certification requirements must be met.
    - (a) Each instructor assigned to deliver training must successfully complete the DOE Basic Instructor Training course (BIT) as approved by the Office of Health, Safety and Security (HSS) or an equivalent recognized basic instructor course.
    - (b) Each instructor assigned to deliver intermediate force training will successfully complete the Intermediate Force Instructor Certification (IFIC) course as provided by the National Training Center (NTC).
    - (c) Each instructor assigned to deliver ground control training will successfully complete the DOE Ground Control Instructor Certification (GCIC) course as approved by HSS.
    - (d) Each instructor assigned to deliver instruction on scoped 7.62mm rifles will successfully complete a DOE/NTC precision rifle forward observer team (PRFOT) and PRFOT instructor course.
    - (e) To maintain certification, instructors must instruct in at least two classes or two course iterations, or a combination of both, per calendar year. Documentation of these activities must be

maintained in the individual's training record and the Qualification Tracking System (QTS).

- (2) Currency. The following minimum instructor currency requirements must be met.
  - (a) Office of Secure Transportation (OST) management must ensure that each instructor is evaluated for competency at least once every 36 months.
  - (b) The evaluation must consist of verification of the instructor's knowledge of:
    - 1 HSS-approved teaching methods and instructional techniques;
    - 2 applicable assigned subject/topical areas for the level of instruction delivered;
    - 3 requirements for developing course objectives, lesson plans, training aids, and student evaluations;
    - 4 presentation of complete instructional lesson plans/courses; and
    - 5 verification of instructor attendance in at least one relevant professional development course during the 36-month period.

NOTE. Verification of compliance with the requirements in this section must consist of observation of instructor performance during actual curriculum delivery or by performance testing activities.

- (3) Non-FA Use of Firearms. Firearms instructors who are not authorized to make arrests under DOE authority and are not required to meet physical fitness/medical requirements may be authorized to carry firearms while on DOE-controlled or shared property. This authorization applies only when in the performance of instructional duties. The instructors must pass the firearms qualification courses for assigned firearms and for firearms that are the subject of instruction in accordance with Chapter II paragraph 9 of this Manual.
- d. Firearms Instructors (Qualification/Square Range). Before initial assignment to duty as a firearms instructor, personnel must successfully complete the DOE Firearms Instructor Certification (FIC) course, as approved by HSS, for the level of firearms training delivered.

- (1) Initial Training. Initial firearms training, required for all levels of firearms instructors, must include:
  - (a) Prerequisites.
    - 1 Demonstrated proficiency with a 90 percent score within two attempts on the DOE Daylight Handgun and Semi-Automatic Rifle Qualification courses on the first day of the course.
    - 2 Completion of all applicable handgun and rifle Limited Scope Performance Tests (LSPTs) as contained in respective NTC firearms lesson plans with 100 percent accuracy;
  - (b) Complete the NTC-certified BIT course.
  - (c) Complete specific weapon certification training if applicable, such as the OST 7.62mm Rifle Basic Course.
  - (d) Complete, at a minimum, 40 hours of on-the-job training (OJT) to include:
    - 1 live fire range operation procedures for their primary facility (approximately 4 hours);
    - 2 range safety officer (RSO) duties (approximately 10 hours);
    - 3 range assistant instructor duties (approximately 10 hours);
    - 4 range primary instructor [officer in charge (OIC)] duties (approximately 12 hours);
    - 5 general range operations duties (approximately 4 hours); and
    - 6 additional range-specific detail as identified by the primary facility (hours to be determined).
- (2) Refresher Training. Each firearms instructor must successfully complete formal annual refresher training to maintain the level of competency required for the successful performance of tasks associated with firearms instructor responsibilities.
- (3) Currency. The following DOE firearms instructor currency requirements must be met:

- (a) pass a comprehensive, knowledge-based, site/organization-specific evaluation on live fire range operations every 12 months;
- (b) complete LSPTs every 12 months with a minimum score of 100 percent for each firearm system instructed;
- (c) conduct at least one site/organization-specific safety briefing every 12 months;
- (d) qualify every 12 months with a minimum score of 80 percent for each firearms system instructed;
- (e) be assigned to and conduct the duties of either a lead instructor, line instructor, or RSO twice annually (at least twice every 12 months); and
- (f) complete basic instructor requirements.

e. Tactical Live Fire Range Instructor.

