



U.S. Department of Energy  
Office of Inspector General  
Office of Inspections and Special Inquiries

# Inspection Report

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Protective Force Training at the  
Department of Energy's Oak Ridge  
Reservation



## Department of Energy

Washington, DC 20585

June 24, 2005

### MEMORANDUM FOR THE SECRETARY

FROM:

*Greg Friedman*  
Gregory H. Friedman  
Inspector General

SUBJECT:

INFORMATION: Inspection Report on "Protective Force Training at the Department of Energy's Oak Ridge Reservation"

### BACKGROUND

The Office of Inspector General received an allegation that a security police officer at the Oak Ridge Reservation was given credit for training that was not received. Wackenhut Services, Inc., the security contractor at Oak Ridge, provides protective force services, including refresher training, for the Reservation. The purpose of our inspection was to determine if the allegation was valid and if, as a consequence, there was any impact on the overall implementation of protective force training at the Reservation.

### RESULTS OF INSPECTION

Our inspection confirmed the essence of the facts presented in the allegation. Of greater importance, we concluded that there were material shortcomings in the implementation of the protective force training program at the Oak Ridge Reservation. Specifically, we found:

- Protective force personnel spent, on average, about 40 percent less time on combat readiness refresher training than that specified in the approved Fiscal Year 2004 training plan;
- For some personnel, planned training time was formally reported to the Department as actual training time, resulting in an overstatement of training received;
- Protective force personnel at the Y-12 National Security Complex routinely worked in excess of 60 hours per week, despite a 60 hour maximum threshold for safe operations established in the Department of Energy Protective Force Program Manual. There was evidence that working excessive overtime negatively impacted the ability or willingness of some protective force personnel to complete required physical fitness training; and,
- Some protective force personnel signed attendance rosters for on-the-job refresher training without receiving the training.

The report includes recommendations for corrective actions to address these issues.



## MANAGEMENT REACTION

While formally concurring with the findings and recommendations in this report, management articulated areas of disagreement on selected core issues. A summary of our analysis of management's position follows.

During our review, we recognized and acknowledged that planned training time by subject area is only one criterion in evaluating the implementation of a protective force training program; ultimately, the objective is site security and the proficiency of the protective force. However, our review confirmed that Department security experts, based on years of experience, developed the published training standards as Department-wide benchmarks. We concluded that either these standards are valid, and, thus, should be adhered to throughout the complex, or Department security policy should be revised to treat the standards as merely "goals" rather than requirements. And, if so, the Department needs to determine what deviation from the "goals" is acceptable given the security implications at sensitive sites such as Oak Ridge.

Secondly, despite the implication of the comments from management, we did not assess nor did we comment on the overall effectiveness of the training program or the security posture at the Reservation. However, we did note that a Fiscal Year 2004 review at Oak Ridge by the Department's Office of Independent Oversight and Performance Assurance identified several instances where certain tactical skills of some protective force personnel were deficient and recommended improvements to the tactical training being provided.

Management, according to its comments, thought that our concern as to excessive overtime for the protective force was overstated. In support of its position, management cited: the terms of the collective bargaining agreement between Wackenhut and its protective force employees, which management claimed allows protective force personnel to volunteer to work for up to 76 hours per week; the existence of a "post 9-11" variance from overtime limitations cited in the Department's Protective Force Program Manual; and the results of recent protective force physical fitness tests. With regard to the first point, while the collective bargaining agreement is an important issue, we concluded that it may be incompatible with the Department's Protective Force Program Manual's 60 hour threshold, which was designed to ensure that protective force personnel worked at peak physical and mental effectiveness. Further, the variance granted post 9-11 by Department security managers at Oak Ridge was intended only until such time as a sufficient number of protective force personnel could be hired and trained, reducing the need for significant amounts of overtime. Finally, with regard to the protective force fitness tests, the evidence available is apparently mixed. As the report states, we were informed that there has actually been a degradation in the aerobic capacity of the protective force, which is a widely accepted indicator of fitness level.

Attachment

cc: Deputy Secretary  
Under Secretary for Energy, Science and Environment  
Administrator, National Nuclear Security Administration  
Chief of Staff  
Manager, Oak Ridge Office  
Manager, Y-12 Site Office  
Director, Office of Security and Safety Performance Assurance  
Director, Policy and Internal Controls Management  
Director, Office of Program Liaison and Financial Analysis

# PROTECTIVE FORCE TRAINING AT THE DEPARTMENT OF ENERGY'S OAK RIDGE RESERVATION

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# Overview

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## **INTRODUCTION AND OBJECTIVE**

The Department of Energy (DOE) mission at the Oak Ridge Reservation, which includes the Y-12 National Security Complex (Y-12), the Oak Ridge National Laboratory, East Tennessee Technology Park (ETTP), and the DOE Federal office complex, requires a paramilitary protective force comprised of several hundred security police officers to safeguard the production and storage of nuclear weapons components, special nuclear material, and other sensitive work. The force also includes a Special Response Team (SRT) at Y-12 comprised of specially trained officers who are responsible for engaging and defeating adversaries with advanced capabilities. The protective force is required to complete refresher training each year to ensure that each officer maintains the skills necessary to protect DOE assets from theft and other acts that may cause adverse impacts on national security or the health and safety of the public.

