

National Park Service
Intermountain Region
Visitor & Resource Protection

Chief Ranger's Handbook

A Guide to Chief Ranger's Responsibilities



*"...to promote and regulate the use of the...national parks...which purpose is to **conserve the scenery and the natural and historic objects and the wild life therein and to provide for the enjoyment of the same** in such manner and by such means as will leave them unimpaired for the enjoyment of future generations."*

Version I
(July 2011)



“In preparing for battle I have always found that plans are useless, but planning is indispensable.”

~Dwight D. Eisenhower



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Background

Most newly promoted Chief Rangers will tell you that leading an operation and being a member of a park’s management team requires a completely different skill set than they were prepared for. An essential strategy to performing the duties of a Chief Ranger is to approach the job oriented toward service and to be product driven. This is partially accomplished by recognizing our interdivisional colleagues, park management, and most importantly, our park visitors as our valued customers. In addition we must articulate the quantity and quality of our service before we can discuss increasing our budget or breadth of service.

One of the primary responsibilities of the Regional Chief Ranger’s Office is to help ensure region-wide policy compliance and consistent application of management within Visitor and Resource Protection (VRP) programs. During the course of performing audits and assessments (“AAA” services), many Chief Rangers have communicated difficulties experienced in performing the many required duties without guidance or direction. Many have noted how useful a Chief Ranger’s Guidebook, if one existed, might be.

There are three general services IMR staff provides to Visitor and Resource Protection divisions. They are policy audits, program assessments, and operational risk management analyses. Trends and similarities in deficiencies have emerged through conducting the “AAA” services across the region. The root cause is primarily a lack of guidance, examples, and direction in ranger program development. The opportunity presented is one in which guidance, examples, templates, and consultation is consistently provided throughout the region and progress monitored through data collected during the “AAA” services. Advancements may also be tracked through effective division strategic planning and success metrics.

Chief Ranger’s Guidebook Objectives

The goal of the Chief Ranger’s Guidebook and accompanying training is to improve visitor and resource protection services region-wide by providing readily available resources, document templates and examples, training, and consultation to Chief Rangers. This will be accomplished through the following objectives:

1. **Program Analysis**—Provide the tools to effectively collect and evaluate baseline data that accurately reflects policy compliance, operational risk, and general health of park VRP programs.
2. **Plan Development and Execution**— Provide guidance and templates for establishing and implementing VRP program strategic and operational plans, division goals and objectives, measures of success, operating procedures, local policy, and other required management plans and documents.



Program Analysis

Baseline Data Collection

“AAA” analyses may be performed by IMR staff by invitation or by individual parks as a self evaluation. The processes serve as an objective method for developing baseline data to be used as a basis for program improvements and prioritization. The processes that make up an “AAA” are:

1. Policy Audit

An Audit is an evaluation using a matrix for scoring required documents, plans, and procedures. Park documents are scored from 1-5 on presence, currency, and completeness. The [Audit Worksheet](#) is attached to this document.

2. Program Assessment

The attached [Assessment Worksheet](#) is used to evaluate elements of general operational risk (supervision, planning, team selection, communication, etc.) through employee surveys and interviews. Data is averaged and evaluated for trends and areas of potential improvement. The primary elements of an assessment are:

- Management Team Survey
- Employee Survey
- Division Organization
- Division Strategic Plan

3. Program Risk Analysis ([Risk Analysis Worksheet](#))

A program Operational Risk Management Analysis (ORMA) is conducted by analyzing individual operational activities in a focused manner using the ORM process:

- 1) Define the Mission
- 2) Identify the Hazards
- 3) Assess the Risk
- 4) Identify the Options
- 5) Evaluate Risk vs. Gain
- 6) Execute the Decision
- 7) Monitor the situation

Evaluating Data

“AAA” processes will provide immediate guidance and identify priorities for program improvements. For example, ensuring policy compliance will go a long way to improve the general profile of a VRP program as the requirements for compliance are mission-critical.



There is often overlap between an audit and an assessment. For example, assessment findings may indicate improvements in structured communication are needed to improve overall performance and morale. If there are missing elements in an audit, structured communications may be instrumental in providing direction and structure to planning efforts thereby achieving significant results while simultaneously improving employee opinion scores.

Prioritizing Initiatives

Some operational aspects should be awarded a higher priority than others. A general rule to follow when prioritizing focus areas, in order of priority, are:

1. Develop a strategic plan for the division which will ensure the particular mission and responsibilities of the division are defined, clearly identified, and effectively measured. This process may illuminate duties or tasks that are unnecessary or ineffective essentially providing the basis for risk-based decision making.
2. Immediately mitigate significant risk exposures or threats to life safety in operations. If risky operations are deemed necessary, appropriate mitigations must be implemented. This may be accomplished by identifying the specific risks through n operational risk analysis, then mitigating through planning, standardized procedures, training, staffing, and other actions.
3. Mitigate situations that expose individuals or the organization to liability. The same process for mitigating risk should be employed to mitigate liability.

Program Development

Strategic and Operational Planning and Execution

Strategic planning is critical to any park operation. Well developed plans will lay the foundation for success and how that is identified. The basic elements of any plan should include at a minimum the following:

1. Goals and Objectives
2. Standards of Performance (Success Measures or Metrics)
3. Actions (how objectives are translated into specific tasks)
4. Accountabilities (who is doing what actions)
5. Timelines (what the deadlines for actions or to measure success)
6. Budget (an estimate of investment for division, branch, and individual actions)

A Division Strategic Plan should accurately describe levels of service and collective performance of all employees the plan represents. Metrics should be evaluated annually with this information presented to the management team responsible for allocating funds to the division to ensure the output meets or exceeds the investment.



A Strategic Planning Worksheet is provided in this guidebook to assist in developing division or workgroup goals and objectives ([VRP Strategic Planning Worksheet](#)).

Executing plans is often more difficult than expected, particularly when they represent change in current operational activities and success measures. The process of planning is as important, if not more so, than the actual written plan. Include your team in the planning process to ensure acceptance and understanding. Set achievable goals and benchmarks for implementation. Success is generally based on a long line of small successes. Small bites of the proverbial elephant have a higher chance of durable success than sweeping and sudden change.

The list of resources below is intended to provide tools to accomplish the following:

1. Desired Results

Develop a framework for desired operational results or goals consistent with NPS, Park, and Division Mission accomplishment. This will be accomplished through the strategic planning process.

2. Current Situation

Develop baseline data that accurately reflects the current operational conditions

- a. Assess the current level of policy compliance (program audit)
- b. Assess the current operational conditions or status (program assessment)
- c. Assess the level of operational risk (ORM assessment)

3. Approach

There are several approaches to achieving desired operational results that include:

- a. Prioritize and mitigate high risk areas illuminated through the analysis process
- b. Make strategic and operational planning a focus for division supervisors
- c. Develop a Division Strategic Plan and all required plans and procedures identified in NPS policy
- d. Ensure individual performance plans are in line with division objectives



Resources

Strategic & Operational Planning

1. Strategic Planning Worksheet
2. Operations Planning Worksheets
 - a. General Protocol
 - b. Objectives/Hazards
 - c. Organization/Assignments/Timelines
 - d. Contingency/Medical Plans
 - e. Communications Plan
 - f. Maps/Diagrams
 - g. GAR Risk Assessment
 - h. Incident Debrief

Assessment Tools

3. Law Enforcement Audit Worksheet
4. EMS/SAR Audit Worksheet
5. Structural Fire Audit Worksheet
6. Assessment Worksheet
7. Management Team Survey
8. Employee Survey

Required Plans and Procedures

9. Law Enforcement Need Assessment (LENA) Template
10. Jurisdictional Inventory Guideline
11. Jurisdictional Inventory Template
12. LE Personnel File Maintenance
13. Physical Security Guideline
14. Physical Security Template
15. Inter-Agency Agreement-MOU Template



16. Uniform and Appearance Standards RM-43
17. Firearms Policy and Procedures Template
18. Personal Weapon Authorization Form
19. Electronic Control Device (ECD) Record Maintenance Template
20. Records Management System Procedures Template—**Under Construction**
21. Communications Plan/Procedures (dispatch) Template—**Under Construction**
22. Employee Health Template—**Under Construction**

Required SOPs

23. General SOP Template
24. Restraint and Prisoner Transport
25. Evidence Management
26. Impoundment of Property
27. Internal Investigations
28. Juvenile Investigations
29. Use of Force Reporting
30. Pursuit Driving
31. Selective Traffic Enforcement
32. Specialized LE Operations-Equipment-Tactics
33. Speed Detecting Devices

Operational Risk Management Implementation

34. ORM Implementation Plan
35. ORM Analysis Worksheet
36. ORM Standardized Critical Element
37. ORM Employee Survey
38. ORM Implementation Tracking Form

General Management References



39. General Hiring Process

40. Commissioning Worksheet

41. OFS Request Guidance

42. PMIS Guidance

43. NPS Policy References

<http://www.nps.gov/applications/npspolicy/index.cfm>

http://elips.doi.gov/app_home/index.cfm?fuseaction=home

44. Human Resource References

<http://www.doi.gov/hrm/pmanager/>

<http://classicinside.nps.gov/programs/program.cfm?prog=40&div=7&page=home>

<http://inside.nps.gov/regions/region.cfm?rgn=IMR&lv=1>



Visitor and Resource Division Strategic Planning Template

Draft: May 2011

I. Mission

National Park Service Mission

*"...to promote and regulate the use of the...national parks...which purpose is to **conserve the scenery and the natural and historic objects and the wild life** therein and to **provide for the enjoyment of the same** in such manner and by such means as will leave them unimpaired for the enjoyment of future generations."*

Park Mission

What is the legislated language?

Superintendent's Priorities

What are the articulated priorities from the park's general management plan?

What are the priorities or goals from the park's annual work plan or strategic plan?



Visitor and Resource Protection Mission

What is the **product** that the Ranger Division provides?

What is the **service** (value) the Ranger Division provides?

Who are the **customers and clients**? (Visitors, park managers, etc.)

How is the VRP **perceived by others** (internal/external)?

Use the above information to develop a VRP Mission statement:

In support of the NPS and Park Missions...



II. NPS Core Values

1. **Shared Stewardship** - We share a commitment to resource stewardship with the global preservation community.
 - We are proud that national leadership in resource preservation is the National Park Service's essential public trust. We know that we do not have all the answers to every challenge, yet we champion heritage preservation throughout the United States and the world. The insights and knowledge obtained from all such efforts contribute to our collective success.
2. **Excellence** - We strive continually to learn and improve so that we may achieve the highest ideals of public service.
 - We encourage creativity, innovation, and vision so that we may achieve excellence as we fulfill the mission of the National Park Service. As caretakers of the natural and cultural resources of the United States, we individually and collectively collaborate to be worthy of the trust given us by the American people.
3. **Integrity** - We deal honestly and fairly with the public and one another. We take responsibility for our actions and their consequences.
 - We do so in ways that are ethically based and represent the highest standards of public service. Through our actions we aim to earn the trust of those we work with and serve. We are accountable to the public and each other.
4. **Tradition** - We are proud of it; we learn from it; we are not bound by it. We use only the best from our past to meet the challenges of the future.
 - The continuum between the past, present, and future sustains us as a vital agency. We hold the mission and the traditions of the National Park Service in our thoughts and actions so that it is apparent in our work and interactions with one another and the public.
5. **Respect** - We embrace each other's differences so that we may enrich the well-being of everyone.
 - We value the ever-changing diversity of our employees, visitors, sites, and the stories of our heritage. We learn from each other's creativity and talents to become richer individuals. We base our actions on the principles of inclusion, empathy, and dignity.



V. Strategic Objectives & Success Measures

An accurate description of what the desired result or condition for each of the following categories should follow.

Management

PLANNING
This should describe a specific process for planning and clear success measures related to each category. In other words, what is the general plan for developing, reviewing, implementing, and managing plans for the division?
Projections (LENA)
<p>Strategic Goal: Describe the goals for effectively utilizing the LENA or other information sources.</p> <p>Example:</p> <ul style="list-style-type: none"> ➤ A reliable and repeatable visitation, incident history (nature and quantity) data collection and analysis method is implemented. ➤ Data collected is useful in helping to determine appropriate staffing, capabilities and desired proficiencies.
<p>Objective (s): List specific objectives or actions required to achieve the above goal.</p>
<p>Performance Measure: Describe the condition that will be present when the specific objectives are met.</p> <p>Example:</p> <ul style="list-style-type: none"> ➤ There is a written, approved, and repeatable method to establish visitor use patterns and service requirements that are considered accurate by division and management staff. ➤ All work units in the division have contributed to the development of such a process (staff/management team survey).



Action Plans and Position Descriptions

Strategic Goal: Describe the goals for developing action plans and Position Descriptions.

Example:

- Written action plans based on current and projected visitation statistics, workload, and incident history (projections), are developed and maintained.
- Individual Position Descriptions should reflect the nature and quantity of work performed to accomplish the NPS/park/division/work unit's action plans.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Position Descriptions (PDs) are considered current, relevant, and an accurate description of accountabilities.
- Supervisors are rated on their individual level of planning for their area of responsibility and individuals are familiar with their PDs (staff survey).

Policies and Procedures

Strategic Goal: Describe the goals for developing local polices and operating procedures (SOPs).

Example:

- Written policies and procedures are established, maintained, known by staff, and reviewed annually for currency, accuracy, and effectiveness.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- All mandatory policies and procedures are present, effective, and known by the staff (Audit Worksheet).
- Non-required but mission-critical policies and procedures are present, organized and known by the staff, and address all major aspects of the operation (staff survey).



Budgets

Strategic Goal: Describe the goals for developing a Division Budget.

Example:

- Operating budgets are developed from approved written plans, policies, and procedure requirements.
- A schedule of budget review (work unit/district/division) by supervisors is established.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- There is an appropriate and effective ratio of investment between personnel, equipment, materials, and training. Pre-determined objectives and commitments are being met within budget projections (**staff/management team survey**).



Organizing

This should describe what the current and optimal organization is to most effectively carry out the mission of the service, park, division, district, and work unit.

Organization Structure

Strategic Goal: Describe organization goals for the Division.

Example:

- The division is organized in such a way as to provide an appropriate supervisory span of control and provide for the most efficient and effective service possible within a given budget.

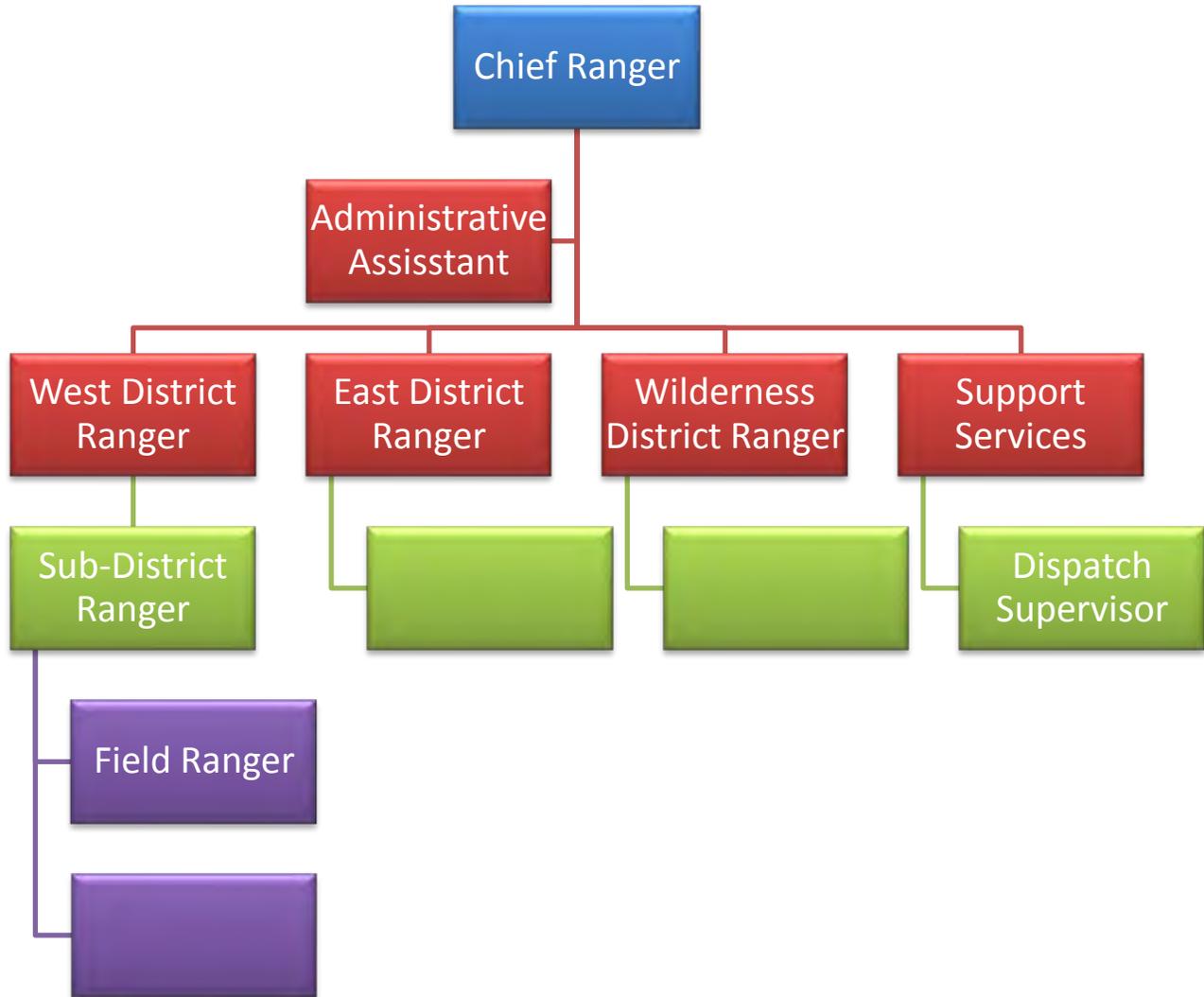
Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- There is a written, appropriate, and effective organization and chain of command that is known by the staff and re-evaluated on a regular basis.
- Delegated decision authorities and expectations are communicated to each employee through position descriptions and performance plans (**staff/management team survey**).

Desired Organization—





Leading

This should describe an approach to leading the division to include scheduled communications, professional development, recruitment and retention, and rewards are consistent and reflect met objectives and mission accomplishment.

Communication

Strategic Goal: Describe communications goals.

Example:

- To maintain effective communication among the staff, other divisions, and management staff to ensure objectives are being met and communicated to all affected staff and management.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Staff meetings occur on a regular basis and are considered effective. Team members know the direction and priorities of the park and division (**staff/management team survey**).