(1) Preliminary Certification.

- (a) Designated in writing by the program manager.
- (b) Complete the NTC-certified BIT course.
- (c) Complete the NTC-certified FIC.
- (d) Complete the NTC-certified Live Fire Range Operations course.
- (e) Certification as a tactics instructor.

(2) Initial Training Requirements.

- (a) Complete the NTC-certified Live Fire Range Operations course.
- (b) Complete one of the following before instruction of a “shoot, move and communicate (SMC)” lesson plan:
  - 1 attend and conduct the lesson through the pilot;
  - 2 be certified by a SMC-qualified instructor through the “see one, do one” teach one method;
  - 3 attend and successfully complete the training of the specific lesson; or
  - 4 be certified by the appropriate program manager to run an existing course of fire as a primary instructor.

- (3) Currency Training. Complete mandatory general instructor and basic firearms instructor requirements contained in Chapter II of this Manual.
- f. OST Firearms Principal Instructors. Principal instructors are the recognized experts in their field because of prior experience. Principal instructors typically are assigned to design, resource and construct non-standard ranges and to develop courses of fire for non-standard ranges. Preliminary Certification requirements include:
  - (1) completing the NTC-certified BIT course;
  - (2) completing the NTC-certified FIC;
  - (3) completing NTC-certified Live Fire Range Operations course;
  - (4) being appointed in writing by the Training Program Manager; and
  - (5) completing general and basic firearms instructor requirements.
- g. Special Response Force (SRF) Instructors. Each instructor assigned to deliver the SRF Basic Qualification course must be qualified to teach the SRF skills.
  - (1) Initial Training. Initial live fire shoot house (LFSH) instructor training includes:
    - (a) prerequisite training qualifications:
      - 1 complete NTC-certified BIT course,
      - 2 complete NTC-certified FIC,
      - 3 complete the NTC-certified OST SRF basic course,
      - 4 complete the NTC-certified special response teams/SRF instructor course, and
      - 5 complete the NTC-certified LFSH instructor course;
    - (b) prerequisite weapons qualifications:
      - 1 shoot on the move rifle,
      - 2 shoot on the move pistol, and
      - 3 obstacle course; and
    - (c) complete OJT program to include:

- 1 live fire range operation procedures for their primary facility (approximately 4 hours),
- 2 RSO Duties (approximately 6 hours),
- 3 LFSH setup (approx 20 hours), and
- 4 LFSH instruction (approx 20 hours).

(2) Currency. All SRF Instructors must be current on all qualifications to include:

- (a) SOTM rifle, annually;
- (b) SOTM, handgun annually;
- (c) LFSH, annually;
- (d) perform 20 hours LFSH instruction annually; and
- (e) complete Basic Instructor and Basic Firearms Instructor currency requirements.

h. Tactics Instructor.

(1) Initial. Before initial assignment to duty as tactics instructor, personnel must successfully complete:

- (a) NTC-certified BIT course,
- (b) Controller I, and
- (c) Controller II.

(2) Recommended Qualifications. Recommended qualification include:

- (a) NTC-certified FIC,
- (b) military tactical training and experience, and
- (c) leadership training.

(3) Currency Qualifications. Must complete mandatory Basic Instructor requirements contained in Chapter II of this Manual.

i. Intermediate Force and Ground Control Instructors.

(1) Initial Training. Before attending the IFIC and GCIC courses, OST personnel must successfully do the following:



- (a) complete the NTC-certified BIT course and
  - (b) meet medical/fitness requirements.
- (2) Refresher Training. Each intermediate force and ground control instructor must successfully complete formal annual refresher training to maintain the minimum level of competency required for the successful performance of tasks associated with intermediate force and ground control instructor responsibilities.
- (3) Currency. The following DOE intermediate force instructor recertification requirements must be met:
  - (a) pass a comprehensive knowledge-based, site/organization-specific evaluation on the intermediate force operations every 24 months;
  - (b) complete LSPTs every 12 months with a minimum score of 100 percent for each intermediate force technique instructed;
  - (c) conduct at least one site/organization-specific safety briefing every 12 months;
  - (d) be assigned to and conduct the duties of either a lead instructor or an assistant instructor every 12 months; and
  - (e) complete Basic Instructor requirements.

j. Driving Instructor.