Wackenhut Services, Inc. (Wackenhut), which is a security contractor, provides protective force services, including refresher training, for the Oak Ridge Reservation.

The Office of Inspector General (OIG) received an allegation that a security police officer at the Oak Ridge Reservation was given credit for training that was not received. Therefore, the objective of this inspection was to determine if the protective force training program at the Oak Ridge Reservation was being appropriately implemented.

## **OBSERVATIONS AND CONCLUSIONS**

Our inspection confirmed the essence of the facts presented in the allegation. Of greater importance, we concluded that the protective force training program at the Oak Ridge Reservation was not being appropriately implemented. Specifically, we found that:

- Protective force personnel, on average, spent about 40 percent less time on combat readiness refresher training than that specified in the approved Fiscal Year (FY) 2004 training plan. Further, there is evidence that for some personnel, Wackenhut reported planned rather than actual training time in its quarterly protective force strength and overtime reports to the Department.
- Protective force personnel at Y-12 routinely worked in excess of 60 hours per week. This was in direct contradiction to the DOE Protective Force Program Manual, which established a 60 hour maximum threshold for safe operations. There was

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evidence that working excessive overtime negatively impacted the ability or willingness of some protective force personnel to complete required physical fitness training.

- Some protective force personnel signed attendance rosters for on-the-job refresher training without receiving the training.

Wackenhut officials took the position during our review that attempting to correlate specific training tasks to time requirements may not be a valid test of the quality of the protective force training program. They also took the position that there are other performance metrics which are more important, such as meeting the DOE minimum qualification requirements. We recognized this concern as our work evolved in this area. However, we concluded that the Department's safeguards and security specialists established time-related benchmarks for training based on substantial subject matter expertise and many years of training experience. Thus, while our report includes a recommendation that the Department review its protective force training standards, in the absence of new training metrics, we concluded that our evaluation of the training program at the Oak Ridge Reservation relied on the best information available.

The OIG has issued a number of reports concerning protective force training. A listing is provided at Appendix B of this report.

## Details of Findings

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### **COMBAT READINESS TRAINING**

We found that protective force personnel, on average, spent about 40 percent less time on combat readiness refresher training than that specified in the approved FY 2004 training plan. The training plan was required by DOE Manual 473.2-2, *Protective Force Program Manual*. Further, there is evidence that for some protective force personnel, Wackenhut reported planned rather than actual training time in its quarterly protective force strength and overtime reports to the Department.

Both Title 10 of the Code of Federal Regulations, Part 1046 (10 CFR 1046), *Physical Protection of Security Interests*, and the DOE Protective Force Program Manual require security police officers to complete annual security refresher training to maintain the competencies needed to fulfill their protective force mission. The refresher training is based on lesson plans and associated training hours developed and approved by the DOE National Training Center (NTC). NTC develops protective force training courses, such as firearms training, and assigns a number of hours to each course for the training. Each year DOE sites develop and approve protective force training plans that include training courses developed by the NTC, as well as additional training to address training needs that are specific to the site. For example, the Oak Ridge site-specific training plans for FY 2004 consisted of training courses to provide SRT officers a total of 154 hours of combat readiness refresher training, which included training hours developed by the NTC. The Oak Ridge training plans also provided for non-SRT officers to receive a total of 66 hours of combat readiness refresher training. We were informed by a Wackenhut training official that the majority of protective force training for the Oak Ridge Reservation is based on training courses developed by the NTC. The training plans and associated training hours were approved by Oak Ridge Office management in September 2003 and Y-12 Site Office management in October 2003.

### **SRT Officers**

Training transcripts list all of the training courses taken by a protective force officer and the time designated for each course. Protective force officers attend combat readiness refresher training based on shift assignments; and, travel together as a shift to and from the training center. We reviewed training transcripts, training attendance rosters, payroll charges, and site access records for ten percent of the SRT officers. Our review included SRT officers from four different shifts at Y-12 so as to be representative of the population.



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We determined that the SRT officers in our sample spent significantly less time in training than was designated by the approved training plan. Specifically, the SRT officers spent an average of 89 hours on training in various combat readiness skills, but were credited with completing the entire 154 hours of training designated in the approved FY 2004 training plan. For example:

- A training transcript listed seven separate training courses taken on the same day, including a team tactical exercise and chemical and biological warfare training. The approved training plan designated 13.5 hours for this training. However, the SRT officers spent less than 4 hours in training.
- A training transcript gave credit to SRT officers for 12 weapons and team tactical training courses on the same day. The approved training plan designated 16.5 hours for this training. However, the SRT officers spent about 5 hours in training.
- A training transcript gave credit to SRT officers for 12 training courses, on the same day, involving training on vehicle assault, handgun malfunctions, and the use of force. The approved training plan designated 24 hours for this training. However, the SRT officers spent 4.5 hours in training.

### **Non-SRT Officers**

We also determined that non-SRT protective force officers did not spend the amount of time in combat readiness refresher training designated by the approved training plan. The FY 2004 approved training plan designated 66 hours of refresher training for these officers in various combat readiness skills. Based on a limited sample, we found that these officers only received an average of 44 hours of training. However, unlike the SRT officers, who received credit on their training transcripts for the total time designated in the training plan, the non-SRT officers generally only received credit for the hours of refresher training they actually performed.