Professional Development

Strategic Goal: Describe professional development goals.

Example:

- All division employees are encouraged and supported in developing individual leadership skills. Leadership is expected throughout the division and development opportunities are provided.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Team and individual progress in leadership development is tracked through Individual Development Plans (IDP) and/or Performance Plans.
- Leadership training and other opportunities are regularly provided or supported (staff survey).

Recruitment and Retention

Strategic Goal: Describe recruitment and retention goals.

Example:

- The best and brightest people are recruited and retained into the organization through maintaining a positive reputation as an organized, well-run operation.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- The staff considers leadership an expectation at every pay-grade, and supervisors regularly provide leadership opportunities in operational initiatives, program coordination, training, and mentoring (staff survey).



Controlling

Control is the ability to purposefully direct change. This section of planning should reflect the method and priority given to directing and monitoring work.

Performance Standards

Strategic Goal: Describe performance standards goals.

Example:

- To maintain effective individual performance plans that directly reflect work toward division/park/NPS objectives and mission accomplishment.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Staff opinion reflects general satisfaction with their performance standards and considers them an accurate reflection of performance as well as directly contributing to mission accomplishment (**staff survey**).

Performance Evaluations

Strategic Goal: Describe performance evaluation goals.

Example:

- To maintain a reliable schedule for establishing and evaluating performance.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Staff opinion reflects general satisfaction with their performance plans and considers them an accurate reflection of performance as well as directly contributing to mission accomplishment (**staff survey**).

Operations

Line Functions

Operational capability commitments and associated plans are listed below (as applicable) and are developed from current visitor use data, risk analyses, and other sources of information.

Operational Leadership

Strategic Goal: Describe local Operational Leadership implementation goals.

Example:

- Operational Leadership is utilized in every level of planning and during all operations. All personnel are trained in Operational Leadership principles and adhere to them always.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- All employees are trained and maintain proficiency in implementing Operational Leadership.
- Supervisors incorporate Operational Leadership principles in performance plans and regularly evaluate Operational Leadership performance (e.g., performance plan/critical element, OL training records, regularly scheduled “recertification” training).



Law Enforcement and Patrol Service

Strategic Goal: Describe local Law Enforcement and Patrol Service goals.

Example:

- To provide professional law enforcement response and patrol service to the visiting public, residents, and employees living and recreating within NPS jurisdiction.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Desired or required response capabilities and patrol objectives are written and communicated to the staff.
- Rangers maintain proficiencies for all required capabilities and provide regular written updates on progress toward objectives and supporting data (e.g., patrol statistics, areas protected, and community opinion polls).

Resource Protection

Strategic Goal: Describe local Resource Protection goals.

Example:

- To assist in monitoring and protecting the park's resources through cooperation and collaboration with the resources management division.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Monitoring and protection plans are established and implemented and damage or degradation of resources is mitigated (e.g., photo logs, documented resource patrols, etc.).



Search and Rescue Service

Strategic Goal: Describe local Search and Rescue Service goals.

Example:

- To provide the appropriate level of rescue service required for the particular environment and case history.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Example:

- Employees maintain required certifications or qualifications, and proficiencies to ensure successful outcomes on every rescue mission tasked with (e.g. training records for high angle rescue, boat operations training documentation, etc.).

Emergency Medical Service (EMS)

Strategic Goal: Describe Emergency Medical Service goals.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.



Structural Fire Service

Strategic Goal: Describe Structural Fire Service goals.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Other Line Functions

- Aviation Management Service
- Specialized Patrol Service (e.g. maritime, river, ski, snow, etc.)
- Wildand Fire Service
- Visitor Education Service
- Other



Staff Functions

Operational support commitments and associated plans are listed below (as applicable).

Dispatch Service

Strategic Goal: Describe Structural Fire Service goals.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Special Park Use Permitting Service

Strategic Goal: Describe SPU Permitting Service goals.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.



Evidence Management Service

Strategic Goal: Describe Structural Fire Service goals.

Objective (s): List specific objectives or actions required to achieve the above goal.

Performance Measure: Describe the condition that will be present when the specific objectives are met.

Other Staff Functions

- Internal Affairs/Quality Assurance Service
- Physical Security Management Service
- Court Services
- Administrative Service (division)
- Records Maintenance
- Training Management
- Other



Finance

Finance Management
<p>Strategic Goal: Describe finance management goals.</p> <p>Example:</p> <ul style="list-style-type: none"> ➤ To provide the appropriate level of rescue service required for the particular environment and case history.
<p>Objective (s): List specific objectives or actions required to achieve the above goal.</p>
<p>Performance Measure: Describe the condition that will be present when the specific objectives are met.</p> <p>Example:</p> <ul style="list-style-type: none"> ➤ Accurate budget status and projections are provided within one day of request (e.g., budget analyst's critical elements, management team survey).

Community Relations

Finance Management
<p>Strategic Goal: Describe finance management goals.</p> <p>Example:</p> <ul style="list-style-type: none"> ➤ To maintain positive and collaborative relations with internal and surrounding communities.
<p>Objective (s): List specific objectives or actions required to achieve the above goal.</p>
<p>Performance Measure: Describe the condition that will be present when the specific objectives are met.</p> <p>Example:</p> <ul style="list-style-type: none"> ➤ Plans for community involvement and interaction are implemented and community opinion surveys reflect positive relationships between the NPS and local communities (community survey).



General Mission Planning Elements/Format

I. Planning

A. Mission Objectives

- i. Situation
- ii. Mission (approach)
- iii. Objectives (success metrics)
- iv. Briefing Location(s)/Times

B. Identify the Hazards

- i. All-Risk Format
- ii. METT-TC/MATR/Weather/Terrain

C. Implementation/Accountabilities

- i. Organization Chart
- ii. Team Assignments/Specific Actions
- iii. Uniforms & Specialized Equipment
- iv. Operations Schedule
- v. Execution of Plan

D. Contingency Plans

- i. Medical Plan
- ii. Contingency Resources
- iii. Evacuation Plans

E. Communications Plan

- i. Radio Frequencies
 1. Emergency Contacts (i.e. SWAT, AUSA, Dispatch, Sheriff's Office)

F. Maps/Diagrams

- i. Insert Google Earth
- ii. Topographic Maps
- iii. Schematics/Diagrams
- iv. Critical Location Identification
- v. Photos

G. GAR Risk Assessment

- i. Solicit input from team

H. Approvals

I. Incident Debrief

- i. Complete form upon mission completion



II. Briefing

- A. Mission (**What?**)
- B. Objectives (**Approach/metrics**)
- C. Team Assignments/Org Chart (**How/Who?**)
- D. Critical times/schedule of events (**When?**)
- E. Locations/Maps/Diagrams (**Where?**)
- F. GAR Risk Assessment
- G. Contingency Plans

III. Debriefing

- A. Was mission safely accomplished?
- B. GAR Review
- C. Note improvements/adjustments for future operations



Incident:	
Operational Period:	
Date:	

Mission Objectives

Operation Name	Date	Operational Period
Situation:		
Mission (Approach):		
Objectives (Desired Result):		
<p>PERSONAL PREPAREDNESS: Team members are responsible for ensuring their individual equipment is in a response ready state. This includes everything you would need or want including extras for contingencies. Examples include but are not limited to: food, water, clothing, tactical gear, light sources, radios, extra batteries, earpieces, etc. Teams should consider an equipment inventory and function</p>		

Critical Locations

Pre-Mission Briefing Location	Time	Mission Debriefing Location	Time
Area of Operation (Attachments/maps)		Rally Point Location(s)	

Hazards

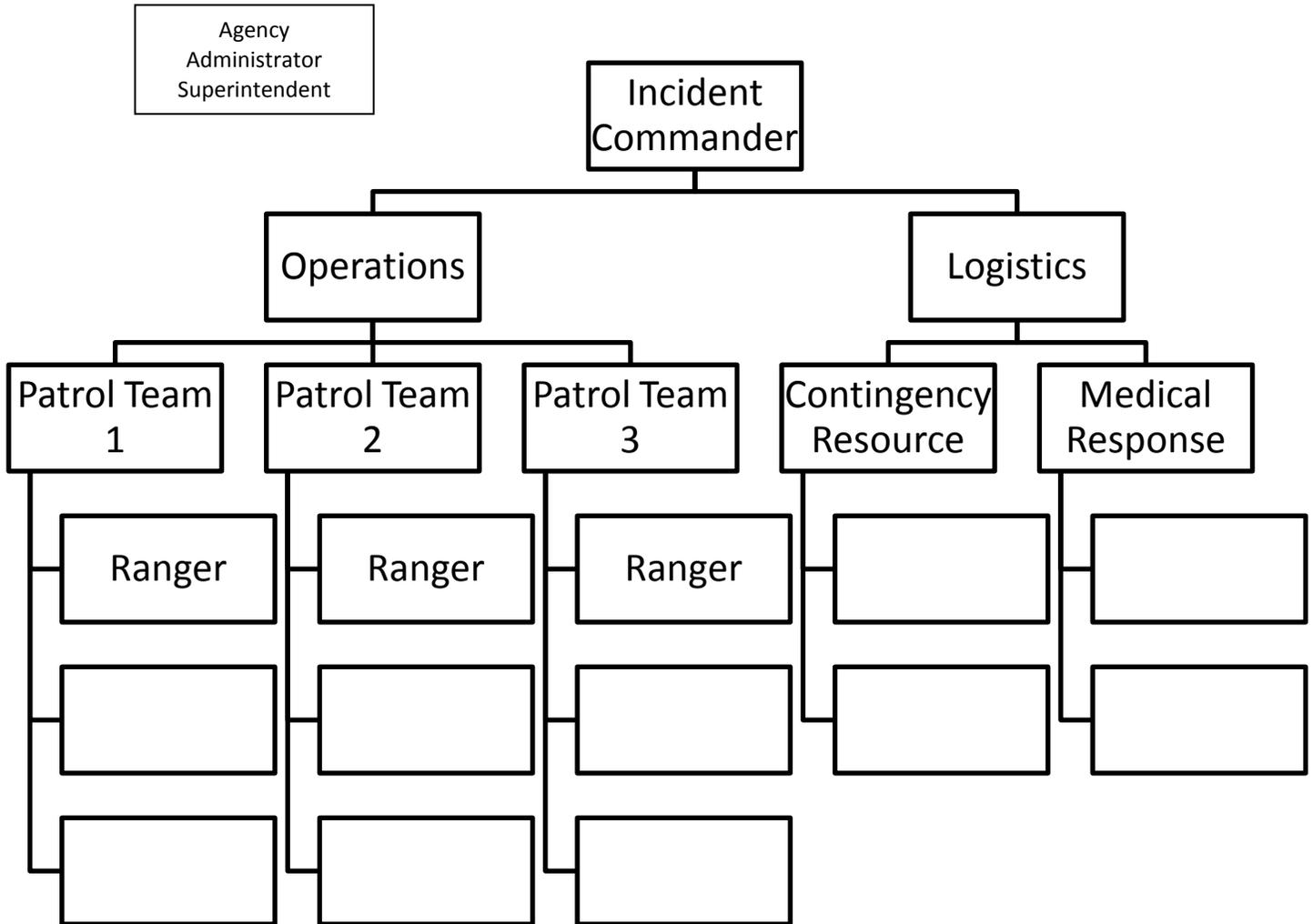
Expected Threats
Terrain
Weather
Other Threats

Prepared by:	Approved by:
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Incident:	
Operational Period:	
Date:	

Incident Organization



Prepared by:

Approved by:



Incident:	
Operational Period:	
Date:	

Team Assignments

TEAM 1	Call #	Assignment	TEAM 2	Call #	Assignment
Team Leader			Team Leader		

Team Assignments

TEAM 3	Call #	Assignment	TEAM 4	Call #	Assignment
Team Leader			Team Leader		

Assisting Resources

Resource/Agency			Primary Contact Information		
AUX TEAM 1	Call #	Assignment	AUX TEAM 2	Call #	Assignment
Team Leader			Team Leader		

Prepared by:	Approved by:
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Incident:	
Operational Period:	
Date:	

Specialized Equipment/Uniforms

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Schedule of Events/Tasks

Date/Time	Location	Action	Accountability
		Execution/Initiation of Plan	Incident Commander

Prepared by:	Approved by:
--------------	--------------



Incident:	
Operational Period:	
Date:	

Medical Response Plan

MEDICAL EMERGENCIES & FACILITIES: All medical emergencies will be evacuated to the nearest and most appropriate medical facility given the nature of the emergency. The Chief Ranger or his delegate will be notified immediately concerning any medical situation involving personnel. Transportation will be local LEO vehicles, ambulance and/or helicopter.

Transportation

Ambulance	Initiation Process (how contacted)	Paramedics Yes No
Ambulance	Initiation Process (how contacted)	Paramedics Yes No
Air Ambulance	Initiation Process (how contacted)	
Air Evacuation (short-haul, hoist, etc.)	Initiation Process (how contacted)	

Hospital Options

Name	Trauma Level	Location	Travel Time	
			Air	Ground

Secondary Plan

Prepared by:	Approved by:
--------------	--------------



Incident:	
Operational Period:	
Date:	

Contingency Resources

Resource/Agency			How/When Initiated		
AUX TEAM 1	Call #	Assignment	AUX TEAM 2	Call #	Assignment
Team Leader			Team Leader		

Capabilities/Instructions

Specific Requested Capabilities	Special Instructions
---------------------------------	----------------------

Evacuation Plans

Prepared by:	Approved by:
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Incident:	
Operational Period:	
Date:	

Communications Plan

Emergency Contacts

Contact	Radio		Primary Phone
	System	Frequency	
Dispatch			
EMS Initiation (EMS Plan)			
Air Evacuation			
Helipads			
Level I Trauma Center (primary)			
Level I Trauma Center (secondary)			
SWAT			
Sheriff's Office			
AUSA			

Radio Channel Guide

System	Channel	Function	Assignment

Prepared by:

Approved by:



National Park Service
Intermountain Region
Visitor and Resource Protection Division

Incident:	
Operational Period:	
Date:	

Maps/Diagrams

Prepared by:

Approved by:



Incident:	
Operational Period:	
Date:	

General Risk Assessment			
Category	Description	Risk 1-10	Mitigation(s)
Supervision	Presence, accessibility and effectiveness of leadership for all teams and personnel. Clear chain of command.		
Planning	Current SOP/Operational Guidelines, team trained in accordance with same. Adequate mission planning time. Required equipment and associated training is provided. Briefs/debriefs planned, team input solicited.		
Contingency Resources	MOUs in place with participating cooperators. Planning accomplished with cooperators. Shared communications plan and frequencies.		
Communication	Infrastructure: radio communications possible throughout area of operations (presence of portable repeaters). Communication plan established/rehearsed.		
Team Selection	Level of individual training and experience. Cohesiveness and atmosphere that values input/self critique.		
Team Fitness	Level of overall physical fitness of team. Level of crew rest/fatigue and overall morale. Team members with major life events/distractions.		
Environment	Extreme temperatures, elevation, difficulty of terrain (aspect, foliage, slope, etc.), long approach, remoteness.		
Incident Complexity	Severity and probability of mishap. Probability of suspects/weapons. Potential for incident that would tax the current staffing levels.		
TOTAL			

Mitigations should be considered for any category rated higher than 5.

(1-35)

(36-60)

(61-80)

Prepared by:	Approved by:
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Incident:	
Operational Period:	
Date:	

Incident Debrief

1. **Effectiveness**
 - a. Did the team accomplish the objectives?
 - b. Were there any mishaps or injuries?
2. **Supervision**
 - a. Were the objectives and expectations clearly stated and understood?
 - b. Was supervision accessible during the entire operation?
 - c. Was the chain of command clearly identified?
3. **Planning**
 - a. Was there a written plan and was the plan followed?
 - b. If not, why not?
 - c. What areas can we improve prior to the next operation?
4. **Team Capability**
 - a. Was the personnel properly trained and equipped for the mission?
 - b. Did individuals have the required depth of experience?
5. **Team Fitness**
 - a. Was crew rest/fatigue/stress an issue?
 - b. Was there scheduled rest/hydration time, etc?
6. **Contingency Resources**
 - a. Were contingency resources requested, and if so were they effective?
 - b. Were we able to effectively request and communicate with the resources?
7. **Environmental Conditions**
 - a. Was there mitigations implemented (shade, breaks, water provided)?
 - b. If so, was it effective?
8. **Task Complexity**
 - a. Were there events (or potential for events) that were beyond the scope and training of the team?
 - b. If incident complexity arose, was is effectively managed?
 - c. If not, why not?

Please attach after action brief/summary supplement.