- (1) Initial Training Requirements. Initial training requirements include:
  - (a) CDL with Hazmat – current with State,
  - (b) 3 years over-the-road experience,
  - (c) 3 years with no preventable accidents, and
  - (d) an NTC-certified BIT course.
- (2) Currency Training. Currency training includes
  - (a) OST Driver Certification – annually and
  - (b) complete Basic Instructor requirements.

k. Driving Certifier.

- (1) Initial Requirements. Initial requirements include:

- (a) CDL with Hazmat – current with State,
  - (b) 3 years over the road experience,
  - (c) 3 years with no preventable accidents, and
  - (d) an NTC-certified BIT course.
- (2) Currency Training. Recurring requirements include:
- (a) OST Driver Certification – annually and
  - (b) complete Basic Instructor requirements.

1. Instructor Recertification.

- (1) Less Than Six-Months. When an instructor's currency is less than six months out of compliance, he/she must complete all non-current activities before he/she may be scheduled to be a lead instructor in any subject area.
- (2) Six Months or Greater.
- (a) Basic Instructor. An individual who is non-current must teach a minimum of one class in the appropriate subject area under the direct supervision/observation of an instructor of the appropriate subject area.
  - (b) Firearms Instructor.
    - 1 Complete all non-current activities.
    - 2 Complete the OJT program for their topical areas.
  - (c) Supervising Instructor. The supervising instructor will complete an instructor evaluation. Documentation must be maintained in the individuals' training record.

3. CONTROLLERS/EVALUATORS.

- a. Assignments. All personnel who are assigned exercise controller or evaluator duties must receive formal documented training for the safe conduct of exercises involving engagement simulation systems (ESS) equipment and/or other types of firearms simulators, which includes, but is not limited to, multiple integrated laser engagement system (MILES) and Dye Marker Cartridge (DMC) systems. Pertinent exercises include Force on Force (FoF), LSPTs, and joint testing exercise. In addition to the formal basic training, controllers and evaluators will receive refresher and scenario specific training before each exercise.

- b. Knowledge, Skills, Abilities (KSAs). Each controller/evaluator must possess the skills and knowledge necessary to control the exercise safely and evaluate FA performance against identified standards and have the ability to maintain control of field operations. Persons assigned as controllers and/or evaluators must have demonstrated expertise for OST specific:
  - (1) rules of engagement (ROE),
  - (2) ESS equipment, and/or
  - (3) pyrotechnic safety.
- c. Basic Training Requirements.
  - (1) Initial.
    - (a) Initial training addresses both general and OST-specific controller knowledge and skills required to be an exercise controller and/or evaluator. It includes an overview of controller duties and responsibilities, standard OST exercise ROE, ESS and pyrotechnics familiarization, DMC controller responsibilities, the after action review process, and the OST evaluator process. The Initial Controller course is a self-study course required to be successfully completed only once.
    - (b) Initial training is required for all exercise controllers who are involved in any portion of an FoF exercise.
  - (2) Advanced Training. Advanced training provides individual skills to ensure safe FoF exercises. Topics included in advanced training are:
    - (a) controller equipment,
    - (b) controller inspections,
    - (c) controlling the ROE,
    - (d) OPFOR pyrotechnics and equipment, and
    - (e) scenario & evaluator review.

NOTE: Advanced training is required of exercise controllers who will be in the field. Advanced training is not required for exercise controllers or evaluators who survey FoF activity via radio communication. The Advanced Controller course is required to be completed successfully only once.

- d. Currency. Prior to every FoF event, site/organization-specific controller training is required. Site specific training includes:
  - (1) safety walk-down of the exercise area,
  - (2) scenario specific information,
  - (3) review and update of the training ROE, and
  - (4) documentation requirements.