We compared refresher training at the Oak Ridge Reservation with that provided by a contractor at another major Department site. In contrast, we found the protective force officers at the other site, both SRT and non-SRT officers, on average, spent close to 100 percent of the time designated by their approved training plan in combat readiness refresher training. We also found that the training plans for both sites called for a similar number of hours for combat readiness refresher training.

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## Reporting

As part of the award fee self-evaluation process, Wackenhut reported that it had met all the training objectives outlined in the Y-12 annual training plan. In addition, quarterly reports submitted to DOE by Wackenhut reflected that SRT officers received the total number of training hours designated in the training plan, not the number of hours they actually trained. We noted the DOE contract allows Wackenhut to group training hours with hours incurred to perform other aspects of the contract. In our view, grouping the reduced training hours with other hours, in conjunction with the Wackenhut reports to DOE of higher training hours, may obscure DOE's ability to evaluate the efficiency of the other operations.

When asked, Wackenhut officials stated that they train to meet DOE standards and not to a specified amount of time. Wackenhut officials view the time designated in the approved training plan as a goal, rather than a requirement. In addition, they indicated that as long as the protective force officers passed the DOE minimum qualification tests, then all the training requirements had been met.

As noted in the Observations and Conclusions section of this report, hours of training may not be the only metric pertinent to evaluation of protective force training. However, according to DOE training officials, significant deviations from the time specified in an approved plan should be reported to the DOE site officials who approved the training plan, as certain combat readiness skills may be diminished if protective force training is significantly reduced. For example, the more time spent in training, the greater the opportunity for protective force personnel to gain increased familiarity with weapons and equipment and to improve their reaction times in emergency situations. Despite a 40 percent reduction in training time, Wackenhut did not notify DOE of the reduced training hours. We believe that the Department should clearly establish whether hours in site annual training plans designated for refresher training are requirements or goals. If it is determined that the training plans are only goals, the Department should determine the extent to which deviations from the training hours in the approved plans are acceptable.

We also noted that the DOE Office of Independent Oversight and Performance Assurance (OA), which is part of the DOE Office of Security and Safety Performance Assurance, identified several instances during a review of selected Oak Ridge Reservation protective force personnel in FY 2004 where certain tactical skills were deficient. In their classified report, OA officials

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recommended improvements to the tactical training provided by Wackenhut. We observed that many of the courses that officers completed in fewer training hours than designated in the approved FY 2004 training plan involved tactical training.

## **PROTECTIVE FORCE OVERTIME**

Protective force personnel at Y-12 routinely worked in excess of 60 hours per week. This was in direct contradiction to the DOE Protective Force Program Manual, which established a 60 hour maximum threshold for safe operations. There was evidence that working excessive overtime negatively impacted the ability or willingness of some officers to complete required physical fitness training.

The DOE Protective Force Program Manual states that protective force work schedules should be no more than 60 hours per week and must provide adequate training time and sufficient time off to ensure personnel work at peak physical and mental effectiveness. However, in May 2002, DOE approved a variance for the Oak Ridge Reservation from this requirement to address additional protection needs arising from September 11, 2001 (9-11), with the agreement that additional protective force personnel would be hired to address the increase in overtime and that officers would not work more than 72 hours in any work week. Almost three years after approving the variance, the protective force personnel assigned to Y-12 continue to work excessive amounts of overtime. For example, at Y-12, we found that in FY 2004, 39 percent of SRT officers and 28 percent of other protective force officers worked, on average, more than the 60 hours per week limit in the DOE Protective Force Program Manual. Of these officers, over 40 percent worked more than 70 hours per week, with some exceeding the 72 hour maximum work week established by the variance.

## **Physical Fitness Training**

Some protective force personnel cited excessive overtime as a reason for not completing required physical fitness training. In 10 CFR 1046, it requires that protective force personnel participate in continuing physical fitness training to ensure that they can effectively perform their normal and emergency duties. Until November 2001, an on-site, supervised physical fitness program was in place to meet this requirement. A primary goal of this program was to improve safety by reducing the risk of injury to the protective force. Under the current physical fitness training program, the protective force is paid to train outside of work on an honor system.

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We questioned 10 randomly selected protective force officers at Y-12 about their physical fitness training. All of these officers disclosed that they did not always complete the required physical fitness training. They attributed this to the extensive amount of overtime they worked. Several officers reported to us that because they were not able to keep up with physical training, they were concerned about their declining physical fitness. Their concerns appear to be supported by an internal analysis of protective force physical fitness. This analysis showed the aerobic capacity of the protective force, which is a widely accepted indicator of fitness level, had declined by 3.3 percent between 2000 and 2003. We provided information regarding the issue of protective force officers accepting physical fitness training pay, but not completing physical fitness training, to the OIG Office of Investigations.