Prepared by:	Approved by:
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Law Enforcement Program Audit Worksheet

Park/Unit	Superintendent	Chief Ranger	IMR Audit Coordinator	Date
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Date Completed	Items Requiring Action	How Often	Responsible	Certify Completion	Method of Certification	Policy Source	IMR RATING
Law Enforcement Administration							
	Written staffing model/justification in place.	3-Years	Supt.	RD	VRAP	RM-9 1§4	
	Law Enforcement Needs Assessment completed within 3 years (copy in Chief Ranger's office)	3-Years	Supt.	RD	LENA	RM-9 1§4.1	
	Jurisdictional Inventory	Annual Review	CR	Supt. RCR	Inventory	RM-9 3§6	
	<p>All commissioned employee training records meet RM-9 standards</p> <ul style="list-style-type: none"> • Annual training documentation (RM-9, 4.2.2) • Firearms Qualification Documentation • PEB documentation • Background Investigation status and results • Medical RM-57 Report • Copy of current commission • Domestic Violence affidavit • Code of Conduct Signature Page • Oath of Office signature on file • Written approval for outside work (if appropriate) 	Annual	CR	Supt.	Memo in Commission File	RM-9 4§4.2.1, 4§4.2.4 4§4.3.2, 5§5.2	



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	IMR RATING
Operational Guidelines							
	SOP—Prisoner Transport <ul style="list-style-type: none"> Specific transport procedures (locations, local procedures, etc.) 	Annual Review	CR	Supt.	Signed SOP	RM-9 12	
	SOP—Evidence Management <ul style="list-style-type: none"> Consistent with RM-9 Current inventories (March/September inspections) Four years of records Custodian identified Secure facility Logs, chain of custody, measuring/quantifying/markings, etc. 	Annual Review 2/yr inventory	CR	Supt.	Signed SOP	RM-9 13	
	SOP—Impoundment of Property <ul style="list-style-type: none"> Inventory/standard forms NCIC Checks Secure Facility Release procedures Means of disposing impounded property 	Annual Review	CR	Supt.	Signed SOP	RM-9 14	
	SOP—Internal Investigations <ul style="list-style-type: none"> Receiving complaints Routing complaints Notifications 	Annual Review	CR	Supt.	Signed SOP	RM-9 16	
	SOP—Juvenile Offenses <ul style="list-style-type: none"> Consistent with State and local procedures, and servicing USA’s Office Procedures for runaway juveniles 	Annual Review	CR	Supt.	Signed SOP	RM-9 22	
	SOP—Use of Force Reporting <ul style="list-style-type: none"> Data Collection and Reporting Procedures 	Annual Review	CR	Supt.	Signed SOP	RM-9 32	
	SOP—Selective Traffic Enforcement(if applicable)* <ul style="list-style-type: none"> Compliance with applicable court decisions in judicial district 	Annual Review	CR	Supt.	Signed Plan/Procedures	RM-9 17§2.1.1	
	SOP—Radar and Laser Speed Detecting Devices (if applicable)* <ul style="list-style-type: none"> Employee training requirements Local court requirements and procedures 	Annual Review	CR	Supt.	Signed Plan/Procedures	RM-9 17§2.4.1	
	SOP—LE Specialized Operations, Equipment, or Tactics* <ul style="list-style-type: none"> Operational/Special Response/Holding Facility Plans & Procedures Specialized Equipment plans/procedures (less-lethal, spikes, gas, etc.) 	Annual Review	CR	Supt.	Signed Plan/Procedures	RM-9 17§2.4.1	



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	IMR RATING
Records and Required Plans							
	Written Inter-Agency Agreements (all cooperating agencies) <ul style="list-style-type: none"> Cross Designations with detail of scope authorized 	5 Years	CR	Supt.	Current MOAs	RM-9 24§3	
	Background Checks <ul style="list-style-type: none"> Officers, clerks, dispatchers Others with access to sensitive information 	5 Years	CR	Supt.	Memo in File	RM-9 5	
	Written Physical Security and Crime Prevention Plan <ul style="list-style-type: none"> Designated Physical Security Coordinator Written Physical Security Plan Physical security survey of park structures Occupant Emergency Plan (response and evacuation plans) Reported results of surveys to LESES WASO CCTV (if applicable) 	Annual Review	CR	Supt.	Written Plan/ Procedure	RM-9 26	
	Uniformed employees are in compliance with Uniform and Appearance Standards <ul style="list-style-type: none"> Written local appearance standards established Intermediate defensive equipment is worn by all uniformed LE personnel (minimum of baton and chemical agent) Only Service-Approved Uniforms worn 	Ongoing	CR	Supt.	Written Standards	RM-9 29 DO-43	
	Firearms <ul style="list-style-type: none"> Designated (in writing) Firearms Custodial Officer Physical security of armory Ammunition Inventory Records Armor maintenance records Privately owned firearms authorizations on file Locking devices provided to employees Firearm Inventory conducted (March 15 & September 30) 	Annual Review	CR	Supt.	Written Plan/ Procedure	RM-9 30, 30§5 DO-44§9.9	
	ECD Records <ul style="list-style-type: none"> ECD inventory Training/certification for all employees Use history reports for all deployments (including unintentional) 	Annual Review	CR	Supt.	Written Plan/ Procedure	RM-9 32§4.6	
	Patrol Vehicles and Vessels <ul style="list-style-type: none"> Appropriate markings Home-to-work logs (when appropriate) 	Ongoing	CR	Supt.	Inspection	RM-9 34 & 35	



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	IMR RATING
Records and Required Plans (continued)							
	Records Management System (SOP) <ul style="list-style-type: none"> Incident Records stored in compliance with NPS-19, FOIA, Privacy Act, and Federal Records Act LE reports meet national standards and were written, approved, and filed according to policy The park maintains a case incident reporting system Violation Notices are entered in Incident Reporting System MVAs are entered in Incident Reporting System 	Annual Review	CR	Supt.	Current Plan/ Procedures	RM-9 37	
	Communications (SOP) <ul style="list-style-type: none"> SOP—Dispatch Center (if applicable) 24-Access to Communications Center Dispatch compliant with RM-9 Originating Agency Identity (ORI) for NCIC 	Annual Review	CR	Supt.	Current Plan/ Procedures	RM-9 40	
	Employee Health <ul style="list-style-type: none"> Staff participation in fitness program Annual PEB 	Annual Review	CR	Supt.	Current Plan	RM-9 41	
Summary Score							
<i>(Summary ÷ 20) Average Score</i>							

*Selective Traffic Enforcement, Radar Speed Detecting Device, and Special Response/Equipment SOP scores are not counted on this worksheet as they are not mandatory activities.

Individual Category Rating		Overall Rating	
Rating	Description	Rating	Description
0	Not Present	0-33	Program is in need of major improvements to be in compliance with policy
1	Incomplete or in draft form		
2	Incomplete but in progress (recent improvements)	34-67	Program is in need of improvements to be in compliance with policy
3	Complete but not current or accurate		
4	Complete, current, but may not be known by all staff	68-100	Operation is well planned and compliant with policy
5	Complete, current, known, and of high quality		

Attach Additional Notes and Comments and Suggested Improvements:



EMS & SAR Program Audit Worksheet—(if applicable) *

Date Completed	Items Requiring Action	How Often	Responsible	Certification	Method of Certification	Policy Source	*IMR RATING
Emergency Medical Service							
	SOP—Emergency Medical Service <ul style="list-style-type: none"> • EMS Coordinator Designated • EMS Needs Assessment • Written plans and procedures • BBP plan/HEP B Plan • Assistance Agreements • Training Certifications on file 	Annual Review	CR	Supt.	Signed Plan/Procedures Certifications	DO-51 RM-51	
	Equipment Inspection <ul style="list-style-type: none"> • Accessibility • Functionality • Organization 	Annual Review	CR	Supt.	Inspection Document	DO-51 RM-51	
Search and Rescue Service							
	SOP—Search and Rescue <ul style="list-style-type: none"> • SAR Coordinator Designated • SAR Needs Assessment • Written plans and procedures • Assistance Agreements 	Annual Review	CR	Supt.	Signed Plan/Procedures	DO-59 RM-59 (DRAFT)	
	Equipment Inspection <ul style="list-style-type: none"> • Accessibility • Functionality • Organization 	Annual Review	CR	Supt.	Signed Plan/Procedures	DO-59 RM-59 (DRAFT)	

*Wildland and Aviation audits will be conducted by IMR Wildland Fire staff.

Individual Category Rating

Rating	Description
0	Not Present
1	Incomplete or in draft form
2	Incomplete but in progress (recent improvements)
3	Complete but not current or accurate
4	Complete, current, but may not be known by all staff
5	Complete, current, known, and of high quality

Attach Additional Notes and Comments and Suggested Improvements.



Structural Fire Program Audit Worksheet

Parks will be evaluated on all sections of this worksheet with the exception of the engine operation section. Operations that maintain an engine operation will have that section of the worksheet factored in to the overall audit score.

Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	*IMR RATING
Administration							
	A Park Structural Fire Coordinator (PSFC) is designated and the duties reflect RM-58 policy.	Annual Review	CR	Supt.	Signed Plan/ Procedure	DO-58 RM-58	
	A Park Structural Fire Management Plan (SFMP) is current, implemented, and follows the agency template requirements.	5 year Review	CR	Supt.	Inspection Document	DO-58 RM-58	
	There are current agreement(s) in place with local fire department(s) that have been reviewed and approved by a solicitor and the IMRO AHJ	5 year Review	CR	Supt.	Inspection Document	DO-58 RM-58	
	Does the park have reoccurring annual portable fire extinguisher training and are attendance training records maintained?	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA OSHA	
	The park conducts recurring fire drill training and maintains training records.	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA OSHA	
	S/F continuing education is provided to the PSFC.	Annual review	CR	Supt.	Inspection Document	DO-58 RM-58	
Total (30 possible)							



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	*IMR RATING
Prevention Assessment							
	Fire protection condition assessments (FPCA) are completed throughout the park and deficiencies have been entered in the FMSS system and PMIS statements generated for correction.	5 year Review	CR	Supt.	Inspection Document	DO-58 RM-58	
	Annual Fire prevention inspections being done on each building and a tracking system in place.	Annual Review	CR	Supt.	Inspection Document	DO-58 RM-58 NFPA	
	Portable Fire Extinguishers: <ul style="list-style-type: none"> ➤ Monthly visual inspections are being completed. ➤ Annual inspections, testing and maintenance (ITM) is being completed by qualified personnel. 	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	DO-58 RM-58 NFPA	
	Emergency lights and sign inspections: <ul style="list-style-type: none"> ➤ Monthly visual inspections being completed. ➤ Annual inspection, testing and maintenance (ITM) being completed by qualified personnel. 	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	DO-58 RM-58 NFPA	
	Hazardous material: <ul style="list-style-type: none"> ➤ Hazardous materials are properly stored. ➤ Park maintains an inventoried list of hazardous materials ➤ Material Safety Data Sheets (MSDS) are on file and maintained. 	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	DO-58 RM-58 NFPA	
Total (25 possible)							



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	*IMR RATING
Protection Assessment							
	Automatic fire alarm systems are inspected, tested and maintained per NFPA requirements. (Monthly visual inspections, annual ITM by qualified contractor)	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	DO-58 RM-58 NFPA	
	Automatic sprinkler systems are inspected, tested and maintained per NFPA requirements (Monthly visual inspections, annual ITM by qualified contractor).	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	DO-58 RM-58 NFPA	
	Automatic 'clean agent' systems are inspected, tested and maintained per NFPA requirements (Monthly visual inspections, annual ITM by qualified contractor).	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	DO-58 RM-58 NFPA	
	Automatic fire alarm systems and devices inventoried and entered in the FMSS system.	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	FAC	
	Automatic sprinkler systems are inventoried and entered in the FMSS system.	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	FAC	
	Automatic clean agent systems and devices are inventoried and entered in the FMSS system.	Monthly/Annual Review	CR/FAC	Supt.	Inspection Document	FAC	
	S/F pre-plans are in place for the Park and buildings (developed with local responding fire departments) <ul style="list-style-type: none"> ➤ The responding fire department conducts walk through familiarization visits. ➤ The challenges of the cultural resources are clearly identified to the responding fire department. ➤ The local fire department is provided a list and location of hazardous materials. 	Annual Review	CR	Supt.	Inspection Document	DO-58 RM-58	
	Park building projects are designed by an A&E firm and reviewed by the IMRO Authority Having Jurisdiction? (IMRO Structural Fire Manager)	Annual Review	FAC	Supt.	Inspection Document	DO-58 RM-58	
	Park projects and PMIS statements meet the fire protection system requirements of the RM-58.	Annual Review	FAC	Supt.	Inspection Document	DO-58 RM-58	
Total (45 possible)							



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	*IMR RATING
Engine Operations							
	<p>Outside Agency response:</p> <ul style="list-style-type: none"> ➤ There is outside agency response available (if feasible). ➤ Coordination and Interagency training is taking place. 	Annual Review	CR	Supt.	Inspection Document	DO-58 RM-58	
	There is adequate staffing and administration for structural fire response capabilities.	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA 1404 & 1500	
	Qualifications for NPS Engine Brigade personnel are maintained as are medical and physical fitness requirements.	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA 1404 & 1500	
	A SCBA fit test and training program is in place.	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA 1404 & 1500	
	<p>Structural Fire Apparatus:</p> <ul style="list-style-type: none"> ➤ The apparatus is properly maintained with maintenance records. ➤ Pump testing, servicing, and maintenance programs are in place. ➤ Hose testing, servicing, and maintenance programs are in place. ➤ Firefighting equipment is in good condition and properly maintained. ➤ Ladder testing, servicing, and maintenance program is in place. 	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA	
	<ul style="list-style-type: none"> ➤ Is there SCBA testing, servicing, and maintenance programs in place? ➤ PPE equipment plan in place? (inventory, fitting, inspection, service, & maintenance) 	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA	
	<p>Training:</p> <ul style="list-style-type: none"> ➤ Individuals on the engine crew are current with the required training requirements. (pack test, refreshers CEU's) ➤ Engine crews are familiar with the buildings and "special" areas and detailed on pre-plans. ➤ Training plans, and sessions are documented and maintained. 	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA	



Date Completed	Items Requiring Action	How Often	Responsible	Certify completion	Method of Certification	Policy Source	*IMR RATING
Engine Operations (continued)							
	<i>Alarm Reporting and Dispatch:</i> ➤ Fire alarm systems are reporting to a centralized monitoring station. ➤ There is a public reporting system in place. ➤ There is a reliable Structural Fire Response dispatching system	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA	
	<i>Fire Protection Infrastructure:</i> ➤ There is an adequate and available system to support manual suppression operations (properly maintained sprinkler and hydrant systems)	Annual Review	CR	Supt.	Inspection Document	RM-58 NFPA	
Total (45 possible)							

Without an Engine		
Administration	Possible 30	
Prevention	Possible 25	
Protection	Possible 45	
Total Score (100 possible)		

With an Engine		
Administration	Possible 30	
Prevention	Possible 25	
Protection	Possible 45	
Engine Operations	Possible 45	
Total Score (145 Possible)		



Without an Engine

Individual Category Rating

Rating	Description
0	Not Present
1	Incomplete or in draft form
2	Incomplete but in progress (recent improvements)
3	Complete but not current or accurate
4	Complete, current, but may not be known by all staff
5	Complete, current, known, and of high quality

Overall Rating

Rating	Description
0-33	Program is in need of major improvements to be in compliance with policy
34-65	Program is in need of improvements to be in compliance with policy
66-100	Operation is well planned and compliant with policy

With an Engine

Individual Category Rating

Rating	Description
0	Not Present
1	Incomplete or in draft form
2	Incomplete but in progress (recent improvements)
3	Complete but not current or accurate
4	Complete, current, but may not be known by all staff
5	Complete, current, known, and of high quality

Overall Rating

Rating	Description
0-48	Program is in need of major improvements to be in compliance with policy
49-97	Program is in need of improvements to be in compliance with policy
98-145	Operation is well planned and compliant with policy



**Visitor and Resource Protection Program
 Assessment Worksheet**

Park/Unit	Superintendent	Chief Ranger	Assessment Coordinator	Date
Primary Concern (if applicable):				

	Assessment Item	Assessment	Standard of Measure	Score
Supervision	Field Supervision	Evaluate span of control of <u>funded</u> positions —Division Organization Chart	1 Supervisor : ≤ 6 field staff ratio throughout organization —Rate (1-10)	
		Evaluate field impression of supervisory access —Survey Rating	“Field staff always have access to field supervision when on duty”	
	Leadership/ Supervision Quality	Evaluate Individual Development Plans —Survey Rating	“My Employee Development Plan (EDP) is established, current and meaningful”	
		Employee engagement in decision making —Survey Rating	“Employee participating in decision making”	
		Evaluate quality of Employee Performance Appraisals (EPAP) —Survey Rating	“Performance appraisals accurately reflect my performance”	
			Total Possible	50
Planning	Policy Compliance	IMR Program Audit —AUDIT Worksheet-LE Program	Audit results: (score of 0-100) ÷ 10	
	VRP Strategic Plan	Evaluate written plans for division planning, organizing, leading, controlling, and operational and support functions. —Division Strategic Plan	A written, established strategic plan is present that includes the division’s mission, objectives, and standards of performance —Rate (1-10)	
	Division planning	Evaluate effectiveness of communication of Division plans and priorities —Survey Rating	“Division priorities, plans and operational objectives are clear to me”	
		Evaluate level of employee engagement and participation in planning process -Survey Rating	“I have input in division, shift, or work group planning”	
		Evaluate quality of support of support services —Survey Rating	“Administrative support is helpful and effective”	
	Personnel Costs	% of personnel costs vs. total VRP budget —Chief Interview/AFS Review	Funding is adequate for support of other aspects of the operation	Not Rated
	Equipment Investment	% of annual budget allocated for VRP equipment and support —Chief Interview/AFS Review	Funding is adequate to equip and support field operations	
Training	% of annual budget allocated for VRP training and development —Chief Interview/AFS Review	Funding is adequate to maintain required training and professional development		
			Total Possible	60

	Assessment Item	Assessment	Standard of Measure	Score
Team Selection	Required Proficiencies	Evaluate training for basic/required qualifications and certifications —Survey Rating	“I receive consistent, realistic, and effective training” (Level I LE Commission, EMT, ICS, etc.)	
	Proficiencies	Evaluate confidence of staff in required capabilities —Survey Rating	“I am capable and proficient in all basic areas of responsibility”	
Total Possible				20
Team Fitness	Work Schedule	Evaluate overtime distribution among staff —Survey Rating	“Night callouts are equitable among staff “	
		Evaluate consistency of day/night scheduling & days off —Survey Rating	“Days off and night shifts are consistent and only changed with significant prior notice”	
	Fitness Plans	Evaluate presence of current fitness plans —Survey Rating	“I have a current fitness plan in place”	
		Evaluate whether PT time is provided and taken —Survey Rating	“PT time is regularly provided and taken”	
Recordable Injuries	Evaluate follow up to recordable injuries during the last calendar year —SMIS Data	All injuries have been investigated and mitigations have been implemented for each —Not agree to strongly agree (1-10)		
Total Possible				50
Communication	Physical	Evaluate radio coverage —Survey Rating	“Radio communication is effective in every area of the park”	
		Evaluate quality of Dispatch Services —Survey Rating	“Dispatch services are capable and proficient”	
	Interpersonal	Evaluate quality of supervisor/subordinate communications —Survey Rating	“Communications between supervisors and subordinates are positive, effective, and consistent”	
		Evaluate frequency and reliability of staff briefings —Survey Rating	“Scheduled communications are routine (weekly/monthly)”	
		Evaluate communication of expectations —Survey Rating	“My job responsibilities are clear to me”	
		Evaluate communication of authorities —Survey Rating	“My decision making authorities are clear to me”	
		Evaluate communication of park/agency status —Survey Rating	“I am kept informed of the status of the park and agency”	
Evaluate communication of park/agency direction and priorities —Survey Rating	“I understand our park and agency direction”			
Total Possible				80

	Assessment Item	Assessment	Standard of Measure	Score
Contingency Resources	Accessible Backup	Evaluate consistency of readily accessible backup —Survey Rating	“There is 20 minute-maximum time of backup response for all on duty staff”	
	MOAs	Evaluate presence of interagency MOAs —Survey Rating	“MOAs in place with every cooperating agency”	
	MOAs Effectiveness	Evaluate effectiveness of interagency MOAs —Survey Rating	“MOUs are known and understood by staff and cooperating agencies”	
Total Possible				30
Environment	PPE	Evaluate presence, quality, and effectiveness of specialized PPE —Survey Rating	“I am appropriately equipped for environmental conditions in my area”	
	All-Risk Planning	Evaluate operational plans and procedures —Survey Rating	“Plans/procedures are in place for all non-standard operations or environments”	
Total Possible				20
Complexity	Training/ Proficiency	Evaluate capability and proficiency of team —Survey Rating	“Increased-risk operations are rehearsed; staff is capable/proficient”	
	Hazard Mitigation	Evaluate training regimen for non-standard, increased risk operations —Survey Rating	“Operational Leadership principles are implemented at all levels”	
Total Possible				20
Grand Total Possible				330

Rating	Overall Rating Description
0-110	Program is exposed to significant risk and in need of major improvements
111-220	Risks are relatively mitigated but improvements and increased planning are needed
221-330	Operational risks are effectively mitigated to an appropriate level (employee perspective)

Intermountain Region
 Visitor and Resource Protection Division
 Management Survey (VRP Program Assessment System)
 Version February 9, 2011

NPS Mission Accomplishment		Rating 1-10 Strongly disagree to Strongly agree
Mission/Vision Objectives	1. The park has a well established mission, vision, and objectives that are known to the entire staff.	
Resource Protection	2. All divisions collaborate in joint planning to ensure effective resource protection.	
Visitor Enjoyment	3. All divisions collaborate in joint planning to effectively provide for visitor enjoyment.	
Success Metrics	4. Metrics that accurately evaluate mission accomplishment through established objectives are utilized at every level of the organization.	
Accountability	5. There is a strong culture of accountability for accomplishment and risk management throughout the organization.	