4. OPPOSITION FORCE (OPFOR).

- a. Assignments. Personnel selected as OPFOR may include contractor or DOE Federal training staff, DoD participants, and at times, other agency personnel who will be trained to ensure their own health and safety and that of other personnel in the exercise area.
- b. Knowledge, Skills, Abilities (KSAs). Each OPFOR member must possess the skills and knowledge necessary to ensure their own health and safety and that of other personnel in the exercise area and must have the ability to perform the physical aspects required of an OPFOR, control the exercise safely and evaluate FA performance against identified standards, and have the ability to maintain control of field operations. Persons assigned as OPFOR must become knowledgeable of various aspects of OST operations. Personnel participating in performance testing GSP comparable adversaries will be trained in tactics and techniques to challenge the ability of the FPF to defeat an armed adversary.
- c. Basic Training Requirements.
  - (1) OPFOR Requirements include:
    - (a) procedures for issuing equipment,
    - (b) pyrotechnics and equipment with which they may come in contact,
    - (c) safety walk-down of the exercise area,
    - (d) scenario-specific requirements,
    - (e) training ROE, and
    - (f) information as provided by an insider.
  - (2) OPFOR Controller. The OPFOR controller must possess sufficient tactical expertise, knowledge, and physical ability to ensure that his/her presence does not interfere with or hamper the actions of the OPFOR in

completing planned scenario actions. The OPFOR controller is responsible for:

- (a) receiving, training, and providing the exercise director a competent OPFOR that is capable of meeting the exercise goals and objectives by:
  - 1 training the OPFOR on procedures and techniques to safely execute tasks as related to the exercise goals and objectives,
  - 2 ensuring the OPFOR has adequate training/rehearsal appropriate for the exercise goals and objectives,
  - 3 providing OPFOR with the intelligence that is appropriate for the exercise,
  - 4 training the OPFOR on weapons and systems (e.g., MILES 2000, Anti-Tank weapons, etc.) used during the exercise, and
  - 5 training the OPFOR on ROE and supervising adherence to the ROE;
- (b) being an effective liaison with Control One and other key members of the convoy exercise team;
- (c) being an effective liaison with support branches;
- (d) ensuring safety;
- (e) providing logistics and supply;
- (f) supporting technicians;
- (g) briefing OPFOR on operations security and mission classification; and
- (h) being integrated into the OPFOR Team.

## **ANNEX 2. FEDERAL OFFICER PROGRAM**

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1. **OBJECTIVE.** This Annex augments the *Federal Protective Force (FPF) Manual* by establishing specific requirements for the management and operation of the Department of Energy (DOE) Federal Officers (FOs).
2. **POSITION DEFINITIONS AND DUTIES.** DOE Federal employees designated by the Chief Health, Safety and Security Officer or the DOE cognizant security authority as FOs may or may not possess firearms/arrest authority pursuant to section 161 k of the Atomic Energy Act or section 661 of the DOE Organization Act, and must, when directed:
  - a. conduct investigations,
  - b. conduct liaison activities with law enforcement officials,
  - c. perform inquiries into local and national security issues,
  - d. conduct interviews, and
  - e. conduct surveys and inspections.
3. **QUALIFICATION REQUIREMENTS.**
  - a. **Security Clearance.** FOs must possess security clearances commensurate with the highest level of classified information or matter to which they have, or potentially have, access. Security clearances must be obtained in accordance with DOE M 470.4-5, *Personnel Security*.
  - b. **Medical, Physical Fitness, Firearms, and Training Standards.** Armed FOs must complete a formal training and qualification program before being assigned to duties. The training program must be based on assigned functions. Firearms, physical fitness, and medical qualifications must meet DOE requirements for the position assignment as described in Chapter I of this Manual.
4. **TRAINING REQUIREMENTS.**
  - a. **Training and Qualification.**
    - (1) The program must be based on a valid and complete set of job tasks with identified levels of skills and knowledge needed. Knowledge, skills, and abilities (KSAs) necessary to competently perform the tasks associated with assigned FO duties must be identified based on the job analysis (JA) applicable for each job assignment. FOs must demonstrate familiarity with, and knowledge of, the responsibilities identified in the JA for their assignment and must demonstrate proficiency in the skills and abilities necessary to perform required assigned job tasks.
      - (a) All FOs must demonstrate the following:

- 1 knowledge of and ability to perform routine and emergency duty requirements;
  - 2 operation of assigned equipment and vehicles;
  - 3 knowledge of and the ability to apply DOE directives, organization policies, plans, standard operating procedures, specific operational instructions, orders and procedures governing assigned routine and emergency duties;
  - 4 knowledge of Federal- and State-granted authority applicable to assigned activities and responsibilities between the FPF and other law enforcement agencies;
  - 5 knowledge of security practices and procedures; and
  - 6 knowledge of and ability to prepare written reports and provide live testimony.
- (b) All armed FOs must also demonstrate the following:
- 1 knowledge of and proficiency in the use, safety, and care of all weapons required by duty assignment, to include weapons effects, capabilities, and the proper use of various types of ammunition;
  - 2 knowledge of and ability to apply DOE requirements for the use of deadly force and limited arrest authority;
  - 3 knowledge of and ability to apply general, as well as site/organization-specific, rules of engagement for the application of deadly force;
  - 4 knowledge of and ability to apply procedures and requirements for investigations, search of persons, seizure, of property and preservation of evidence;
  - 5 knowledge of and ability to obtain and serve warrants; and
  - 6 knowledge of and proficiency in the methods of self defense, intermediate force options, detention, and arrest.
- (2) The program must aim at achieving a well defined level of competency; specifically, mission accomplishment and survivability.
- (3) The program must employ standardized lesson plans with clear performance objectives as a basis for instruction. Lesson plans used regularly must be reviewed for currency any time training requirements

are changed and must be reviewed and/or revised for currency before training is conducted.

- (4) The program must be documented so individual and overall training status is easily accessible (individual training records must be retained until 1 year after termination of the employee as a FPF member unless a longer retention period is specified by other requirements).
  - (5) The program must consider the learning characteristics and entry-level competencies of trainees.
- b. Armed FO Instruction. The training program for armed FOs must include, but is not limited to, the following types of instruction:
- (1) firearms training including safety, marksmanship, and manipulation skills with all weapons reasonably expected to be employed;
  - (2) physical fitness training;
  - (3) safety; and
  - (4) legal requirements and responsibilities include use of deadly force, site/organization-specific rules of engagement (see Appendix A of this Manual), limited arrest authority [see 10 Code of Federal Regulations (C.F.R.) Part 1047, *Limited Arrest Authority and Use of Force by Protective Force Officers*, and 10 C.F.R. Part 1049, *Limited Arrest Authority and Use of Force by Protective Force Officers of the SPR*], and fresh pursuit (see Appendix A of this Manual).
    - (a) Procedures and requirements for investigations include the search of persons and property for evidence and recognition, seizure, and preservation of evidence.
    - (b) Post incident response includes actions such as crime scene preservation and prisoner control.
    - (c) Procedures include the application of the provisions of the Fourth and Fifth Amendments to the Constitution of the United States.



## **ANNEX 3. SPECIAL OPERATIONS PROGRAM**

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### **CHAPTER I. MANAGEMENT**

1. **MISSION.** The mission of the Special Operations Program is to provide executive protection in order to prevent the kidnapping, intentional or unintentional harm/injury to or harassment of the Secretary of Energy and others when designated by the Secretary. Executive protection operations and services will not be provided without the knowledge and specific approval of the Secretary. The Special Operations Program may be charged to investigate threats against assigned dignitaries and to perform national security investigations on behalf of the Department.
2. **GENERAL.** Special Operations Program Special Agents are Criminal Investigators (GS-1811) as defined by the Office of Personnel Management (OPM). While generally operating in conformance to the requirements of this manual, this Annex provides authorized variations to base requirements for Special Operations Program operations. This Annex applies only to SAs assigned to the Special Operations Program and others detailed by memorandum of understanding (MOU) to the Special Operations Program.
3. **ALLOCATION OF PERSONNEL RESOURCES.** The Special Operations Program will employ its personnel resources to accomplish the mission. Shift schedules and/or travel plans will maximize the use of available trained, qualified, and cleared personnel without degrading mission readiness and duty performance resulting from fatigue and low unit morale.
4. **REQUIREMENTS.**
  - a. SAs must comply with applicable requirements contained in this Manual, including those specified in this annex. SAs must comply with all DOE and Special Operations Program guidance.
  - b. SAs of the Special Operations Program are designated as emergency essential personnel. They are required to report for duty despite delay or closures of sites/facilities or to remain at work when directed to do so and may be disciplined if they fail to make reasonable efforts to report for duty.
5. **QUALIFICATIONS.**
  - a. Applicants for SA positions will be evaluated on their knowledge, skills, and abilities (KSAs) in accordance with the Office of Personnel Management (OPM) Classification Standard for Administrative Work in the Inspection, Investigation, Enforcement and Compliance Group, 1800 (March 2009).
  - b. SAs must complete the Federal Law Enforcement Training Center's (FLETC) Criminal Investigator Training Program or equivalent as approved by the Director, Office of Headquarters Security Operations.