### **Overtime Requirements**

The National Nuclear Security Administration's (NNSA) Y-12 Site Office Manager cited increased threat levels in the post 9-11 environment, including several major revisions of the Department's Design Basis Threat Policy and other increased security requirements, as factors leading to excessive overtime. The Site Manager indicated that Y-12 would like to do more to address the overtime situation, and, in some cases, has made progress in reducing protective force overtime. However, the Site Manager noted that significant funding constraints combined with increasing requirements have resulted in a continuing problem at Y-12 and other Department sites with protective force overtime. A Wackenhut official indicated that it could take several years before the protective force could be increased in strength enough that overtime requirements would not impact training time. We recognize that addressing current requirements and constraints with existing resources is a complex issue. However, the Department must take steps to realistically address the impact of continued excessive overtime on protective force readiness.

### **ON-THE-JOB TRAINING**

We found that some protective force personnel signed attendance rosters for on-the-job refresher training without receiving the training. On-the-job refresher training for protective force officers is conducted during an officer's normal work activities and includes training in a wide variety of topics, such as conducting security patrols, security alarm assessments, and hasty overt entries. We were told by some protective force officers that, on occasion, they would be asked if they needed training on a topic. If the officers indicated that they did not need training, they were allowed to sign the training attendance roster without receiving any training or demonstrating their proficiency in the training topic.

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The rosters were then used to give the officers credit for receiving training. In addition, we identified four instances when a signature on a training attendance roster was falsified, but we were unable to identify who falsified the signatures. The matter regarding the falsification of signatures was referred to the OIG Office of Investigations.

## **RECOMMENDATIONS**

Given the importance of the Oak Ridge Reservation to the Nation's security, we believe actions should be taken to ensure the protective force is properly trained. Therefore, we recommend that the Manager, Oak Ridge Office, and the Manager, Y-12 Site Office, for their respective contracts with Wackenhut Services, Inc.:

1. Determine if the protective force is receiving the appropriate level of training necessary to meet the DOE training requirements for protective force officers.
2. Ensure that Wackenhut reports the actual hours spent in training by protective force personnel rather than the planned hours.
3. Evaluate whether the variance that allowed Oak Ridge to deviate from the DOE Protective Force Program Manual overtime guidelines remains appropriate for the Oak Ridge Reservation protective force.
4. If it is determined that the variance should remain in effect, establish a time period for reevaluating the variance and penalties for exceeding the approved variance.
5. Evaluate whether a supervised physical fitness training program for protective force personnel should be reestablished on-site to improve security readiness and to reduce the safety and health risks to protective force personnel.
6. Strengthen internal controls for the on-the-job training program to ensure that training credit is given only when training has been received.
7. Evaluate the impact of the issues discussed in this report on Wackenhut's award fee.

We also recommend that the Director, Office of Security and Safety Performance Assurance:

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8. Review the issues identified in this report and incorporate steps in future assessments at Oak Ridge and other DOE sites to ensure that protective force refresher training is being appropriately implemented.
  9. Examine whether hours in site annual training plans designated for refresher training are requirements or goals and develop guidelines regarding the extent, if any, that deviations from the training hours in the approved plans, such as training only to qualify at minimum standards, are acceptable.

## **MANAGEMENT COMMENTS**

Management concurred with the findings and recommendations. Recommendation 2 was revised after comments were received from the Oak Ridge Office. The Oak Ridge Office subsequently advised us that they concurred with the revised recommendation.

Management commented that protective force training is geared toward attaining and demonstrating a desired level of proficiency, rather than mandating a minimum amount of hours to train for the tasks, especially when proficiency has been proven in less than the allotted time. They advised that this “training to standard” is an accepted practice operationally and with the Department’s National Training Center. They also advised that evaluations of training by the Government Accountability Office, OA, OIG, and others have found the quality of protective force training meets Departmental requirements.

Management commented that the number of hours worked by the protective force was within the collective bargaining agreement between Wackenhut and the protective force union, and the Department did not need to grant a variance to Wackenhut from meeting the DOE Protective Force Program Manual requirement regarding overtime.

Finally, management commented that the current pass rate for the annual physical fitness tests is approximately 98 percent, which lends credence to the success of the offsite training program.

Management’s comments are included in their entirety as Appendix C to this report.

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**INSPECTOR  
COMMENTS**

Management's comments indicated a fundamental disagreement on the core issues in our report. We carefully considered the positions asserted by management and did not find them compelling.

We recognize and acknowledge that planned training time by subject area is only one criterion in evaluating the implementation of a protective force training program. However, our review confirmed that Department security experts, based on years of experience and much consideration, developed the published training standards as a Department-wide benchmark. We concluded that these standards either are valid, and thus should be adhered to throughout the complex, or that Department security officials should declare the standards to merely be goals rather than requirements. If the standards are merely goals, the Department needs to determine what variation from the goal is acceptable given the security implications at sensitive sites such as Oak Ridge.

Also, we did not assess the overall effectiveness of the training program at Oak Ridge, nor did we evaluate the security posture at the Reservation. However, we did note an FY 2004 review at Oak Ridge by the Department's Office of Independent Oversight and Performance Assurance identified several instances where certain tactical skills of some protective force personnel were deficient, and recommended improvements to the tactical training being provided.

Management disagreed with our concern regarding excessive overtime for the protective force. In support of its position, management cited the terms of the collective bargaining agreement with Wackenhut, which management claims allows protective force personnel to volunteer to work for up to 76 hours per week; the existence of a "post 9-11" variance from overtime limitations cited in DOE's Protective Force Program Manual; and, the results of recent protective force physical fitness tests.