**Visitor and Resource Protection Program
 Staff Survey**

Strongly Disagree (1) – Strongly Agree (10):			Rating 1-10
Supervision	Field Supervision	Field staff always have access to field supervision when on duty	
	Leadership Training/ Supervision Quality	My Individual Development Plan (IDP) is established, current and meaningful	
		I participate in decision making	
		Performance appraisals accurately reflect my performance	
Planning	Division Planning	Division priorities, plans and operational objectives are clear to me	
		I have input in division, shift, or work group planning	
		Administrative support is helpful and effective	
	Policy/ Procedures	Policies and procedures are clear to me (RM-9, local SOPs, Compendium, RM-18, RM-22, etc.)	
Team Selection	Required Proficiencies	I receive consistent, realistic, and effective training	
		I am capable and proficient in all basic areas of responsibility (Level I LE Commission, EMT, ICS, Red Card, etc.)	
Team Fitness	Work Schedule	Night callouts and assignments are equitable among staff	
		Days off and night shifts are consistent and only changed with significant prior notice	
	Fitness Plans	I have a current fitness plan in place	
		PT time is regularly provided and taken	

Strongly Disagree (1) – Strongly Agree (10):			Rating 1-10
Communication	Physical	Radio communication is effective in every area of the park	
		Dispatch services are capable and proficient	
	Interpersonal	Communications between supervisors and subordinates are positive, effective, and consistent	
		Scheduled communications are routine (weekly/monthly)	
	Personal	My job responsibilities are clear to me	
		My decision making authorities are clear to me	
		I am kept informed of the status of the park and agency	
		I understand our park and agency direction	
Contingency Resources	Accessible Backup	There is 20 minute-maximum time of backup response for all on duty staff	
	MOU/MOA	There are MOUs or agreements in place with every cooperating agency	
	MOU/MOA Effectiveness	MOUs/Agreements are known and understood by staff and cooperating agencies	
Environment	PPE	I am appropriately equipped for environmental/operational conditions in my area	
	All-Risk Planning	Plans/procedures are in place for all non-standard operations or environments (Structural/Wildland Fire, SAR, Boat Ops, backcountry patrol, mountaineering, border/special operations, etc.)	
Complexity	Training/Proficiency	Increased-risk operations are rehearsed; staff is capable/proficient	
	Hazard Mitigation	Operational Leadership principles are implemented at all levels	

Attach comments, concerns, or suggestions.



LAW ENFORCEMENT NEEDS ASSESSMENT Anywhere National Historical Park

Prepared: John Doe, Chief Ranger, Anywhere National Historical Park
Jane Doe, Chief Ranger, Big Sky Region

Approved: _____ Date: _____
Superintendent

INTRODUCTION

The Introduction section is basic boilerplate, summarizing RM-9 and NPS Policy.

The Director's Order/Reference Manual 9, *National Park Service Law Enforcement Policies*, requires the Superintendent to prepare a Law Enforcement Needs Assessment (LENA). The LENA helps the park meet the mission of the National Park Service (NPS) and the objectives of the park's visitor and resource protection program by:

- Identifying and evaluating the many factors which create the law enforcement workload in the park
- Identifying staffing and organizational needs
- Providing guidance for position management planning
- Providing a framework for budget and project requests

The starting point for the Law Enforcement Needs Assessment is the Visitor Management-Resource Protection Assessment Program (VRAP). VRAP is a computerized model, designed to consider all the elements necessary in making an assessment and determination of personnel requirements for the protection program in a park. The model uses commonly available statistics and known characteristics of a park. The VRAP model provides some evaluative consistency on a regional or service-wide basis.

The LENA provides an opportunity to confirm and validate VRAP versus real time, on-site circumstances of the park. The components of the LENA, identified in RM-9, include:

1. Servicewide and Park Specific Statutory and Program Direction
2. Elements of the Needs Assessment

- Visitation Patterns and Trends
- Public Use
- Access and Circulation Patterns
- Community Expectations
- Cooperative Assistance
- Protection of People, Resources and Property
- Type of Jurisdiction
- Criminal Activity
- Special Needs

Service-wide Program Direction (NPS Policies)

The law enforcement program is an important tool in carrying out the NPS mission. The objectives of the program are:

1. The prevention of criminal activities through resource education, public safety efforts and deterrence.
2. The detection and investigation of criminal activity and the apprehension and successful prosecution of criminal violators.

Law enforcement is characterized by high risks, inherent dangers, and high public expectations and will be performed in a professional manner. The program will be managed in accordance with all applicable laws and regulations, DM 446 and DO/RM-9.

Park law enforcement activities will be managed by the superintendent as part of a comprehensive, interdisciplinary effort to protect resources, manage public use, and promote public safety and appropriate enjoyment. Congress has authorized the designation of certain employees as law enforcement officers, with the responsibility to "...maintain law and order and protect persons and property within areas of the National Park System." The duties of commissioned employees will not be limited to just law enforcement.

The NPS is authorized to deputize another agency's personnel only for the purpose of obtaining supplemental law enforcement assistance during emergencies or special events, and not to delegate NPS law enforcement responsibilities.

PARK PROGRAM DIRECTION

Park Description

The citations from RM-9 (Chapter 4.1. Law Enforcement Needs Assessment) are provided for your convenience for each section.

RM-9: "The laws governing the administration of the National Park System, as well as a park's enabling legislation, provide program direction. Documents such as the general management plan, regional management plan, RM-9, and statement for management provide additional program direction."

This section should be a concise summary of the park. The park's enabling legislation, the GMP or resource management plans and even the park's brochure, are all excellent sources for this section. Suggested items to cover include:

- The park's purpose (enabling legislation language) and subsequent relevant legislation
- Date of the park's establishment
- Size of the park
- Description of the resources
- Unique resources and/or resources of concern
- Significant management issues, including regulations/Superintendent's Compendium items
- Other pertinent information needed to provide a good, descriptive summary of the park

Visitation Patterns and Trends

RM-9: "The numbers of visitors, visitor demographics, average length of stay, length of season, seasonal variations, and visitation trends all greatly affect the amount and type of law enforcement services required."

This section summarizes visitation patterns and trends that would be expected to impact the law enforcement workload. Suggested topics:

- Annual visitation figures, including how those figures are obtained
- Description of the primary visitation season, including shoulder seasons if relevant
- Description of how visitors arrive – by vehicle, foot, bus, cruise ship, etc.
- Geographic origin of visitors – local, within state, surrounding states, foreign
- Primary destination – is the park a primary destination or one of many destinations
- Visitation distribution throughout the week – does visitation tend to peak on certain days
- Group visitation – are visits by bus, school groups, etc important

Public Use

RM-9: "The variety and impact of public use and special events are major influences on the scope of the park's law enforcement program."

This section generally describes the types of public use in a park.

- Describe the types of user groups that visit the park. Examples might include local, non-local, day users, campers/backcountry users, visitors that go to only one area or engage in one activity

Access and Circulation Patterns

RM-9: "Access and circulation patterns and transportation methods all have significant impact on a park's law enforcement program."

This section describes the possible ways visitors may enter a park and how they may travel within the park. Suggested topics:

- Describe the ways the park can be accessed and note routes and other issues that impact the work load
- Are certain areas choke points with congested traffic
- Does the park have controlled access, monitored access or through roadways
- Accessible by boat, aircraft, foot traffic, etc
- 365/24/7 access

Community Expectations

RM-9: “Political, sociological, geographical, and environmental factors influence the scope and profile of the law enforcement program.”

This is a brief summary of the park’s relationship with the local communities and how this may affect the law enforcement program.

- Describe the relationship with the local communities (in some areas this may extend to the state government)
- What are the major areas of concern by the local communities

Cooperative Assistance

RM-9: “Qualified law enforcement assistance may be used to supplement, but not replace, capabilities in a park. Conversely, mutual aid commitments outside the park may place increased demands on a park’s law enforcement program.”

This section describes cooperative assistance with other agencies.

- Describe any existing MOU’s
- Describe any Cooperative Agreements with local law enforcement - for example dispatch operations
- Describe the involvement of local law enforcement inside the park – routine patrols, intrusion alarm responses, backup or emergency response including time frames involved
- Describe the involvement of NPS law enforcement outside the park

Protection of People

RM-9: “Threats to visitors and residents will be identified and maximum efforts and attention should be devoted to mitigating these threats.”

This section describes threats to visitors and park employees.

- Do you feel crimes are not being detected or reported
- Does the park adequately protect NPS employees - is the law enforcement staff on duty while other NPS employees are working – maintenance on early shifts or interpretation on late shifts

- Where do most crimes against people occur within the park
- Describe any positive deterrent effect of non-law enforcement uniformed employees – entrance stations, visible Interpretation or Maintenance employees

Protection of Resources

RM-9: “Resources should be inventoried and priorities assigned to their protection based on an assessment of their vulnerability.”

This section describes threats to resources within the park.

- Describe the natural and cultural resources of importance and/or at risk
- Describe the threats to the resources – poaching, off-trail use/abuse, thefts, disturbance of cultural resources and/or wildlife, vandalism
- Describe any internal threats to resources – for example, the theft of collection items
- Where do most crimes against resources occur within the park
- Describe the relationship (communications) of Interpretation, RM, Maintenance and LE personnel in protection of park resources

Protection of Property

RM-9: “The protection of property may be accomplished in a variety of ways, some of which involve a significant commitment of personnel services.”

This section describes threats to property, including visitor and park property.

- Describe the park facilities including intrusion and fire/smoke alarms
- Describe park property, including fee receipts, that are subject to theft
- Describe the extent of vandalism to property
- Do thefts occur from visitors – car clouts, thefts from campgrounds, pick pockets
- Where do most crimes against property occur within the park

Jurisdiction

RM-9: “The type of jurisdiction exercised by the NPS has a direct bearing on the scope of a park’s law enforcement program...”

A brief summary of the park’s jurisdiction is needed; it is not necessary to restate the entire Jurisdictional Compendium.

- Briefly summarize the park’s jurisdiction
- Reference the park’s Jurisdictional Compendium

Criminal Activity

RM-9: “The frequency, severity, and complexity of criminal activity and other law enforcement incidents and the duration of individual incidents are significant elements to be considered in determining a park’s law enforcement workload. Decisions as to the level of deterrence and response desired will significantly impact overall program costs.”

This section is intended as an overall summary, coming after the Protection of People, Resources and Property sections. It provides an opportunity to highlight areas of highest concern and other pertinent information that perhaps has not been addressed.

- Describe the overall crime activity – low, medium or high
 - Low –
 - Medium –
 - High -
- List the number of Part I and Part II crimes per year (using last year’s figures or an average of the last several years for an accurate picture)
- Identify the closure rate of Part I and Part II crimes
 - Part I – 20% closure rate is considered adequate
 - Part II – 50% closure rate is considered adequate
 - A closure rate less than adequate would be a cause to increase staffing
- Is the physical layout of the park conducive to criminal activity – for example, a single point for entry and exit tends to deter criminal activity
- List the most common types of violations
- List the most serious type of violations and/or areas of highest management concern
- Are criminal activities involving drug, undocumented aliens, or ARPA violations occurring
- Does the park have Homeland Security concerns

Special Needs

RM-9: “One-time or infrequent events and incidents that occur within or adjacent to the park may require selectively increasing law enforcement efforts.”

This section describes infrequent events that occur in or near the park that may require extra law enforcement presence.

- Describe special events that may require a Special Event Team or an Incident Management Team and/or would impact the park’s law enforcement workload.

Current Staffing and Support

This section should summarize the current staffing and support and assess basic effectiveness.

- List the current staffing and position management arrangement
- Does required occupancy of housing exist
- Is the current staffing effective
- Does the current staffing address law enforcement safety concerns
- Are non-law enforcement, but visible uniformed employees, contributing to the deterrence of criminal activity
- Does the staff have adequate dispatch services including the means to contact other agencies for law enforcement help
- What is the current support level – vehicles, standard equipment, travel, training, etc

Recommendations

This section describes the recommendations based on the analysis of the Needs Assessment:

- Describe the needs for law enforcement coverage – year-round, number of days per week, number of hours or shifts per day, peak seasons during the year
- Discuss the depth needed for basic coverage, back up needs and for lieu days, leave, training and participation in Servicewide commitments such as SET and IMT.
- Have there been any new developments since the current staffing/position management was put into place - new additions to the park, increased visitation, increase in crime rates, new management concerns or resources at risk, assistance from other agencies
- Does the park's level of activity contribute to skill erosion, necessitating details to other parks, especially for new employees
- Has cooperation with other agencies been explored in enough detail to maximize the effectiveness of the law enforcement program
- List the VRAP recommendation for staffing
- List your recommendations for staffing and support based on this analysis

OFS/PMIS

The OFS/PMIS narrative is not a component of the LENA, but should be a logical output of the Assessment.

If out-of-park resources are part of the LENA process, their input into an OFS/PMIS narrative submission should be obtained. Otherwise, the park should input the OFS submission directly.



JURISDICTIONAL INVENTORY PREPARATION

1. **Background**

a. Definition

The PWR Field Solicitor, Ralph Mihan, provided the following:
A Jurisdictional Inventory will be defined as a document that may be picked up, or given to, an incoming Chief Ranger, District Ranger or individual Field Ranger to provide an overall outline of the scope of the Law Enforcement Authority, both basic and supplementary, for that Park, both within and outside (if any) the boundaries of that Park.

Accordingly, a jurisdictional compendium should contain documents that grant law enforcement authority to commissioned rangers at a particular park or outside of that park's boundaries.

b. Requirement

**RM-9, Chapter 3, Section 6
JURISDICTIONAL INVENTORY (PREVIOUSLY CALLED
JURISDICTIONAL COMPENDIUM)**

Each park must compile a jurisdictional inventory that lists and explains applicable State and local statutes, General Agreements, lands within the specific park area and related local or regional issues that impact law enforcement authority. Each commissioned employee assigned or detailed to a park unit must be given access to this inventory for review.

2. **Process**

The Jurisdictional Inventory looks ominous; don't let that discourage you or bring on procrastination.

As you work through the Sections and subsections of the *Jurisdictional Inventory Template* provided herein you will find that some do not apply to your Park, either never will or not at this time. They can be either deleted or it can be noted that “Not applicable at this time.”

Suggestions to get started:



Step 1: Familiarization and

1. Review the *Jurisdictional Inventory Template* to get familiar with what you will need to fill in (**highlighted in red**) for your Park.

Step 2: Gather Supporting Documentation

1. Gather copies of:
 - a. The Authorities Bill 16 USC sec. 1a-6 in which the Congress defined our law enforcement powers,
 - b. 16 USC sec. 1b(1) in which the Congress authorized us to provide law enforcement assistance to localities outside our boundaries (keeping in mind that this does not confer arrest authority), and
 - c. 16 USC sec. 3 in which the Congress granted to the Secretary the authority to regulate the use of NPS lands. In addition, you should be aware that the Supremacy and Property clauses of the Constitution grant to the United States government and only the United States government the power regulate federal land.
2. Gather copies of your enabling act (proclamation, executive order, etc.) and other applicable laws regulations, directives applicable to your park. Resources include:
 - a. National Park Service Laws
<http://www.nps.gov/legal/>
 - b. National Parks Index (“The Red Book”)
<http://www.nps.gov/hfc/products/pubs/salespub-feature.htm>
3. If you have *exclusive* jurisdiction or *concurrent* jurisdiction, get a copy of the State statute, the State agency cession documents and if applicable Federal acceptance or cession related MOU. There no cession documents for areas of *proprietary* jurisdiction. If you have *proprietary* jurisdiction the template will address all your basic Federal law enforcement authorities.

Cession documents prior to 1940 will often take the form of a state statute ceding jurisdiction to the US and a US statute accepting that jurisdiction. You may not find an acceptance statute in all cases as prior to 1940 there was no requirement for a formal acceptance. And, cessions prior to this date were of exclusive jurisdiction and that jurisdiction generally went to the "Crown Jewels".



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In 1940 Congress passed a law which was codified at 40 USC 255 which required that cessions of jurisdiction be formally accepted by the United States. After this date cession documents would likely take the form of a Letter from either the State Governor or a statute enacted by the State Legislature ceding either concurrent or exclusive jurisdiction to the National Park Service. There would also be a reply letter from the Secretary of Interior or his delegate (in some cases a regional director), accepting that jurisdiction. Most of the cessions after 1940 were of concurrent jurisdiction as the states began to realize that they didn't have to cede exclusive jurisdiction in all cases.

If you can obtain these documents it will make your compendium complete but you may not be able to obtain these documents in all cases.

One of the values of these documents will be to clarify whether or not the cession applied only to lands within the boundary at time of cession or to lands "hereinafter acquired". When we acquire lands in parks where we have concurrent or exclusive jurisdiction the question always comes up, what jurisdiction do we have on the new lands? The cession documents will answer that question.