- c. SAs must complete the Special Operations Program New Agent Orientation training and qualification program before receiving DOE credentials and performing any law enforcement functions.
  - d. SAs must conform to the medical standards established for GS-1811s as contained in the OPM's Operating Manual, "Qualifications Standards of General Schedule Positions."
  - e. SAs shall successfully complete the requirements of the FLETC Physical Efficiency Battery. SAs shall be tested annually within 30 days of the annual medical assessment as required by DOE. Fitness levels shall be considered in annual performance ratings. Inability to meet medical and/or physical fitness requirements shall result in loss of armed status.
6. CREDENTIALS AND SHIELDS. Credentials and shields are issued to qualified SAs in accordance with the FPF Manual with only two exceptions.
- a. SA shields will bear the shield number imprinted on the back.
  - b. Employees who have been "law enforcement officers" as defined in 5 U.S.C. section 5541(3) for at least 20 years and are retiring directly from the DOE as an SA, will be offered souvenir Retired SA credentials that convey no arming or arrest authority.

## CHAPTER II. TRAINING

1. GENERAL PROGRAM REQUIREMENTS. The training and qualification programs used by the Special Operations Program will be based on criteria established by the Federal Law Enforcement Training Center or will have Federal Law Enforcement Training Accreditation.
2. TRAINING PROGRAM PLANNING. The Special Operations Program training program will be based on the Special Agent (SA) Professional Qualification Program (PQP). The PQP is part of a career-long learning continuum for SAs that will include advanced education, formal training, individual qualifications, individual learning opportunities and experienced-based learning. The PQP is established to improve the growth and development of our personnel. The program is rigorous and comprehensive, with a foundation in professional competencies that applies to Federal law enforcement.
  - a. A five-year training plan will be developed based on the PQP and will be reviewed annually for necessary modifications.
  - b. The PQP will address initial training, on-the-job training, refresher training, remedial training, specialty training and professional development.
3. INSTRUCTORS. Special Operations Program SA instructors will be certified by the Federal Law Enforcement Training Center (FLETC), Secret Service, Diplomatic Security Service or be monitored by a FLETC-certified instructor while teaching.
  - a. Instructors must have performed SA-related duties or have received familiarization with the duties.
  - b. The Special Operations Program will use FLETC/DOE training courses whenever possible.
  - c. If a FLETC/DOE training course has not been developed for a required skill, then certified instructors will review proposed training courses available from outside sources to determine their suitability or will develop the training internally.
4. FIREARMS QUALIFICATIONS. SAs will qualify with all duty weapons in accordance with Chapter V of this Manual by successfully completing the appropriate DOE or FLETC firearms qualification courses under both daylight and reduced lighting conditions.

### CHAPTER III. EQUIPMENT AND FACILITIES

1. EQUIPMENT. Special Agents (SAs) must be provided with the necessary resources to effectively, efficiently, and safely perform both routine and emergency duties under daylight or reduced visibility conditions. Equipment—specifically weapons, personal protective equipment, and communications systems—must be tailored to effectively perform missions specific to the Special Operations Program. Equipment must be available in sufficient quantities and properly maintained to support Special Operations Program missions.
2. FACILITIES. Local, State, and Federal training facilities are acceptable alternatives to DOE-owned facilities as long as required DOE certifications and safety guidelines are maintained. Operations performed at other facilities may be in accordance with local procedures; however, safety standards must conform to DOE requirements. A Memorandum of Understanding delineating such use must be completed and approved by DOE line management. (See DOE O 440.1B *Worker Protection Program for DOE (Including the National Nuclear Security Administration) Federal Employees*.)