With regard to the first point, while the collective bargaining agreement is an important issue, we concluded that it was incompatible with the stated objective of the DOE Protective Force Program Manual to ensure that protective force personnel worked at peak physical and mental effectiveness. Further, the variance granted post 9-11 by the Department security managers at Oak Ridge was intended only until such time as a sufficient number of protective force personnel could be hired and trained. Finally, with regard to the protective force fitness tests, as the report states, we

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were informed that there has actually been a degradation in the aerobic capacity of the protective force, which is a widely accepted indicator of fitness level.



## Appendix A

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### **SCOPE AND METHODOLOGY**

The fieldwork for this inspection was conducted between November 2004 and March 2005. The inspection included a comparison of training, payroll, and site access records for FY 2004 for 21 protective force officers that were randomly selected to represent all the sites and varying shifts. The inspection also included:

- Interviewing 45 people who administer, deliver or receive protective force training;
- Reviewing FY 2004 annual training plans approved by the Y-12 Site Office and the Oak Ridge Office;
- Reviewing the Y-12 Site Office and Oak Ridge Office contracts for protective force services; and,
- Interviewing Federal and contractor security personnel.

We found that the protective force contracts for the Oak Ridge Reservation contained appropriate performance measures to address protective force training, pursuant to the Government Performance and Results Act of 1993. This inspection was conducted in accordance with the “Quality Standards for Inspections” issued by the President’s Council on Integrity and Efficiency.

## Appendix B

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### PRIOR OIG REPORTS

The OIG has issued the following reports addressing protective force training:

- *The Department's Basic Protective Force Training Program*, DOE/IG-0641, March 2004.
- *Protective Force Performance Test Improperities*, DOE/IG-0636, January 2004.
- *Management of the Department's Protective Forces*, DOE/IG-0602, June 2003.
- *The Restructure of Security Services by the Oak Ridge Operations Office*, DOE/IG-0487, October 2000.
- *Security Overtime at the Oak Ridge Operations Office*, ER-B-00-02, June 2000.

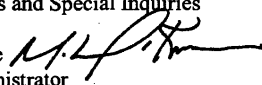


Department of Energy  
National Nuclear Security Administration  
Washington, DC 20585



**MAY 25 2005**


MEMORANDUM FOR Alfred K. Walter  
Assistant Inspector General  
for Inspections and Special Inquiries

FROM: Michael C. Kane   
Associate Administrator  
for Management and Administration

SUBJECT: Comments to IG's Draft Report on Protective Force  
Training

The National Nuclear Security Administration (NNSA) appreciates the opportunity to have reviewed the Inspector General's (IG) draft inspection report: "Protective Force Training at the Department of Energy's Oak Ridge Reservation." We understand that this inspection was based on an allegation that a security police officer at the Oak Ridge Reservation was given credit for training that was not received. After reviewing the report and the comments that have been submitted to us, we do not believe that there is any basis for the allegation. We further believe that the IG did not take into consideration the methodology of training to standards rather than training to compliance nor did they take into consideration the contractual agreement with the appropriate Labor Union. We are, however, forwarding the information about signing attendance rosters without receiving training to the Investigations unit. Below are NNSA's comments to some of the report's conclusions.

- **Signing attendance rosters without receiving training** – We take the IG's comment that some protective force personnel signed attendance rosters for on-the-job training without receiving the actual training quite seriously. In fact, that matter has been referred for investigation and therefore it is not appropriate to comment on these allegations until such time as the investigation has been completed.
- **Spending less time on training than specified in the training plan** – The IG is correct when stating that the training syllabus, or plan, and amount of time needed to train to the plan is established by security subject matter experts. The training plan referred to by the IG is developed annually to meet Federal regulations and departmental orders. The individual lesson plans derived from the syllabus are developed by the

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National Training Center for the Basic Security Police Officer (SPO) Training Course, the SPO III Basic Qualification Course, and other specialty courses. However, the lesson plans are based on an entry level of competence assumed of individuals. The recommended hours to train are designed to ensure mastery of the knowledge, skills, and abilities necessary to meet task requirements. Actual hours needed to train vary depending on class size, individual levels of competence, combined training, and prior skills and experience of students. The NNSA methodology of operations is based on working efficiently and effectively rather than being strictly compliance driven. Departmental orders recognize this efficiency by acknowledging that if individuals satisfactorily demonstrate a knowledge, skill, or ability they may be exempt from portions of formal annual refresher training. The efficiency in this is that we train to a standard (a term of art) which is an accepted practice operationally and with the Department's National Training Center. Therefore, while the IG may be correct in identifying a 40 percent delta between planned and actual training, there is no indication that the results obtained through training to a standard is any less effective or efficient than to generic training plans. Contractually and administratively the reporting of training accomplished citing planned hours rather than actual hours is a consequence of requirements. The security contractor is reimbursed only for actual hours worked regardless of whether the individual is in a training status or an operational status.