4. Review the discussions of jurisdiction and law enforcement authority as found in DO and RM 9.
5. Gather a copy of any state peace officer statutes which grant to the NPS peace officer status either directly (as in Colorado and Oklahoma) or indirectly (as in Utah) thru MOU's with the County Sheriff.
6. Gather a copy of state statutes which do not rise to peace officer status but which grant additional state police powers within NPS boundaries (e.g. SB 965 in the State of Texas).
7. Gather a copy of the “Federal Law Enforcement Officers’ Good Samaritan Act of 1998”. This law protects us from tort liability when we take reasonable actions outside of our boundaries to prevent crimes of violence" or capture the perpetrator when the "crime of violence" has occurred "within our presence".
8. Assemble the most commonly assimilated state criminal and traffic laws for areas of exclusive and concurrent jurisdiction.
9. Determine if there are any state statutes which grant the local Sheriff posse commitatus powers. Posse commitatus gives the county Sheriff the power to enlist anyone over the age of 15 to aid him in keeping the peace. Whereas the



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Supremacy Clause of the Constitution puts us in a position of not having to respond, the situation may dictate that we should. However, when we do, and we respond outside our boundaries, we will be more subject to potential liability and need to keep that in mind. Our greatest protection will come from limiting our involvement to the period of time when there is a clear emergency and the Sheriff lacks the necessary resources to deal with it.

10. Find a copy of each mutual law enforcement assistance agreement and deputation agreement which broaden your law enforcement authority you may have, *whether in effect or expired*, with Federal, State, local agencies and make a copy. In lieu of formal written agreements, where you have verbal agreements with the Sheriff, obtain or establish a memo to the file documenting those verbal agreements. *Verbal agreements, though apparently accepted, are not the best basis for taking a law enforcement action and should be avoided if possible.*
11. Locate a good map of the Park that will show the boundaries clearly. Resources include:
 - a. Park archives
 - b. Land Acquisition Information
<http://landsnet.nps.gov/>

Step 2: Narrative

Draft a narrative that summarizes the creation of your Park and its chronological evolution. Some of this information that you may be found on your parks web site, in the Park Brochure, in the GMP or other Park document (such as a completed LENA) that provides an overview of your Park.

Step 3: Complete the Jurisdictional Inventory Template

Now you are ready to work through the Jurisdictional Inventory. You may be surprised how little applies to your Park. Also you may be surprised about the gaps you have in your program that may need some thought and attention in the near future. The gaps should not hold up your putting your Jurisdictional Inventory together; they can be filled in later.

The Inventory is a “living” document/manual that will be updated periodically.



**National Park Service
U.S. Department of the Interior**

(Your Park Name)

JURISDICTIONAL INVENTORY

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Note: This is the Intermountain Region template for your Jurisdictional Inventory for your park prepared to assist you.

- Any parenthetical explanation in this template (red font) should be deleted from your final product, except as noted.
- Any components of this template that are not applicable to your park area should be deleted or it may be noted “**not applicable at this time**.”
- All applicable Park documents should be **identified** in the **PART I Narrative**, summarized if appropriate, and should be referenced as being in and included in the **Appendix Part II, Section One**.
- The Jurisdictional Inventory should be written with the commissioned Park Ranger in mind, as an accurate reference tool for questions related to LE authority and jurisdiction within your Park.

Part I: Jurisdictional Summary for [YOUR PARK HERE]

I-A: Park Summary

1. Overview

(This is a narrative summary of your **Park**. This would include a brief discussion of how your park was established, i.e. law, proclamation, etc. and what it entails. Use the product from Step 2 in the preparation process as the foundation. The relevant document(s) pertaining to your should be reference and placed in the **Appendix PART II, Section One**, along with a map of the park)

(If your area is a monument, historic site/park, seashore, recreation area, preserve, memorial, etc. substitute the correct title for “park”.)

2. Park Jurisdiction

The United States, National Park Service, has (*proprietary/concurrent/exclusive*) **jurisdiction** over all of (your) National Park.

(Select the paragraph(s) below that describes the jurisdiction for your Park. Delete the ones that do not.)

Proprietary Jurisdiction: The United States does not have **legislative** jurisdiction nor adopts the state **statutes** as Federal **statutes** on federal land, but exercises all the rights of a property owner. Hence the United States is the proprietor and has proprietary jurisdiction. The United States has, however, its own US Constitutional powers (**Property Clause**) that a private individual does not have. Proprietary jurisdiction allows the NPS to enforce Federal Property Clause based criminal **statutes** (18 USC, 21 USC and other Constitutional Clause based criminal law statutes, (i.e. Interstate Commerce Clause, etc) that apply anywhere **on** Federal property and waters **within** the Park boundary.

Further Congress has delegated a measure of that constitutional authority to the NPS to make and enforce **regulations** (36 CFR Chapter 1 and some regulations in 43 CFR) in all NPS areas (see 16 U.S.C. 3 as well as 1a-2(h), 1c) on Federal Property *within the Park boundary*. This would also apply to NPS lands *outside the Park boundary* that are related to administration of the Park which are either owned in fee, leased or operated by NPS for Park purposes.

A State may exercise its legislative jurisdiction (police power and civil powers) over the illegal acts of private persons on federal lands to the same extent as on privately owned lands. The State may not interfere in any way with the United States functions in its administration and use of its lands under the Supremacy Clause, nor may it tax federal land.

A State may exercise its legislative jurisdiction (police power and civil powers) over the illegal acts of private persons on federal lands to the same extent as on privately owned lands. The State may not interfere in any way with the United States functions in its administration and use of its lands under the Supremacy Clause, nor may it tax federal land.

Concurrent Legislative Jurisdiction: The United States and the States hold and exercise all their respective sovereign rights over criminal activities on Federal lands with the broad qualification that such authority is held concurrently. The United States, however, has the superior right under the Supremacy Clause of the Constitution to carry out all federal functions on Federal lands unimpeded by state interference. (A MOU sets out which agency, NPS or law enforcement local agency, takes the lead on crimes covered by both sovereign) The state has sole enforcement authority over criminal activities on private lands within the boundary of the Park. Concurrent criminal jurisdiction allows the NPS to enforce not only all federal Property Clause based criminal statutes and regulations, but also assimilates state criminal law under Title 18 U.S.C., (Assimilative Crimes Act) when there is no applicable federal law or regulation on the subject, and enforce them as **Federal law** in Federal Court.

Exclusive Legislative Jurisdiction: The federal government possesses **all enforcement authority**. The state reserves the right to serve criminal and civil process inside for violation of state law occurring outside the unit. In some park areas the state may have reserved a few other minor powers, i.e. right to tax, fishing license, etc. Otherwise state officers within a NPS unit under this jurisdiction may not enforce any state law. Exclusive jurisdiction allows the NPS to enforce all applicable federal criminal statutes and regulations also to assimilate state law under Title 18 U.S.C. 13, Assimilative Crimes Act, when there is no applicable federal law or regulation on the subject.

(NOTE: For a full description/discussion of other types of jurisdiction see Appendix Part III Overview.) *(Leave this sentence in here. Expiration: The above jurisdictional descriptions that do not apply to your Park will not appear in the Part I Narrative ,but can be found in the Appendix Part III)*

3. Specific Jurisdictional Situation

(Describe below the specific jurisdictional situations applicable to your Park area.)

- A. Private Property within Park Boundaries
- B. NPS-Leased Properties outside Park Boundaries
- C. Other specific areas as needed/relevant to your Park

I-B: Authorities of NPS Commissioned Employees within Park Boundaries

1. Enforcement of Federal Law and Regulations on Federal Lands

- A. **Federal Statutory Laws enforced by the NPS:** There are numerous Federal **statutory laws** which are offenses against the property of the United States (based in the Property Clause) wherever they occur within proprietary jurisdiction parks. These statutes are enforced and investigated by NPS commissioned employees when they occur in parks. There are also certain other Federal laws based on the Property Clause, the Interstate Commerce Clause and other Constitutional Clauses that are the primary responsibility of certain other Federal Agencies. Those statutes may be enforced by NPS in the absence of action or investigation thereof by those Federal law enforcement agencies or with the concurrence of such other agency. [16 USC §1a-6(a)(3)]

- B. Federal Regulation:** The regulations in **36 CFR Parts 1 – 7 and Parts of 43 CFR** are based on the Property Clause of the US Constitution that are enforced on Federal lands within ZYX National Park. For special regulations of **(Your park)** 36 CFR 7.X in the Appendix Part II, Section One.
- C. Regulation and Laws Adopted in 36 CFR:** In all parks regardless of the type of jurisdiction, the following non NPS federal regulations, state laws and regulations are adopted as Federal law and enforceable by NPS under the following 36 CFR sections:
- State Hunting and Trapping Law – 36 CFR, §2.2(b)(4)
 - State Fishing Code – 36 CFR, §2.3(a)
 - State Weapons Laws – 36 CFR, §2.4(f)
 - State Hunting Laws re: dogs – 36 CFR, §2.15(b)
 - FAA Regulations – 36 CFR, § 2.17(d)
 - State Snowmobile Law – 36 CFR, §2.18(b)
 - 41 CFR (Disposal of Abandoned Property) – 36 CFR, §2.22(c)(3)
 - State Laws regarding the Disposal of Property of Deceased – 36 CFR, §2.22(c)(4)
 - State Law for Gift, Sale, Possess Alcoholic Beverages – 36 CFR §2.35(a)(2)(i), (iii)
 - State Laws regarding Explosives (Possess, store, transport) – 36 CFR, §2.37(a),(b)
 - State Law re: Disposal of Impounded Livestock – 36 CFR, §2.60(c)
 - State Boating Laws – 36 CFR, §3.1(a)
 - US Coast Guard Regulations (Title 41 United States Code); 33 CFR, Navigation and Navigable Waters; 46 CFR, Shipping; 49 CFR, Transportation – 36 CFR, §3.1(a)
 - State Vehicle Code – 36 CFR, §4.2(a)
- D. Assimilative Crimes Act (18 USC 13)** **(This is inserted only if your Park has exclusive or concurrent criminal legislative jurisdiction)**

2. Roads

- A. Park Roads**
(List the significant Park Roads.)
- B. Access Roads**
(List the significant Access Roads)
- C. State, County and City Roads**
(Identify and list those State/County/City Roads that are within the Park boundary)
State, County and City owned Roads and Highways: The Federal Government (NPS) has the right to protect its property through enforcement of protective regulations pursuant to the Property Clause of the U. S. Constitution. In some special situations, case law (U.S. v. Brown, 1977, U.S. v. Lindsey, 1979, etc.) and various Solicitor Opinions support the enforcement of NPS regulations on non-federal lands, including roads, when the enforcement of the regulations is necessary to protect adjacent federal lands and/or visitors thereon. As such, there must be a clear and defensible link between the activity on private lands being regulated and the protection of park visitors, resources, or values. Check with the Chief Ranger for the enforcement policy for these situations.

3. Special Situations

(Here add any special situations that apply to your park such as leased lands, Administrative Sites, Native American lands, State, County and Municipal Parks.)

4. Enforcement of Federal Law on non-Federal and/or Private Lands

- A. Inholdings:
(list the significant inholdings)
- B. Others
(if any)

Cooperative Assistance: Title 16 USC 1a-6(c)(2) authorizes the Secretary to cooperate with State and local authorities in the enforcement of their laws. This authority includes assistance to those agencies that have the primary law enforcement jurisdiction on privately owned lands within park boundaries.

The term “emergency assistance” means: a) Emergency responses to life threatening incidents, serious injury/fatality accidents/incident scenes, crime scenes involving the preservation and protection of human safety and life, officer in trouble, threat(s) to health or safety of the public; b) Emergency or law enforcement incidents directly affecting visitor safety or resource protection; c) Probable cause felonies and felonies committed in the presence of NPS Law Enforcement Personnel; d) Misdemeanors committed in the presence of NPS Law Enforcement Personnel that present an immediate threat to the health and safety of the public.

Your Park maintains written agreements that authorize emergency assistance with the following Federal, State and local agencies:

(List agreements and include them in the Appendix Part II Section ONE)

When providing emergency assistance to other agencies under the terms of an agreement, NPS personnel are considered to be acting within their scope of employment as federal employees.

5. Enforcement of NPS Regulations on non-Federal Lands

Agreements with Private Land Owners: Except as provided above, NPS regulations are generally not applicable on private inholdings. Activities on those properties are subject to State laws and regulations. However, the NPS may enter into an agreement with the landowner to enforce agreed upon sections of Parts 1-7 of 36 CFR on privately owned lands managed for park purposes, subject to a written agreement. [36 CFR 1.2(a)(2)]

(If there are none, either delete this subsection or state “none at this time”.)

(Insert park name) maintains written agreements with the following private land owners to enforce agreed upon section of Parts 1-7 of 36 CFR: *(List agreements and attach.) (A sample agreement, “Law Enforcement with Private Landowner”, is available upon request for reference.)*

6. Enforcement of State Law on Federal Lands

- A. State Peace Officer Statutes: NPS commissioned employees as Federal Law Enforcement Officers may exercise the state powers of arrest granted by State Peace Officer statutes on NPS lands, subject to the training or certification requirements of the statute.

(NOTE: Some States grant partial or total “peace officer” status to certain or to all federal lawenforcement officers. Parks must research the particular peace officer statutes of their State and provide a summary of the peace officer authority that is granted. Parks must also discuss how the State authority is to be exercised in the park.

- B. Deputation: Commissioned employees may receive deputations from a County in order to enforce State law on the Federally owned lands and/or private lands within a National Park. *(If there is no such deputation, state “none at this time”.)*
*(If **your park** has XX permanent Law Enforcement Officer’s deputized with a local County Sheriff’s/Police’s Office, state this and refer to the Appendix Part II Section One for the list of deputized NPS personnel and the MOU establishing this arrangement*

7. Enforcement of State law on non-Federal Lands

- A. Park law enforcement officers do not have authority to enforce state law on non-Federal lands with the Park.
- B. Cooperative Assistance: Title 16 USC 1a-6(c)(2) authorizes the Secretary to cooperate with State and local authorities in the enforcement of their laws. This authority includes emergency assistance to those agencies that have the primary law enforcement jurisdiction on privately owned lands within park boundaries.

The term “emergency assistance” means: a) Emergency responses to life threatening incidents, serious injury/fatality accidents/incident scenes, crime scenes involving the preservation and protection of human safety and life, officer in trouble, threat(s) to health or safety of the public; b) Emergency or law enforcement incidents directly affecting visitor safety or resource protection; c) Probable cause felonies and felonies committed in the presence of NPS Law Enforcement Personnel; d) Misdemeanors committed in the presence of NPS Law Enforcement Personnel that present an immediate threat to the health and safety of the public.

(Insert Your Park name) maintains written agreements that authorize emergency assistance with the following Federal, State and local agencies:

*(List agreements here and include them in the **Appendix Part II, Section One**)*

When providing emergency assistance to other agencies under the terms of an agreement, NPS personnel are considered to be acting within their scope of employment as federal employees.

I-C: Authorities of NPS Commissioned Employees Outside of Park Boundaries

1. Enforcement of Federal Law on Other Federal Lands:

*(There are national agreements whereby NPS commissioned employees can enforce federal law on other Federal land outside the park boundaries. Most national agreements require a local agreement with that Federal agency. If you have such arrangements, identify them and list agreements here and place the agreements the **Appendix Part II, Section One**. If you do not have such arrangement, state so, or **delete** this section.)*

2. Mutual Aid Agreements with Local Agencies Outside the Park Boundary.

Title 16 USC 1b(1) authorizes the Secretary to render “emergency rescue, fire fighting, and cooperative assistance to nearby law enforcement and fire prevention agencies and for related purposes outside of the NPS.” This authority authorizes assistance to those nearby agencies that have the primary law enforcement jurisdiction outside of park boundaries.

(Insert Park name) National Park maintains written agreements that authorize emergency assistance outside the Park boundaries with the following State and local agencies:

(List all such MOUs and briefly describe them here. Place them in the **Appendix II Section One.**)

3. US Marshall Service Deputation.

(NPS commissioned employees may receive limited deputation by the US Marshall Service that authorizes specific and limited law enforcement or protective authority. If you have this arrangement state so here and place documentation in the **Appendix II Section One.** If you do not, state “none at this time” or delete this subsection)

(Insert Park name) National Park maintains written agreements that authorize limited deputation by the US Marshall Service that authorizes specific and limited law enforcement or protective authority.

4. Task Force Participation:

The jurisdictional authority of another law enforcement agency may be conferred upon an NPS commissioned employee by virtue of membership on an inter-agency task force. Prior to participating in a task force, an MOU must be in place that details the roles, functions, authorities, jurisdiction, responsibilities, etc. of its’ members. Task force MOU’s (which may not be substituted for law enforcement emergency assistance to localities under 16 USC §1b(1)), must be reviewed by the Solicitor’s office and must contain the requisite arrest authority if NPS officers are to arrest, detain, seize or search outside of park boundaries. [DO/RM-9 Chapter 1-5, 2.2]

(Insert park name) maintains written agreements for task force participation by NPS commissioned employees with the following agencies: [List the agencies and attach documents]

(If your Park does not participate, delete this subsection.)

5. Security Unit Participation

Commissioned employees may participate in security unit assignments, outside of their assigned parks, provided that an agreement is in place with the agency or agencies having law enforcement jurisdiction. Security Unit Assignments are primarily for the protection of property belonging to the United States and for protection of employees and other personnel. The agreement must define the terms and conditions of the assignment, and it must detail the extent and scope of the assistance. If arrest authority is to be included in the agreement, it must be clearly identified and explained. (See DO/RM-9 Chapter 1-5. 2.2)

(Insert Your Park name) Park participates in the following Security Unit arrangements: (Fire, Terrorist coverage, etc.) See Appendix Part II, Section ONE

(If your park does not have this, delete this section)

I-D: Law Enforcement Authority & Jurisdictions of Other Agencies within Parks

1. Federal Agencies with Law Enforcement Jurisdiction on NPS Lands

Other Federal agencies have primary investigative jurisdiction over certain Federal statutory laws and they are authorized to investigate such crimes wherever they occur, including within Park boundaries on NPS owned lands.

Some of those agencies likely to exercise their primary authority in the Park Boundaries are:

- FBI
- DEA
- FWS
- NOAA
- etc.

2. Federal Agencies without Law Enforcement Jurisdiction on NPS Lands

Federal agencies such as the US Forest Service, Bureau of Land Management, Bureau of Indian Affairs and the Department of Defense do not have investigative jurisdiction outside of their properties and/or lands. However, they are authorized to investigate crimes committed on their properties and to follow those investigations wherever they may lead, including within NPS owned lands.

Such agencies may enter in local agreements, based on national agreements (see Appendix PART II Section ONE), through which they may enforce NPS regulations on NPS land within the Park boundary

(List such local agreements your park has with those Federal Agencies and put them in them Appendix – Part II, Section One).