## CHAPTER IV. PERFORMANCE TESTING

1. PERFORMANCE TESTS (PTs). PTs must be used to realistically evaluate and verify the effectiveness of Special Operations Program programs, identify needed training, provide training for personnel, validate implemented improvements and motivate personnel. Such tests must adhere to the requirements found in this Chapter. All major Special Operations Program functions must be tested annually.
  - a. Limited Scope Performance Tests (LSPTs).
    - (1) LSPTs may be either scheduled or unannounced. The tests must be used to determine the level of skill or capability or to verify different elements of the Special Operations Program program. LSPTs must be conducted to realistically test any operation or procedure, verify the performance of a policy requirement, or verify possession of a requisite knowledge or skill to perform a specific task that falls within the scope of Special Agent (SA) responsibility.
    - (2) The tests may involve large numbers of personnel working together or an individual or small team. When individuals or small teams are tested, tests may be repeated with each individual or team. Examples of these tests include individual and team tactical movement, defensive and offensive positioning, executive protection techniques, arrest and control procedures, building clearing, handling civil disturbances, command and control activities, implementing protection strategies, or any individual components of these activities.
    - (3) Any element of SA responsibility, as determined by organization procedures and job analysis, may be tested. LSPTs may involve the use of dedicated engagement simulation systems (ESS); multiple integrated laser engagement system; and dye-marking cartridge, blank-fire, or inert systems, and such use must meet the operational and safety requirements where applicable.
  - b. Attacks on Principal (AOP). AOP exercises are major tests of the overall effectiveness of all elements involved in response and mission-specific threats and are used also to validate mission-specific protection strategies. AOP exercises must be held annually. AOP scenarios must include the parameters of the various adversary weapons, equipment, number of adversary personnel, and methodologies. Scenario content must be controlled on a strict need-to-know basis to foster realistic exercise activities and evaluation. Exercises must be planned, announced in advance to all participating parties, and conducted during specified time periods. Personnel must be designated and briefed in advance to act as adversaries. Comparable adversary combatants trained in tactics to challenge the ability of the SAs to defeat an armed adversary will participate in PTs. Interface procedures including rules of conduct for all participants, controller actions, exercise boundaries, and off-limit areas must be developed and

documented. All exercise participants and controllers must be briefed on the interface and communication procedures.

2. PT AND TRAINING ACTIVITIES PLANNING. The areas in Appendix B, Section 4 of this Manual must be considered and included, as applicable, in the development of a typical AOP plan or for an LSPT involving the use of ESS.
3. SAFETY. PTs must be conducted with the highest regard for the safety and health of personnel, protection of the environment, and protection of Government property. Mission-specific procedures addressing the conduct of PTs, the use of ESS, and safety considerations must be prepared by the Special Operations Program Training Coordinator and approved by the Program Manager, Special Operations Program.
4. COMMAND AND CONTROL. Command and control as identified in Appendix B, Section 6 of this Manual must be considered and included, as applicable, in the development of a typical AOP plan or for an LSPT involving the use of ESS.
5. COORDINATION. When a Command Post Exercise (CPX) or Command Field Exercise (CFX) involves a demonstration of emergency response capabilities, the development and conduct of the exercise must be coordinated with the appropriate level emergency management organizations.
6. TESTING FREQUENCY. PTs must be conducted as stated in Table 1, Testing Frequency.

NOTE. Annual requirements for AOP, CPX, CFX, and Joint Testing Exercise (JTX) exercises may be combined when determined appropriate by the Director.

**Table 1. Testing Frequency**

<b>Type of Performance Test</b>	<b>Minimum Performance Test Frequency</b>
LSPT	Individual and unit tactics LSPTs conducted monthly. All other LSPTs as required.
AOPs	Annually