- **Routinely working in excess of 60 hours a week** – The IG is correct in mentioning that the Protective Force Program Manual establishes a 60 hour maximum threshold for safe operations. However, the Manual also states work schedules are to be based on, and be consistent with, collective bargaining agreements and with contractual requirements. In this case the security contractor entered into an agreement with the International Guards Union of America, Local Number 3, that allows up to 62 hours of mandatory work. The agreement also allows Security Police Officers to volunteer for up to a total of 76 hours a week. Since the Manual states that hours worked must be consistent with appropriate collective bargaining agreements, there is no discrepancy to be noted. It is important to note that prudently managed overtime worked is an appropriate management tool, which can result in keeping costs under control with changing threat conditions. With the changes in the Design Basis Threat (DBT) and time required to recruit, train and obtain clearances for new SPOs, overtime is a necessary requirement to accomplish mission needs. The role of Federal oversight is to ensure that the security contractor effectively and efficiently manages the amount of overtime experienced and to continue to institute actions to minimize overtime. This oversight includes actions by the contractor, with Federal involvement, to appropriately move physical fitness training to off-shift time periods, disestablish the Relief Shift and

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assign all personnel to rotating shift duties, conduct training on scheduled days off, and to identify and eliminate unnecessary positions.

Regarding the recommendations, we generally agree with all but two of the recommendations but request that the IG review their recommendations in light of our comments, as stated above.

#### **Recommendations**

- 1. Determine if the protective force is receiving the appropriate level of training necessary to meet the DOE training requirements for protective force officers.**

#### **Management Comment**

Concur.

WSI-OR's Annual Refresher Training consists of all tasks and requirements contained in DOE Manual 473.2-2, as well as various job tasks identified in site specific job analyses for each position that tests or trains necessary skills for daily operations, legal authority, and other compliance training. Combat Readiness Training is primarily conducted onsite, on-the-job, during shift drills, during limited scope performance tests, and engagement simulation system exercises. Past and ongoing inspections, reviews, audits, and assessments confirm that the appropriate level of training has been and continues to be given to meet DOE training requirements. This includes formal reviews by the DOE Office of Independent Oversight and Performance Assurance (OA), General Accounting Office audits, Office of Inspector General audits/inspections, YSO assessments, and assessments by the DOE National Training Center.

- 2. Ensure that Wackenhut reports the actual hours spent in training by protective force personnel rather than the planned hours.**

#### **Management Comment**

Concur

Since we stated that "training to standard" is a current and acceptable practice, we will take the appropriate actions to ensure actual hours for training are reported rather than planned hours.

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3. **Evaluate whether the variance that allowed Oak Ridge to deviate from the Protective Force Program Manual overtime guidelines remains appropriate for the Oak Ridge Reservation Protective force.**

**Management Comment**

Concur

The overtime activity for WSI-OR has been under consistent Federal review since the inception of its contract. Due to the events of 9/11 and changes to the Design Basis Threat, the overtime has been both necessary and justified. Reduction of overtime continues to be a significant goal for WSI-OR. However, the primary means to meet that goal is to increase the staffing level of Q-cleared and Human Reliability Program (HRP) certified SPOs. WSI-OR, in concert with DOE/NNSA/YSO, has been attempting to hire, train, and field additional protective force personnel. However, the Human Reliability Program and security clearance processes have greatly restricted attempts to utilize additional personnel to reduce current overtime requirements. The process for obtaining a Q-clearance currently ranges from 12 to 24 months, unless mitigating circumstances are encountered. Until Q-cleared/HRP-certified staffing levels are increased, overtime will be required to meet requirements. The Site Safeguards and Security Plan (SSSP), which lists all variances to Federal requirements, is reviewed annually. Justification for maintaining the overtime variance was evaluated as part of the latest review of the SSSP. Accordingly, the variance will remain in effect, as well as the overtime agreement dated April 11, 2002, in the IGUA bargaining unit agreement.

4. **If it is determined that the variance should remain in effect, establish a time period for reevaluating the variance and penalties for exceeding the approved variance.**

**Management Comment**

Concur

As previously stated, the variance will remain in effect. Mission requirements and available resources will be evaluated on an annual basis to determine whether the variance will be eliminated. Notwithstanding, the overtime agreement with the IGUA bargaining unit is the primary authority for SPOs to exceed the overtime limits described in DOE M 473.2-2. If necessary, the award fee process will be the vehicle used to penalize WSI-OR for exceeding the variance limitations. Impacts will be determined on a case-by-case basis.

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5. **Evaluate whether a supervised physical fitness training program for protective force personnel should be reestablished onsite to improve security readiness and to reduce safety and health risks to protective force personnel.**

**Management Comment**

Concur

The current physical fitness training program conducted offsite is in full compliance with 10 CFR 1046 and has been approved by the Federal entity. The training is for the purpose of ensuring that SPOs maintain the requisite physical fitness for effective job performance and to enable the individual SPO to pass the applicable annual physical fitness requalification test without suffering any undue physical injury. The late 2001 decision to allow the program to be conducted on an individual basis offsite was based on the fact that less than 30 percent of the SPOs were actually being relieved from duty to conduct physical training due to mission requirements. Reestablishing the physical fitness training program onsite would require a large number of relief personnel and potentially double the amount of overtime currently required. The current WSI-OR pass rate for annual SPO fitness tests is approximately 98 percent, which lends credence to the success of the offsite training program. The program's success will continually be monitored to determine if a more cost efficient program could reduce greater pass results. Action complete.