3. State and Local Agencies with Law Enforcement Jurisdiction on NPS Lands

State and local law enforcement entities have the authority and the jurisdiction to enforce state law on public roads, private lands and on the proprietary federal jurisdiction lands within the boundaries of your *Park*. However such enforcement may not interfere with NPS activities and NPS use of its Federal property.

1-E: Miscellaneous

1. Emergency Law Enforcement Assistance When Not Covered By Agreements or Jurisdiction:

Parks with proprietary jurisdiction may prepare a local directive that establishes guidelines regarding emergency law enforcement assistance (see definition in II D above) by NPS commissioned employees for crimes that occur on lands within the adjacent counties, but **outside** the boundaries of the park, or on private lands **within** the park when there are no formal agreements in place. The local directive would formally guide commissioned employees in providing reasonable emergency law enforcement assistance in such emergency situations, including Good Samaritan Act incidents.

(If your Park has such a directive, state so here and refer to it the Appendix Part II Section One.. If your Park does not have such a directive, state that it does not and that law enforcement

officers consult with the Chief Ranger for guidance.)

2. The Federal law Enforcement Officers Good Samaritan Act of 1998:

This law provides protection against common law tort liability and deems an officer to be acting within the scope of employment when the officer takes action outside of his/her jurisdiction to protect an individual from a crime of violence; provide immediate assistance to an individual who suffered or was threatened with bodily harm; or to prevent the escape of an individual who committed a crime of violence in the presence of the officer.

The Act does not provide additional authority to carry firearms outside of established jurisdictions where no such agency authority exists, nor does it guarantee that the government will substitute itself for the officer in a tort action.

A "crime of violence", for the purposes of this Act, (as well as for any criminal violations in US Code) is defined in Title 18 USC §16 as: (a) an offense that has as an element the use, attempted use, or threatened use of physical force against the person or property of another, or (b) any other offense that is a felony and that, by its nature, involves a substantial risk that physical force against the person or property of another may be used in the course of committing the offense.

3. NPS Special Police Designations:

NPS Special Police Deputations are required for state and local officers to perform law enforcement activities on the exclusive federal jurisdiction lands within the boundaries of (insert name of park). The designated officers would have the authority to enforce Federal laws and regulations.

Title 16 USC 1a-6(-c) (1) authorizes the Secretary to "designate officers and employees of any other federal agency or law enforcement personnel of any state or political subdivision thereof, when deemed economical and in the public interest, and with the concurrence of that agency or that state or subdivision, to act as special policeman in areas of the NPS when supplemental law enforcement personnel may be needed, and to exercise the powers and authorities delegated to NPS Rangers and US Park Police Officers..."

Pursuant to RM-9 chapter 1-5, the Superintendent has authorized special police deputations of individual employees of the following Federal, State, and/or local law enforcement agencies: (List the agencies and attach supporting agreements)

(If your Park does not have any, state "none at this time".)

4. Native American Situations:

(NOTE: Some parks may have, within or adjacent to their boundaries, Indian or tribal or Native American lands Parks must determine what, if any, authorities and/or jurisdiction the tribes have to enforce tribal law within the park, and what authorities and/or jurisdiction the park has to enforce federal law and NPS regulation on tribal lands. Explain this here. If your Park doesn't not have and native American issues, state "none at this time" or delete this subsection.)

5. Executing/ Serving Warrants:

Federal Warrants: Commissioned officers may serve/execute any Federal warrants inside the Park boundary. They may also serve Federal warrants outside the boundary for crimes committed inside the boundary. 16 USC 1a-6(b)(2)

State Warrants: Commissioned Officers may serve/execute State warrants inside the park boundary. (16 USC 1a-6(c)(2) “cooperate ... with any state or political subdivision... in the enforcement....of the laws or ordinances of the State or subdivision...”

However, (1) check to see if the State has criteria for a Federal officer serving a state warrant, (2) verify the validity of the warrant and (3) seek a specific request/confirmation by the issuing authority for the execution of the warrant in each instance. (List any such criteria here.)

6. Weapons

A. Commissioned LEO Rangers

a. On Duty

The general authority for Commissioned Law Enforcement Rangers to carry weapons while on duty set out in the Authorities Act of 1976 as follows: “... may carry firearms and make arrests ...”. 16 USC 1a-6(b)(1). See Part II Section One.

b. Concealed Weapons

Commissioned LEO's may, notwithstanding the State law of political subdivision thereof, carry a “concealed weapon”, including off duty inside and outside his/her Park in accordance with the conditions contained in 18 USC 926B, including, but not limited to, possession of proper identification. Part II Section ONE. Such practice should be authorized by/coordinated with his/her supervisor.

B. Private Citizens.

- a. The recent legislation entitled “Protecting Americans from Violent Crime” authorizes a private citizen to carry a firearm within a national park if he/she does so consistent with the laws of particular State law as provided in Public Law 111-24 Section 512. See Appendix Part II Section ONE.
- b. For a Summary of the state law see Appendix Part II Section ONE.
- c. For implementation of the above Act within a National Parks, see the NPS “Guidance, Implementation of PL 111-24, Section 512 dated January 21, 2010” in Part II Section One. Also see the “Question and Answer” for further guidance. Part II Section ONE
- d. For the Federal “Prohibitors”, including Federal Facilities, provided in the Gun Control Act of 1968 (18 USC 921 and 922) see Part II Section One and also the applicable regulations (27 CFR 478.11). For guidelines as to identifying a “federal facilities” see the “Identifying Federal Facility” overview provided in Part II Section ONE .

APPENDICES

Part II: Section One - Laws and Documents Directly Pertaining to your Park

- Map
- Park Organic Act
- Cession Documents
- Acceptance of Cession Documents
- Wilderness Documents
- Special Regulations
- Other Specific Legislation Applying to the Park
- Superintendent's Compendium
- Special Situation Documentation
- Relevant State Laws
- Liability of Law Enforcement Officers
- Regional/State MOUs with Other Federal Agencies
- Local MOUs with State, Counties and other Local Agencies
- "Emergency" Authority outside Park Boundary
- State National Guard

Part II: Section Two – General NPS Laws and General National MOUs Applying to all Parks

(Working to assemble and provide)

- General NPS Laws, Regulations, Agreements, Directives, etc.
- Liability of Law Enforcement Officers Acting within the Scope of their Authority
- NPS Mutual Aid, Cooperate, and Special Policeman Authority
- Assimilated Crimes Act (if not applicable delete)
- State Fishing Laws and Regulations Assimilated
- FAA Regulations Assimilated
- State Boating Laws Assimilated
- State Vehicle Code Assimilated
- National MOUs with other Federal Agencies

Part III: Jurisdictional Overview – From Director's Order 9 (DO-9) and Reference Manual 9 (RM-9)

(Working to assemble and provide)

Part IV: Case Law Overview

(Working to assemble and provide)

1. Criminal Cases

- A. *United States v. Bass*
- B. *United States v. Bousina*
- C. *United States v. Branch*
- D. *United States v. Burrell*
- E. *United States v. Duffy*
- F. *United States v. Farrell*
- G. *United States v. Fox*
- H. *United States v. Gibson*
- I. *United States v. Goldin*
- J. *United States v. Guillie*
- K. *United States v. Gray Line Water Tours*
- L. *United States v. Hogue*
- M. *United States v. Hymans*
- N. *United States v. Lindsey*
- O. *United States v. Lofton*
- P. *United States v. London*
- Q. *United States v. Scotford*
- R. *United States v. Smith*
- S. *United States v. Tanaka*

2. Tort Claims

- A. *Carpenter v. Laxton*
- B. *Flynn v. United States v. Robertserson*
- C. *Free Enterprise Canoe v. Watt, as Secretary of the Interior*
Lonberg v. United States
- D. *Ruiz-Johnosn v. United States*

3. Other Significant Cases

- A. *Minnesota v. Block*
- B. *United States v. Brown*
- C. *Dodd v. United States*



Intermountain Region
Law Enforcement Personnel Filing Guidance
Version: 1.0

I. Purpose

The purpose of this guideline is to provide framework that will ensure thorough and effective personnel file tracking and maintenance.

II. Procedure

- a. Establish each commissioned employee’s file with the following documents:
 1. Background Investigation status and results
 2. Medical RM-57 Report
 3. Copy of current commission
 4. Domestic Violence affidavit
 5. Code of Conduct Signature Page
 6. Oath of Office signature on file
 7. Written approval for outside work (if appropriate)
- b. Establish sub-folders in each personnel file by year that contains the following documentation for each year of service:
 1. Current/signed performance plan
 2. Current Individual Development Plan (IDP)
 3. Annual training documentation (RM-9, 4.2.2)
 4. Firearms Qualification Documentation
 5. PEB documentation

III. Tracking

Files should be reviewed to ensure accuracy and completeness during performance plan evaluations (see attached Excel spreadsheet).

IV. Attachments

1. Code of Conduct Signature Page
2. Domestic Violence affidavit
3. Example format for records tracking spreadsheet



LAW ENFORCEMENT CODE OF CONDUCT

4. I will faithfully abide by all laws, rules, regulations, and policies governing the performance of my duties and I will commit no act that violates these laws or regulations, or the spirit or intent of such laws and regulations while on or off duty.
2. In my personal and official activities, I will never knowingly violate any local, State, or Federal law or regulation, recognizing that I hold a unique position of public trust that carries an inherent personal commitment to uphold laws and the integrity of my profession. For these reasons, I understand that this code places special demands on me to preserve the confidence of the public, my peers, my supervisors, and society in general.
3. I will not knowingly commit any act in the conduct of official business or in my personal life that subjects the Department of the Interior or the NPS to public censure or adverse criticism.
4. While a law enforcement officer, I will not accept outside employment that will in any way conflict with the law enforcement interests or jeopardize the activities or mission of the Department or the NPS or that gives the appearance of conflict.
5. As a law enforcement officer of the NPS, I will conduct all investigations and law enforcement functions assigned to me impartially and thoroughly, and report the results thereof fully, objectively, and with accuracy.
6. In the investigative process, I will be judicious at all times and I will release information pertaining to my official duties, orally or in writing, only in accordance with the law and established policy.
7. I will accept nothing, even of the slightest value including favored treatment of any kind, from anyone on my own behalf or behalf of another person, recognizing that acceptance may result in a conflict or give the appearance of a conflict with my official duties or in my effectiveness as a law enforcement officer.
8. I will abide by all rules, regulations, and policies of the Department and the NPS, including those relating to health, safety, and technical expertise requirements of my position.
9. I will use only the amount of force that is objectively reasonable to accomplish the mission of the Department and the NPS.
10. Supervisors will not give, and law enforcement personnel will not comply with, orders they know to be in violation of criminal laws. Where question or dispute exists over such an order, both the supervisor and subordinate will direct the matter to the next level of supervision for resolution.
11. I understand this Code of Conduct is in addition to requirements imposed on me and applicable to all Department of the Interior employees as cited in Department regulations governing responsibilities and conduct of employees (43 C.F.R. 20), which I have reviewed, and that a violation of this Code or provisions of the aforementioned regulations may be cause for disciplinary action or removal from the Department.

Signature

Date



DOMESTIC VIOLENCE STATEMENT
 UNITED STATES
 DEPARTMENT OF THE INTERIOR
 National Park Service
 LAUTENBERG CERTIFICATION
 FOR OFFICIAL USE ONLY

The Lautenberg Amendment to the Gun Control Act of 1968 (18 U.S.C. § 922) makes it unlawful for any person who has been convicted of a misdemeanor crime of domestic violence to ship, transport, possess, or receive firearms or ammunition. This prohibition applies to people convicted of such misdemeanors at any time.

A misdemeanor crime of domestic violence includes the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim; by a person with whom the victim shares a child in common; by a person who is cohabiting with or has cohabited with the victim as a spouse, parent, or guardian; or by a person similarly situated to a spouse, parent or guardian of the victim.

Please complete the following certification:

Do you currently have charges pending for or have you ever been convicted of a misdemeanor crime of domestic violence as defined above?

Yes _____ No _____ Initial & Date _____

If you answered "yes" to this question, please provide the following information with respect to your conviction:

Court / Jurisdiction: _____

Docket / Case No.: _____

Statute / Charge: _____

Date of Disposition: _____

If you answered "yes" to this question, was the conviction expunged or set aside or have you been pardoned for the offense or otherwise had your civil rights restored without a continuing prohibition of the use or possession of firearms or ammunition?

Yes _____ No _____ Initial & Date _____

If you answer "yes" to this question, please provide documentation of the expungement, set aside or pardon.

I (print your first name, middle initial, last name), _____, certify that, to the best of my knowledge and belief, all of the information provided by me is true, correct, complete and made in good faith. I understand that any false statement or fraudulent information provided here may result in disciplinary action and/or be punishable under Federal law, including 18 U.S.C. Section 1001.

 Signature

 Date



**Example National Park
Commissioned Employee Records**

Employee	Background	Medical	Commission	DV Affidavit	Code of Conduct	Oath of Office	Current EPAP	Current IDP	Annual Training	Firearms Qual	PEB
	Expiration Date	Expiration Date	Expiration Date	Date Signed	Date Signed	Date Signed	Date Signed	Date Signed	Total Hours	Date Completed	Date Completed



PHYSICAL SECURITY PLANNING

I. Background

The day after the April 19, 1995, bombing of the Alfred P. Murrah Federal Building in Oklahoma City, the President directed the Department of Justice to assess the vulnerability of federal office buildings in the United States, particularly to acts of terrorism and other forms of violence. Prior to the study, there were no government-wide standards for security at federal facilities, and no central data base of the security currently in place in such facilities. A national review of the kind called for by the President on April 20 had never before been undertaken. Given the urgency of the task -- a report was to be made in sixty days -- the study proceeded along two tracks at the same time: (1) the development of recommended minimum security standards in light of the changed environment of heightened risk; and (2) the surveying of existing security conditions.

This planning process utilizes the guidelines for physical security standards recommended by this U.S. DOJ Study entitled, “Vulnerability Assessment of Federal Facilities” which was implemented for all Federal facilities by Presidential memorandum dated June 28, 1995.

This plan contains these minimum standards which cover the subjects of perimeter, entry, and interior security and security planning. The physical security plan describes the practices, procedures, responsibilities, and equipment which provide for the security of the park employees and facilities.

The National Park Service has the authority and jurisdiction to oversee and/or perform the protection functions called for in this plan. This plan complies with the corresponding Department of the Interior Manual (444 DM) and the Code of Federal Regulations (41 CFR 101-20.103-1) which suggest that for properties under its custody and control the National Park Service provide standard protection services by:

1. Responding to criminal occurrences, incidents, and life threatening events through the use of National Park Service officers and local law enforcement officers where a response agreement is in effect.
2. Installing and maintaining perimeter security devices and systems if they are monitored to provide timely response by authorized personnel;
3. Implementing crime prevention activities, including tenant awareness programs;
4. Investigating crimes and violations of Federal statutes, recording and evaluating reports of criminal incidents, and referring findings and evidence to appropriate enforcement agencies;
5. Entering into cooperative agreements with local law enforcement agencies;
6. Performing physical security surveys and providing security advisory services;



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7. Coordinating a comprehensive Occupant Emergency Program;
8. Periodically evaluating the effectiveness of protection services by in-depth inspections of procedures and records.

This plan also incorporates the following guiding principles:

1. The safety and welfare of employees, volunteers, and visitors is the primary priority.
2. Risk management is the foundation of this plan that allows for prioritization risks and associated mitigations and countermeasures.
3. Comprehensive security is best created through a “layered” approach that blends physical security methods, procedures and policies.
4. Physical security requires long-term planning and commitment.

II. Objectives

Provide a straightforward process and the necessary the tools to initiate and manage a physical security plan that safeguards the personnel and facilities at the park level.

Specifically, the objectives of this planning process are to:

1. Increase awareness of the responsibility for workplace security.
2. Provide a risk management framework to identify real threats, assess vulnerabilities, and determine critical assets and consequences in your park
3. Identify mitigations and countermeasures that significantly increase safety and security in your park.
4. Document and prioritize the risks and mitigations in a comprehensive physical security plan for the park.
5. Provide the Superintendent and the park’s management team with a rational and defensible method to make informed decisions about expending limited park resources and funding to protect valuable assets.

III. Authorities

444 DM 1
RM-9, Chapter 26

IV. Responsibilities

National Parks are unique areas. Traditional physical security of facilities and structures goes hand-in-hand with the multitude of crime prevention strategies employed in park units to create a comprehensive physical security plan for the individual unit.

Superintendent



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Primary responsibility is determined by RM-9, Chapter 26, Physical Security which states that the Park Superintendent will maintain comprehensive crime prevention and physical security plans that satisfy Departmental policy and directives.

Physical Security Coordinator

Per RM-9, Chapter 26, 2.1, each Park Superintendent must designate a physical security coordinator (PSC). The PSC is responsible for:

- Developing and implementing a physical security plan for the park.
- Conducting a physical security survey of all park structures and updating the survey utilizing approved DOI assessment methodologies.
- Developing an Occupant Emergency Plan for each occupied Service building.
- Facilitating evacuation training and use of evacuation drills for all building occupants.
- Identifying and suggesting appropriate visitor informational signs, brochures and web site information concerning physical security issues affecting park visitors.
- Ensuring that physical security is considered in all aspects of NPS programs, including new construction projects, and that all facilities meet NPS and DOI physical security standards and guidelines.
- Reporting the results of and providing completed physical security survey reports to the National Security and Intelligence Manager, LESES WASO.

All Employees

Per RM-9, Chapter 26, 2.2, all employees share a collateral responsibility for crime prevention and physical security.

Physical security coordination is primarily a law enforcement function and law enforcement staff has a heightened obligation and responsibility in this area; however, developing and executing a physical security plan at the park level *requires* an integrated approach including coordination, cooperation and commitment from all divisions and senior management. The creation and establishment of a park physical security plan will institutionalize the interdisciplinary responsibilities necessary to effectively safeguard the personnel and facilities and resources of the park.

V. Process

Think of this process as the framework for the Physical Security Plan. As you go through the steps, you will probably find that many aspects of the plan are already in place; some may need to be reviewed and updated. These once disparate pieces can then be integrated into a unified and useful plan. You will find that this process, and the end result plan, consists of three mutually supporting elements – physical security measures, operational procedures and policies. The process itself has the flexibility to be used incrementally so that highest priority items can be completed first and progress can be made as time and resources allow. In other words, there is immediate benefit realized just in starting with Step 1.