6. **Strengthen internal controls for the on-the-job training program to ensure that training credit is given only when training has been received.**

**Management Comment**

Concur

The OIG basis for this recommendation is that "some protective officers" were asked on occasion if they needed training on a topic. The OIG report states that the officers informed them that they would be allowed to sign training attendance rosters without receiving any training or demonstrating their proficiency in the training topic. Without specific details, it is difficult to determine whether a training violation actually occurred. It is possible that the officers were referring to any number of tasks for which formal training is not required. An example of this is "Groom and Prepare for Duty," an on-the-job training (OJT) task listed in the 2004 ATP. If a supervisor can visibly determine that a SPO has clearly demonstrated

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his/her knowledge of the standard, there is no need for formal training, yet a record of the training would exist. However, WSI-OR will continue to monitor the OJT Training Program to ensure all training is conducted to standards and that no training credit is granted unless the standards have been meet.

7. **Evaluate the impact of issues discussed in this report on Wackenhut's award fee.**

**Management Comment**

Concur

The issues described in this report as well as a myriad of additional factors are considered in the award fee process. It has been concluded and validated by the National Training Center that "training to standard" is not only an acceptable practice, but a cost efficient practice. Therefore, issues described in this report, other than those to be reviewed by the Investigative Branch of the OIG, do not appear to be a basis for negatively impacting past or future award fee earned by WSI-OR. Upon completion of the of the IG's investigation of alleged improprieties, consideration will be given to the impact of award fee to be earned by WSI-OR.

Should you have any comments related to this response, please contact Richard Speidel, Director, Policy and Internal Controls Management.

cc: William Brumley, Manager, Y-12 Site Office  
William Desmond, Associate Administrator for Defense Nuclear Security  
Robert Braden, Senior Procurement Executive  
Karen Boardman, Director, Service Center






**Department of Energy**  
Washington, DC 20585

May 25, 2005

MEMORANDUM FOR ALFRED K. WALTER  
ASSISTANT INSPECTOR GENERAL  
FOR INSPECTIONS AND SPECIAL INQUIRIES

FROM: GLENN S. PODONSKY  
DIRECTOR   
OFFICE OF SECURITY AND SAFETY  
PERFORMANCE ASSURANCE

SUBJECT: Response to Draft Inspection Report on Protective Force Training  
at the Department of Energy's Oak Ridge Reservation – S05IS003

Attached are comments on your May 2005 draft report, "Protective Force Training at the Department of Energy's Oak Ridge Reservation." These comments are from the Oak Ridge Operations Office (ORO) (see attachment) and the Office of Security and Safety Performance Assurance (SSA), provided below.

Both organizations concur with the recommendations in this report with comment. A common observation from the two organizations is that the report should be revised to clearly identify issues and concerns with the Y-12 National Security Complex (Y-12). The additional clarity will help in addressing the recommendations since the Y-12 associated issues/concerns will involve the National Nuclear Security Administration instead of the ORO, the Office of Science, or the Office of Environmental Management.

As stated in the attached memorandum, ORO concurs with recommendations 1 through 7 with comment. ORO intends to review the areas pointed out as concerns or issues by your office and determine how training can be improved. However, ORO noted that the audit did not consider the terms and conditions established in the DOE-Wackenhut contract and the employee bargaining union agreement which establish financial and human resource controls to ensure responsible management of security police officers (SPOs) and federal funding. In addition, ORO comments that your audit makes no assessment of the proficiency of the SPOs as a result of the current training program, stating that training is geared toward attaining and demonstrating proficiency versus complying with estimated training hours which your audit raises as a concern.

SSA concurs with recommendations 8 and 9, in the report, which state that SSA review the adequacy of protective force refresher training at the Oak Ridge Reservation and other DOE sites, as well as the acceptability of deviations from the annual training plans for core protective force skills. The Office of Independent Oversight and Performance Assurance (OIOPA), within SSA, reviews the adequacy of protective force training, including refresher training, on an ongoing basis as part of its inspection program.



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Currently, OA is inspecting the Y-12 protective force program. As part of the Y-12 inspection scope, OA will assess the adequacy of the training program and the effectiveness of training to prepare the Y-12 protective force to perform its mission. The Y-12 final inspection report will be issued in July 2005.

If you have any questions, please contact me at (301) 903-3777 or your staff can contact Arnold Guevara, Director, Office of Safeguards and Security Evaluations at (301) 903-5895.

Attachment: (As stated)

cc:

G. Boyd, ORO  
D. Erbschloe, SC-3  
M. Kilpatrick, OA-1  
A. Guevara, OA-10  
M. Combs, SO-1  
J. Hawthorne, SO-10  
L. Wilcher, SO-20  
L. Gasperow, SP-1.2  
D. Thress, ORO/ORNL  
J. Penry, ORO/FM-70  
J. Miller, ORO/FM-733  
M. Lewis, ME-100

**OAK RIDGE OFFICE  
RESPONSE TO OFFICE OF INSPECTOR GENERAL DRAFT INSPECTION REPORT  
“PROTECTIVE FORCE TRAINING AT THE DEPARTMENT OF ENERGY’S  
OAK RIDGE RESERVATION”**

**GENERAL COMMENTS:**

The Oak Ridge Office (ORO) has reviewed the Office of Inspector General (OIG) Draft Report, “*Protective Force Training at the Department of Energy’s Oak Ridge Reservation.*” Much of the report identifies issues and concerns specific to the Wackenhut Services Incorporated (WSI) Y-12 protective force. Therefore, comments and recommendations specific to Y-12 will be addressed by the National Nuclear Security Administration. Although we question the OIG conclusion that the protective force training program is not being properly implemented, Oak Ridge Office (ORO) will, subject to some elaboration, concur with the ORO-related recommendations.

First, a significant premise on which the most serious training allegations are based seems inconsistent with the Department of Energy’s (DOE) training doctrine and, to some degree, the implications of the 2004 ORO Training Plan. The National Training Center has indicated, for instance, that the expectation (in relevant DOE Orders) is that training’s purpose is to facilitate task proficiency, not mandate a minimum amount of hours to train for those tasks, especially when proficiency has been proven in less than the allotted time. Furthermore, portions of the training plan suggest that “training to standard” is the plan’s expectation. For instance, the Implementation section asserts, “The ultimate goal of all training at WSI-OR is for the student to *demonstrate proficiency* in performing assigned duty tasks.” Moreover, the plan’s Approach to Training section proclaims, “WSI-OR training is designed for all learners to *achieve task mastery*, as opposed to a bell curve distribution...” Lastly, evaluations conducted during Site Security Surveys, Office of Independent Oversight evaluations and award performance evaluations, and recently by the General Accountability Office, have found the quality of protective force training to meet Departmental requirements.

Second, since the DOE-Wackenhut contract is a Time and Materials contract, the direct productive labor hours are not identified by individual tasks and, thus, is not a criterion for billing hours. Individuals are paid for actual hours worked, whether in training or in security positions at a site.

Third, WSI-Oak Ridge (OR) has implemented overtime agreements with the bargaining units, in accordance with the provisions of DOE Order 473.2, Protective Force Program and DOE Manual (M) 473.2-2, Protective Force Program Manual. Thus, a “variance” allowing deviation from the Protective Force Program Manual was not needed.

Fourth, the WSI-OR physical fitness program seemingly complies with 10 Code of Federal Regulations 1046, which requires protective force personnel to participate in continuing physical fitness training. It does not, however, dictate a specific number of workout sessions or specify any other requirements of the program. The collective bargaining agreements contemplate

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paying Security Police Officers (SPO) for off-duty physical training. The current WSI-OR pass rate for annual SPO fitness tests is almost 98 percent.

**RESPONSE TO RECOMMENDATIONS:**

**That the Manager, Oak Ridge Office for the contract with Wackenhut Services Incorporated:**

**Recommendation 1: Determine if the protective force is receiving the appropriate level of training necessary to meet the DOE training requirements for protective force officers.**

**Response:** Concur, under the assumption that the recommendation seeks a determination about whether training to accomplish “tasks” within the allotted times is more fitting than simply training for a requisite number of hours, even if the respective protective force officer has accomplished the tasks the training has contemplated.

**Recommendation 2: If it is determined that the protective force is meeting the DOE training requirements by training in less hours than designated in the approved training plan, reduce the maximum number of billable hours in the Wackenhut contract to reflect the hours that are actually spent in training.**

**Response:** ORO concurs with examining whether the DOE-Wackenhut “Time and Materials contract”, under which SPOs are paid for actual hours worked (whether in training or in security positions) might permit a reduction in so-called “billable hours.”

**Recommendation 3: Evaluate whether the variance that allowed Oak Ridge to deviate from the *Protective Force Program Manual* overtime guidelines remains appropriate for the Oak Ridge Reservation protective force.**

**Response:** ORO concurs. Although no such “variance” is required, ORO will evaluate whether the Wackenhut overtime agreements with bargaining units seem consistent with relevant provisions of DOE Order 473.2, Protective Force Program and DOE M 473.2-2, Protective Force Program Manual.

**Recommendation 4: If it is determined that the variance should remain in effect, establish a time period for reevaluating the variance and penalties for exceeding the approved variance.**

**Response:** ORO concurs. Although no such “variance” is required, ORO will evaluate whether the Wackenhut overtime agreements with bargaining units seem consistent with relevant provisions of DOE Order 473.2, Protective Force Program and DOE M 473.2-2, Protective Force Program Manual.

**Recommendation 5: Evaluate whether a supervised physical fitness training program for protective force personnel should be reestablished on-site to improve security readiness and to reduce the safety and health risks to protective force personnel.**

**Response:** ORO concurs.

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**Recommendation 6: Strengthen internal controls for the on-the-job training program to ensure that training credit is given only when training has been received.**

**Response:** ORO concurs. We will ensure that WSI-OR monitors the on-the-job training program to ensure all training is conducted to standard and no training credit is granted unless the standards have been met.

**Recommendation 7: Evaluate the impact of the issues discussed in this report on Wackenhut's award fee.**

**Response:** ORO concurs. ORO will evaluate the impact of the issues discussed in this report during the next performance evaluation period.

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