Step 1: Create a Planning System

1. Designate and support a Physical Security Coordinator (PSC).
2. Establish an interdisciplinary Physical Security Planning Committee to assist and work with the PSC. The make-up of this team will vary with each park unit depending on specific needs, but should at a minimum have representation from Administration and Facilities Management.

Step 2: Establish Fundamental Administrative Controls

(See Part I of Appendix A “IMR Physical Security Assessment” Worksheet)

1. Administrative Controls
 - a. Internal Security Controls Officer designated and Internal Controls documented
 - b. Key Custodian and Access: Key and Lock Controls documented
 - c. Safes
 - d. Shipping/receiving controls
 - e. Records Security (OPF’s, Medical, Personal Identifiable Information)

Step 3: Establish Fundamental Plans

(See Part I of Appendix A “IMR Physical Security Assessment Worksheet”)

1. Consolidate and/or establish and review relevant Park Emergency Response Plans
 - a. Bomb threats*
 - b. Suspicious Devices and Packages*
 - c. Robbery Response
 - d. Alarm Response
 - e. Environmental
 - f. Biological/Chemical Threats
 - g. Active Shooter
 - h. Workplace Violence
 - i. Other to address site-specific needs
2. Establish/review Occupant Emergency Plan(s)*
3. *Federal Facilities* have been identified per Title 18 U.S.C. § 930(g)(1) and signed as appropriate pursuant to implementation of Section 512 of Public Law 111-24 (Firearms in National Parks)
4. Appropriate Employee Background Clearances are complete
5. Fee Collection Operations Plans documented
6. Donation Funds Plans documented
7. Intelligence sharing is established. What avenues – local, regional, state, etc.
8. Employee physical security training is provided as appropriate
9. Tenant assignment and construction
10. Museum Collections



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**Mandatory per 444 DM*

Step 4: General Data Gathering

1. Government assets to be protected

List significant structures. This will determine a reasonable and realistic scope of effort and prioritization in your park’s planning process. The *IMR Physical Security Assessment Worksheet (Part II)* is provided for in-depth survey of each of these structures. If your park has a high number of structures, initially include structures of:

- a. High symbolic value
- b. Historic or high monetary value
- c. High use – Headquarters, visitor centers, some offices
- d. High security areas
 - Fee collections and/or money storage,
 - Museum collections,
 - Evidence storage,
 - Armory,
 - Aviation assets,
 - Water treatment facilities, other critical utilities infrastructure
 - Significant controlled documents,
 - Significant IT infrastructure, etc.

2. Criminal activity and trends (type, location, times, etc.)

Compile and review the historical criminal activity and any intelligence on individuals or groups of interest. This will allow you to identify threats such as problem geographic areas, high frequency crime and threats to public safety, low frequency high risk criminal activity, and anti-NPS and/or anti-government individuals or groups in your area. This will also shed light on how this activity affects employee and facility physical security.

3. Employee Surveys on physical security

Conduct employee surveys beyond law enforcement staff. Employees have a long and accurate knowledge of vulnerabilities and historical criminal activity. (See APPENDIX B “IMR Physical Security Planning Employee Survey”)

Step 5: Conduct Security Risk Assessments

1. Complete Part II.B of the *IMR Physical Security Assessment Worksheet* for each structure identified above.
2. Prioritize and/or rank your identified risks.



Step 6: Develop a Mitigation Action Plan for Identified Risks

1. Determine the type and depth of physical security safeguards required. The following items should be considered to assure a reasonable and realistic approach:
 - The safety and welfare of employees.
 - The effect of a loss of the asset(s) on the mission of the Department/Agency and the potential effect of that loss on the national welfare.
 - The identified vulnerability of the facility to unauthorized access which could lead to the sabotage, theft, or vandalism of Federal real and personal property and/or records.
 - The replacement cost of Federal real and personal property versus the cost of physical security safeguards under consideration.

Complete Part II.C of the *IMR Physical Security Assessment Worksheet*. Using the above parameters, the identified vulnerability is only one factor when considering implementing mitigations in terms of physical security measures. Countermeasures should be applied to reduce risk through any or all of the variables (asset, threat, and vulnerability).

Not all park facilities need to be protected to the same level. Many security threats can be substantially remedied with low or no cost actions such as changes in procedures and policies or completing fundamental controls and plans (Steps 2 & 3 above.) A reasonable assessment of the risk may move previous areas of high concern to a level of low concern which will allow concentration of limited funding and personnel to more significant risks. The interdisciplinary team approach provides a good opportunity to generate additional suggestions and options on which countermeasures might be most efficient and effective. This provides the optimal trade-off between risk reduction and cost. Generally, the cost of security controls should not exceed the monetary value of the item or areas to be protected, unless necessitated by other factors such as mission criticality or national security.

Law enforcement patrol is a viable mitigation to some identified threats.

DM 444, specifically ANNEX 1 and ANNEX 2, contain recommended security standards for consideration in mitigating identified vulnerabilities.

2. Develop PMIS and OFS requests as appropriate to mitigate outstanding risks.



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It is understood that there may not be funding for all mitigations for identified threats. The planning process is a conduit for identifying and prioritizing and planning for mitigations into the future and for submitting credible asks for future funding.

Step 7: Produce the Physical Security Plan

Capture all information from the planning process into a comprehensive physical security plan. The physical security plan describes the objectives, practices, procedures, responsibilities, and equipment which provide for the security of the park employees and facilities. A physical security plan requires long-term planning and commitment.

The plan should also include:

- Recommendations for mitigations
- Realistic timeline for implementation
- Review process

See IMR Physical Security Plan Template. This template is a recommendation; if a different format works for your park, use it.

The Physical Security Plan reveals all of the vulnerabilities in your park. Treat the Physical Security Plan as a law enforcement sensitive document and release only on a “need to know” basis.

Step 8: Monitor and Re-assess

1. Review and revise the Physical Security Plan as necessary to ensure it reflects current conditions, at a minimum every three years.



VI. Key Definitions

For the purpose of this document, the following definitions apply:

Asset: Anything of value (people, information, hardware, software, faculties, reputation, activities, and operations.)

Consequence: The loss based on population at risk, economic impact, mission impact, symbolic value, national security impact, interdependencies, and public behavioral impact.

Countermeasures: Actions or devices that mitigate risk by affecting an asset, threat, or vulnerability.

Facilities: buildings, grounds and property

Physical Security Survey: A comprehensive, detailed, technical on-site inspection and analysis of the security and physical protection conditions at an asset.

Risk: The relationship or coexistence between consequences, threats, and vulnerabilities. The potential for some unwanted event to occur.

Park Physical Security Plan: A written document describing the practices, procedures, responsibilities, and equipment which provide for the security of the park employees and facilities.

Security Risk Assessment: The completed product resulting from the process of identifying, quantifying and assessing the risks, vulnerabilities and threats that may affect an asset.

Threat: An indication of possible violence, harm or danger.

Vulnerability: The weakness or susceptibility of an asset that could be exploited by an adversary or disrupted by a natural hazard.



VII. References

The following documents were referenced in creating this guideline.

- 444 DM 1 & 2
- RM-9, Chapter 26
- USGS Physical Security Handbook 440-2-H
- National Infrastructure Protection Center, Risk management: An essential Guide to Protecting Critical Assets,(November 2002)
- GAO, Homeland Security Actions Needed to Improve Security Practices at National Icons and Parks, August 2009
- DOI Aviation Security Procedures for Airports or other Aviation Facilities (AAF) June, 2005
- RM-22, Chapter 5, Accountability; Chapter 7, Security of Facilities and Protection of Personnel; Appendix, Fee Collection Equipment
- NPS Museum Handbook, Part I, Chapter 9, Security & Fire Protection; Chapter 10, Emergency Planning
- U.S. Army Field Manual 19-30 - Physical Security
<http://www.globalsecurity.org/military/library/policy/army/fm/3-19-30/index.html>



**National Park Service
U.S. Department of the Interior**

(Your park name)

PHYSICAL SECURITY PLAN

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APPROVAL

Prepared by: _____ *Date:* _____

Physical Security Coordinator

Recommended: _____ *Date:* _____

Chief Ranger

Approved By: _____ *Date:* _____

Superintendent



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I. Introduction

The day after the April 19, 1995, bombing of the Alfred P. Murrah Federal Building in Oklahoma City, the President directed the Department of Justice to assess the vulnerability of federal office buildings in the United States, particularly to acts of terrorism and other forms of violence. Prior to the study, there were no government-wide standards for security at federal facilities, and no central data base of the security currently in place in such facilities. A national review of the kind called for by the President on April 20 had never before been undertaken. Given the urgency of the task -- a report was to be made in sixty days -- the study proceeded along two tracks at the same time: (1) the development of recommended minimum security standards in light of the changed environment of heightened risk; and (2) the surveying of existing security conditions.

This plan utilizes the guidelines for physical security standards recommended by this U.S. DOJ Study entitled, "Vulnerability Assessment of Federal Facilities" which was implemented for all Federal facilities by Presidential memorandum dated June 28, 1995.

This plan contains these minimum standards which cover the subjects of perimeter, entry, and interior security and security planning. The physical security plan describes the practices, procedures, responsibilities, and equipment which provide for the security of the park employees and facilities.

The National Park Service has the authority and jurisdiction to oversee and/or perform the protection functions called for in this plan. This plan complies with the corresponding Department of the Interior Manual (444 DM) and the Code of Federal Regulations (41 CFR 101-20.103-1) which suggest that for properties under its custody and control the National Park Service provide standard protection services by:

1. Responding to criminal occurrences, incidents, and life threatening events through the use of National Park Service officers and local law enforcement officers where a response agreement is in effect.
2. Installing and maintaining perimeter security devices and systems if they are monitored to provide timely response by authorized personnel;
3. Implementing crime prevention activities, including tenant awareness programs;
4. Investigating crimes and violations of Federal statutes, recording and evaluating reports of criminal incidents, and referring findings and evidence to appropriate enforcement agencies;
5. Entering into cooperative agreements with local law enforcement agencies;
6. Performing physical security surveys and providing security advisory services; or
7. Coordinating a comprehensive Occupant Emergency Program.
8. Periodically evaluating the effectiveness of protection services by in-depth inspections of procedures and records.

This plan utilizes a risk management methodology as a framework for meeting these obligations. This methodology is based on risk defined as a function of consequences, threats, and vulnerabilities.

This plan also incorporates the following guiding principles:

1. The safety and welfare of employees, volunteers, and visitors is the primary priority.
2. Risk management is the foundation of this plan that allows for prioritization risks and associated mitigations and countermeasures.
3. Comprehensive security is best created through a “layered” approach that blends physical security methods, procedures and policies.
4. Physical security requires long-term planning and commitment.

The safety of the employees, volunteers, and visitors of YOUR PARK NAME HERE remain the most important focus of YOUR PARK NAME HERE’s Physical Security planning and implementation. Also of importance are the protection and preservation of the resources we are mandated to protect (facilities, archeological and cultural resources, natural resources, libraries, exhibits, etc.)

II. Objectives

Manage a physical security program that safeguards the personnel and facilities at the park level through:

1. Increasing awareness of the responsibilities for workplace security.
2. Identifying necessary policies and procedures.
3. Documenting and prioritizing the security risks and mitigations.
4. Providing the Superintendent and the park’s management team with a rational and defensible and flexible plan to make informed decisions about expending limited park resources and funding to protect valuable assets.

III. Authorities

444 DM 1: Physical Protection and Building Security
RM-9, Chapter 26: Physical Security

IV. Responsibilities

National Parks are unique areas. Traditional physical security of facilities and structures goes hand-in-hand with the multitude of crime prevention strategies employed in park units to create a comprehensive physical security plan for the individual unit.

Superintendent

Primary responsibility is determined by RM-9, Chapter 26, Physical Security which states that the Park Superintendent will maintain comprehensive crime prevention and physical security plans that satisfy Departmental policy and directives.

Physical Security Coordinator

Park Physical Security Coordinator is: _____

Per RM-9, Chapter 26, 2.1, each Park Superintendent must designate a physical security coordinator (PSC). The PSC is responsible for:

- Developing and implementing a physical security plan for the park.
- Conducting a physical security survey of all park structures and updating the survey utilizing approved DOI assessment methodologies.
- Developing an Occupant Emergency Plan for each occupied Service building.
- Facilitating evacuation training and use of evacuation drills for all building occupants.
- Identifying and suggesting appropriate visitor informational signs, brochures and web site information concerning physical security issues affecting park visitors.
- Ensuring that physical security is considered in all aspects of NPS programs, including new construction projects, and that all facilities meet NPS and DOI physical security standards and guidelines.
- Reporting the results of and providing completed physical security survey reports to the National Security and Intelligence Manager, LESES WASO.

All Employees

Per RM-9, Chapter 26, 2.2, all employees share a collateral responsibility for crime prevention and physical security.

Physical security coordination is primarily a law enforcement function and law enforcement staff has a heightened obligation and responsibility in this area; however, developing and executing a physical security plan at the park level **requires** an integrated approach including coordination, cooperation and commitment from all divisions and senior management. This physical security plan supports the interdisciplinary responsibilities necessary to effectively safeguard the personnel and facilities and resources of the park.

Physical Security Planning Committee

The Physical Security Planning Committee is responsible for assisting and working with the PSC in order to assure that all pertinent information is shared, all cross-functional concerns are addressed, and necessary expertise is brought to the table, and all divisions have appropriate ownership and responsibility for physical security in the park.

The Physical Security Planning Committee will encourage security awareness among all employees. It will be established to monitor physical security, security performance,

security inspections, and aid the PSC in administering the security program. The Committee is charged with:

- Identifying area-specific security issues;
- Ensuring that appropriate security practices are followed;
- Training employees regarding the Occupant Emergency Plan (OEP), security awareness, and any special security practices that also assures that all crimes and suspicious circumstances occurring in the park are promptly reported to law enforcement and then through internal agency channels;
- Aid the park management in complying with all laws and policy pertaining to security;
- Aid management in ensuring that all mechanical systems and physical facilities requiring security, are keeping with the highest reasonable standards;
- Make recommendations for improving the effectiveness of protection in Federal facilities within the park, and;
- Review security modernization plans, status of proposed construction, and integration of security requirements.

The YOUR PARK NAME HERE interdisciplinary Physical Security Planning Committee consists of:

Division/Discipline	Name
Visitor & Resource Protection	
Facilities Management	
Administration	
Other as determined	
Other as determined	
Other as determined	

V. Overall Program/Fundamental Administrative Controls and Plans

a. Internal Security Internal Controls

The Internal Controls Officer is: _____

b. Access: Key and Lock Controls

The Key and Lock Custodian is: _____

The Access/Key Control for YOUR PARK NAME HERE is documented in the separate park SOP titled _____ Attached as Appendix ____.

c. Safes

Safe protocols (access controls, combination controls, etc.) for YOUR PARK NAME HERE in HERE or in a separate park SOP titled _____ Attached as Appendix ____.

d. Shipping/Receiving Controls

The Shipping/Receiving Controls for YOUR PARK NAME HERE is documented in the separate park SOP titled _____ Attached as Appendix ____.

e. Records Security

The Records Security Controls for YOUR PARK NAME HERE is documented in the separate park SOP(s) titled _____ Attached as Appendices _____. *This covers topics such as control of OPF's, Medical, Personal Identifiable Information, LE Records, etc.*

f. Fundamental Plans

- i. Park Emergency Response Plans
- ii. Occupant Emergency Plan
- iii. Employee Background Clearances
- iv. Fee Collection Operations
- v. Donation Funds
- vi. Intelligence Sharing
- vii. Physical Security Training
- viii. Tenant Assignment & Construction/Renovation
- ix. Museum Collections

SUMMARY OF VULNERABILITIES AND MITIGATIONS

Generated from IMR Physical Security Assessment Worksheet, Part I

Priority	Item	Risk	Mitigation	Status
1	EXAMPLE – No Occupant Emergency plan established	Red	Develop and distribute a Park OEP	In Process
2				
3				
4				
5				
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VI. Facility Security Risk Assessments

The following table represents the summary of facility/asset risk assessments conducted. A separate detailed risk assessment exists for each facility/asset. *This may, but probably will not, represent all facilities in your park depending on complexity, number, etc. Explain your criteria for inclusion here as derived from Step 4.1 of the Planning Process. The FSL and Risk Level will be generated from the IMR Physical Security Assessment Worksheet, Part II.C completed during the Planning Process.*

Risks have been categorized as follows:

RED (High Risk)
AMBER (Medium Risk/Caution)
Green (Low Risk)

Priority	Facility/Asset	FSL	Risk	Summary of Findings
1	EXAMPLE - Visitor Center	2	Red	Minimum Standard mitigations required
2				
3				
4				
5				
6				
7				
8				
9				
10				

VII. Mitigation Action Plans

Insert Countermeasure/Mitigation Action Plans developed from *IMR Physical Assessment Worksheet, Part II.B*

VIII. Continuous Security Planning

Security planning standards refer to recommendations requiring long-term planning and commitment, as well security standards addressing broader issues with implications beyond security at a particular facility. This physical security plan addresses the elements of security planning which are:

a. Intelligence Sharing

Describe the intelligence sharing plan for the park. Worksheet Part I.7
Intelligence avenues and partnerships:

- i.
- ii.

Describe the procedure for disseminating intelligence appropriately.

b. Training

Describe the physical security training plan for the park.

c. Tenant Assignment

Describe the tenant assignment process for the park. This process should include the PSC and Physical Security Planning Committee.

d. Administrative Procedures

Describe the administrative procedures that apply to physical security for the park. This process should include the PSC and Physical Security Planning Committee.

e. Construction/Renovation

Describe the process and requirements for integrating physical security into construction and renovation projects for the park. This process should include the PSC and Physical Security Planning Committee.

IX. Review Process

This document should not be considered the final step in the Physical Security process. Instead, it is a starting point and a tool to help focus operations at YOUR PARK NAME HERE. This plan recognizes the importance of a multifaceted security program that effectively mixes human resources with electronic systems and that each inter-related tool compliments the other by providing a “layered” approach to security management. Paramount in the need for proactive safety and security is the continued training of personnel; technological advances can only enhance the response of well-trained employees. In addition, the importance of repeated assessment and evaluation of the program cannot be overstated. The constant evaluation of, and adjustment to, changing

risks and threats is one of the most important functions of a physical security program. Success in this endeavor will be accomplished by grounding the program in the mission of the National Park Service and integrating physical security as one component of YOUR PARK NAME HERE's operations.

The review process for YOUR PARK NAME HERE's physical security plan is made up of several inter-related systems.

a. Regular/Ongoing Patrol-based Monitoring

Law enforcement ranger staff will conduct patrols, monitor, investigate, and evaluate park facilities and special circumstances to address crime prevention and minimize, mitigate, or eliminate physical security concerns. All incidents will be documented per law enforcement reporting policies. *This language can be tuned to meet the countermeasure necessities and balance other workload at the park level.*

b. Alarm Inspections

Describe the existing alarm maintenance specifications at the park level.

c. Full Plan Review

Review and revise the Physical Security Plan as necessary to ensure it reflects current conditions, at a minimum every three years.

Key Definitions. For the purpose of this document, the following definitions apply:

Asset: Anything of value (people, information, hardware, software, faculties, reputation, activities, and operations.)

Consequence: The loss based on population at risk, economic impact, mission impact, symbolic value, national security impact, interdependencies, and public behavioral impact.

Cost: The replacement cost of Federal real and personal property versus the cost of physical security safeguards under consideration.

Countermeasures: Actions or devices that mitigate risk by affecting an asset, threat, or vulnerability.

Facilities: buildings, grounds and property.

Internal controls: The policies, procedures, practices and organizational structures designed to provide reasonable assurance that undesired events relative to the physical security program will be prevented, detected, and corrected.

Physical Security Survey: A comprehensive, detailed, technical on-site inspection and analysis of the security and physical protection conditions at an asset.

Risk: The relationship or coexistence between consequences, threats, and vulnerabilities. The potential for some unwanted event to occur.

Park Physical Security Plan: A written document describing the practices, procedures, responsibilities, and equipment which provide for the security of the park employees and facilities.

Safety: The safety and welfare of employees.

Security Risk Assessment: The completed product resulting from the process of identifying, quantifying and assessing the risks, vulnerabilities and threats that may affect an asset.

Threat: An indication of possible violence, harm or danger.

Vulnerability: The weakness or susceptibility of an asset to unauthorized access that could be exploited by an adversary or disrupted by a natural hazard which could lead to the sabotage, theft, or vandalism of Federal real and personal property and/or records.

References: The following documents were referenced in creating this guideline.

- 444 DM 1 & 2
- RM-9, Chapter 26
- U.S. DOJ Study Entitled, “Vulnerability Assessment of Federal Facilities” June 28, 1995
- USGS Physical Security Handbook 440-2-H
- National Infrastructure Protection Center, Risk management: An essential Guide to Protecting Critical Assets,(November 2002)
- GAO, Homeland Security Actions needed to Improve Security Practices at National Icons and parks, August 2009
- DOI Aviation Security Procedures for Airports or other Aviation Facilities (AAF) June, 2005
- RM-22, Chapter 5, Accountability; Chapter 7, Security of Facilities and Protection of Personnel; Appendix, Fee Collection Equipment
- NPS Museum Handbook, Part I, Chapter 9, Security & Fire Protection; Chapter 10, Emergency Planning



National Park Service
Intermountain Region
Visitor and Resource Protection Division
“Service and Solutions”

APPENDIX A - IMR PHYSICAL SECURITY ASSESSMENT WORKSHEET

PERSPECTIVE: The concept of physical security was born of the need to protect against danger or unwanted intrusion into one’s home. Picture a castle, the home of the sovereign and their accumulated wealth. A structure whose walls of stone stand taller than a man on horseback, one fortified door to enter or exit, few if any windows, surrounded by a moat, glacis, and open fields. Each of these elements was specifically designed to counter a threat and provide time to mount a defense. We typically do not work in castles and our facilities are designed to permit ready access, but security and protection to occupants and the items stored within is as important now as it was then.

OBJECTIVE: The attached worksheet identifies structural and procedural elements which commonly contribute to the overall security of a facility. It isn’t intended to turn your structures into fortified castles, but it can stimulate awareness of weaknesses in the construction, design or operation. Armed with this information you can then develop work plans to correct deficiencies.

HOW TO USE THE WORKSHEET: The worksheet, in conjunction with the IMR Physical Security Planning Process, is designed to assist employees without formal training conduct a general physical security assessment. The information generated by completing this worksheet offers guidance on determining weaknesses and identifying effective improvements. At the park’s discretion, the completed assessment can be forwarded to Mike Archer, Regional Law Enforcement Specialist, with a request for review and comments, or a more detailed on-site assessment.

Park: _____ Date: _____

Person(s) performing assessment: _____

PART I, OVERALL PROGRAM/FUNDAMENTAL ADMINISTRATIVE CONTROLS AND PLANS

1. ADMINISTRATIVE CONTROLS	YES	NO*	N/A
The park has a Physical Security Program formalized in a plan or other document.			
All employees are familiar and comply with the aspects of the program related to their duties, including personal safety; responsibilities; emergency actions; reporting of suspicious behavior; protection of sensitive information including value of displayed artifacts, location of stored artifacts, and staff schedules and routines.			
The park has a designated Internal Controls Officer.			
Name:			
The park has a designated Key Custodian.			
Keys are stored in a secure location with limited access.			
List employees with access to key storage:			
An inventory of issued and stocked keys occurs annually.			
Keys are issued as accountable property.			
All keys are currently accounted for.			
The park changed the key/core system within the past __ years.			
List employees with general master keys:			
List locations of safes:			
Access to each safe is controlled.			
The combination(s) to each of these safes is changed whenever authorized employees are changed.			
The park has receiving & shipping processes protecting against casual theft and receipt of dangerous materials.			
Partnership employee access to buildings, government computers, government intranet, and secure areas is appropriately controlled.			
Official Personnel Files are stored in locked, fireproof file cabinets.			
Medical records are stored in locked file cabinets.			
Personal Identifiable Information is secured from view and unauthorized access?			
2. FUNDAMENTAL PHYSICAL SECURITY RELATED PLANS	YES	NO*	N/A
The park has identified and established appropriate Emergency Response Plans and Procedures.			

<i>See Physical Security Planning Process document, Step 3 for required and suggested plans.</i>			
3. OCCUPANT EMERGENCY PLANS	YES	NO*	N/A
Contingency procedures exist for identified threats and risks (environmental, chemical & biological hazards, situational threats).			
4. FEDERAL FACILITIES IDENTIFIED	YES	NO*	N/A
<i>Federal Facilities</i> have been identified per Title 18 U.S.C. § 930(g)(1) and signed as appropriate pursuant to implementation of Section 512 of Public Law 111-24 (Firearms in National Parks)			
5. BACKGROUND CLEARANCES			
Completed for all protection rangers.			
Completed for Superintendent & Assistant or Deputy Supt.			
Completed for all fee collectors & money handlers.			
6. FEE COLLECTION OPERATIONS	YES	NO*	N/A
<i>Answer all questions in this section "N/A" if entrance or amenity fees aren't collected.</i>			
The park has a fee collection operation manual.			
Fee collection & transmittal duties are performed by different persons.			
Road audits are conducted and documented.			
The date of the most recent road audit was:			
There's a SOP for robbery or duress at fee collection points.			
Collected fees are stored in safe(s) at close of each shift.			
Fee safes are in secure area away from public view & access.			
Fee safes are bolted to the floor.			
Fee safes are locked except when the receipts are removed?			
Does the Intrusion Detection System monitor fee storage area?			
7. DONATION FUNDS	YES	NO*	N/A
<i>Answer all questions in this section "N/A" if donations aren't solicited by containers in public areas.</i>			
Donation boxes are locked, and require two employees to access.			
Donation boxes have features to prevent pilfer, such as baffles to defeat the use of wires inserted through slots.			
Donation boxes are secured to counters, stands, or walls.			
The amount of money in donation boxes is kept to a minimum at all times.			
Donation boxes are generally visible to staff.			
8. INTELLIGENCE SHARING	YES	NO*	N/A
Intelligence sharing is established			
List intelligence avenues and partnerships:			
Procedure for disseminating intelligence appropriately is established.			
9. EMPLOYEE PHYSICAL SECURITY TRAINING PROGRAM	YES	NO*	N/A
Employees receive on-going annual physical security awareness training			
Briefly describe program and date last delivered.			
10. TENANT ASSIGNMENT AND CONSTRUCTION/RENOVATION	YES	NO*	N/A

Security requirements are consistently considered when locating in existing facilities.			
Physical security is consistently considered in construction and renovation projects.			
11. MUSEUM COLLECTIONS	YES	NO*	N/A
Are there museum collections in the park?			
Is there a separate security plan for these museum collections?			

**NO indicates a potential vulnerability*

SUMMARY OF VULNERABILITIES AND MITIGATIONS

List all vulnerabilities identified in Part I in the below table. Assign a level of risk (Green/Amber/Red) to each one and use this to prioritize the mitigations.

Priority	Item	Risk	Mitigation	Status
1	EXAMPLE – No Occupant Emergency plan established	Red	Develop and distribute a Park OEP	In Process
2				
3				
4				
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PART II, SPECIFIC STRUCTURES/FACILITIES (*complete a separate PART II of this worksheet for each structure/facility assessed*).

Name of Structure/Facility:

Purpose of Structure/Facility:

A. RISK ASSESSMENT

Risk is the relationship or coexistence between consequences, threats, and vulnerabilities and represents the potential for some unwanted event to occur.

$$\text{Risk} = \text{Consequences} \times \text{Threats} \times \text{Vulnerabilities}$$

1. Federal Security Level (FSL)

The FSL is a categorization based on the analysis of several security-related facility factors, which then serves as the basis for the implementation of certain protective security measures specified in other Interagency Security Committee (ISC) standards. The FSL is a baseline of physical security planning.

(For further explanation of this requirement and detailed instructions for completing this chart, reference the document "Facility Security Level Determinations for Federal Facilities")

99% of the approximately 7,700 buildings in the IMR will be FSL I or II.

FACTOR	Points				SCORE
	1	2	3	4	
Mission Criticality	LOW	MEDIUM	HIGH	VERY HIGH	
Symbolism	LOW	MEDIUM	HIGH	VERY HIGH	
Facility Population	<100	101-250	251-750	> 750	
Facility Size	<10,000 sq. ft.	10,001-100,000 sq. ft.	100,001-250,000 sq. ft.	> 250,000 sq. ft.	
Threat to Tenant Agencies	LOW	MEDIUM	HIGH	VERY HIGH	
					Sum of above:
Facility Security Level (FSL)	I 5-7 points	II 8-12 points	III 13-17 points	IV 18 or more points	Preliminary FSL:
Intangible Adjustment	Justification:				+/-1 FSL:
					Final FSL:

2. Assets To Be Protected

a. People/Staffing

i. How many employees are present?

ii. What are staff hours?

b. Identify the most important items to protect against theft or vandalism:

ITEM	VALUE	LOCATION

c. Identify items most susceptible to theft or vandalism:

ITEM	VALUE	LOCATION

Rate the overall Consequences of loss of these assets (1-4*) = _____

*** People always rate 4 (Very High)**

Rating	
1	Low
2	Medium
3	High
4	Very High

3. Threats

a. Identify the following threat factors:

- 1. Type and frequency of illegal activity in the area:**

- 2. Thefts and vandalism incidents suffered by this structure/facility over the past five years:**

- 3. Thefts and vandalism incidents suffered by other park structures/facilities over the past five years:**

- 4. Physical location of the facility (neighborhood, level of isolation, etc.)**

- 5. Documented threats against the government or the park in this area:**

Rate the overall Threat (1-4) = _____

Rating	
1	Low
2	Medium
3	High
4	Very High

4. Vulnerabilities

Think like a burglar or intruder. Study the structure and identify ways you might force entry if you were determined and motivated.

1. RESPONSE	YES	NO*	N/A
Law enforcement officers likely to respond to alarms are familiar with floor plan, locations of valuables, emergency phone numbers, and park response actions.			
2. PERIMETER SECURITY	YES	NO*	N/A
Landscaping and vegetation allows a clear view at distance of the entryways, doors and ground floor windows.			
Exterior lighting prevents darkness concealment around entire periphery (buildings, parking lots, doors).			
All lamps work.			
3. PARKING	YES	NO*	N/A
Employee & visitor parking are appropriately controlled.			
Signs are posted and unauthorized vehicles towed.			
An identification system is in use for authorized parking (placards, decals, proximity card key).			
4. PHYSICAL BARRIERS	YES	NO*	N/A
Barriers prevent vehicle crash entry.			
No exterior windows open.			
Window frames are in good repair.			
Windows have modern locking mechanisms.			
Window locks prevent the casements from being pried open.			
Window locks are checked at daily close of business.			
Basement windows are hardened.			
5. ENTRANCES & EXITS	YES	NO*	N/A
Screening of people and packages is adequate and appropriate.			
Entryways, doors and ground floor windows are illuminated at night.			
Windows and doors most susceptible to unauthorized entry (rear of building, accessible by porches or roofs, in dark or hidden areas) are hardened (such as metal grates, solid construction).			
Which - if any - of these might be eliminated?			
All foundation crawl spaces, roof vents, old coal shuttles, pipe chases, and other potential entries are adequately hardened.			
Exterior Doors	YES	NO*	N/A
All doors are solid core.			
Exterior door hinges are inside, or if outside hinge pins are pinned or welded.			
All exterior door locks are functional.			
Other than public entries, exterior doors automatically shut and lock.			
Door frames are in good condition.			
Doors fit properly into their frames.			
Doors are equipped with self closing hardware.			

Non-public access doors have fish eye peep holes.			
Doors are equipped with deadbolt locks with 1-1/2 inch throws.			
All locks are functional.			
Latch bolts are of dead bolt design and extend at least one inch into the door frame (or if a double door, one inch into the other door).			
Latch bolts are protected by shields to prevent prying.			
If there is glass on or around any exterior door frame that if broken would allow a person to enter the building or reach in and unlock the door, effective actions been taken to defeat such entry.			
If so, describe these actions:			
Exterior Windows	YES	NO*	N/A
Glass is single pane (easily removed or broken), double pane (more difficult to remove and break), plate glass (very heavy and requires more effort). Circle one.			
Fracture resistant film has been applied to ground level windows.			
Air conditioning units mounted in windows are secured to building.			
Elevated Access	YES	NO*	N/A
Common walls with adjacent buildings are sufficiently strong.			
Accesses from the roof (doors, vents, soffits) are sufficiently hardened.			
Roof is secure from access from adjacent structures.			
2 nd floor porches & walkways aren't accessible by scaling design features, nearby trees, etc.			
6. INTRUSION DETECTION SYSTEM (IDS)	YES	NO*	N/A
The building has a functioning IDS.			
The IDS is monitored 24/7.			
By Whom? _____ Tel: _____			
There is a written SOP for alarm response.			
All park employees are familiar and comply with this SOP.			
The SOP addresses employee safety by ensuring no employees approach a potentially unsecured area without appropriate law enforcement and communications support.			
A case report or memo is generated and reviewed by supervisor(s) for each response.			
The IDS is capable of expanding to capture updated technology.			
The following employees understand the operation of the IDS (activate, deactivate, location of sensors, types of sensors, service record):			
The IDS was last inspected/tested on:			
The IDS monitors all exterior doors and windows.			
If not, which doors and/or windows are not monitored:			
The IDS monitors all spaces in the building, including attic, basement, and storage.			
If not, which spaces are not monitored?			

The IDS includes glass breakage sensors.			
There is an exterior visual and/or audible alarm signal.			
The IDS averages less than three false alarms annually.			
The most common causes of false alarms are:			
The IDS activation/deactivation code is changed annually or more frequently when staffing changes.			
The names and phone numbers of the entities maintaining the IDS equipment and monitor the alarms are posted near the alarm panel.			
Each employee is issued an unique access code.			
Emergency alarm instructions are posted on or stored near the alarm panel.			
How do you know the backup power source works?			
7. CLOSED CIRCUIT TELEVISION	YES	NO*	N/A
The physical security program's use of CCTV is adequate.			
List the number, location, and type of CCTV cameras:			
If the use of CCTV cameras is inadequate, describe the deficiencies:			
CCTV Surveillance cameras exist with time lapse video recording.			
Access to CCTV camera recordings is limited to authorized personnel.			
Recordings not part of official investigations are retained no longer than 180 days,			
8. UTILITY SERVICES	YES	NO*	N/A
Emergency Power is supplied to all critical systems? (alarms system, radio and I.T. communications, escape lighting,)			
Utility service control panels are locked and if possible shielded to minimize tampering and vandalism.			
Service control panel keys are securely stored.			
All service control panels are located in the same area or room.			
Employee access to this room is controlled.			
The IDS monitors this room after hours.			
The electrical service is above ground.			
The structure has an interior fire suppression system.			
The fire suppression system has been inspected with the last 12 months.			
There is after hours lighting in the: admin – museum – facilities bldg.			
The interior lighting has emergency power backup.			
9. EXHIBITS & COLLECTIONS	YES	NO*	N/A
The IDS protects the exhibits & collections areas.			
Items are exhibited in a manner reflecting their value.			
The exhibit cases are of secure design.			

The exhibit cases are secured in place to prevent removal.			
A permanent record system documents all access to the collections room.			
Collections room and display access is limited to authorized personnel.			
Accession data and loan documents are securely stored.			
Each exhibit & collection item is catalogued and noted in accession and loan records.			
The curatorial storage room lockers meet NPS curatorial standards and are individually keyed.			
The curatorial room lockers are locked at all times.			
The curatorial room is devoid of any objects & equipment not associated with the collection.			
Accessioned items are only handled by trained staff in compliance with NPS and park policies.			
10. EMPLOYEE & VISITOR IDENTIFICATION	YES	NO*	N/A
Employees and visitors to non-public areas are issued wearable identification.			
Management enforces the wearing of identification.			
Access to non-public areas is controlled (such as a reception desk or locked door).			

FACILITY RISK = Consequence X Threat X Vulnerability = _____
= Risk Level (Using scale below)*

**NO indicates a potential vulnerability*

Rate the overall Vulnerability (1-4) = _____

Rating	
1	Low
2	Medium
3	High
4	Very High

Risk Evaluation Scale

Rating	Risk Level
44-64	RED (High Risk)
22-43	AMBER (Medium Risk/Caution)
0-21	Green (Low Risk)

*This Risk Level can be used to prioritize Countermeasure/Mitigation work across all facilities in the park. The Risk to some facilities may be dramatically reduced with minor Mitigations to identified Vulnerabilities.

B. COUNTERMEASURE/MITIGATION ACTION PLAN:

Actions to be taken to mitigate potential threats and vulnerabilities identified above.

Step 1: Consult APPENDIX C “Recommended Standards Chart” to list all Minimum Standard (M) recommendations based on FSL of this facility. For ease of use, all Minimum Standard recommendations have been pre-populated in the Table for FSL I (Blue) and FSL II (Green) - just remove the rows that are not pertinent to this facility’s FSL. Recommendations for all FSL levels include recommendations for lower levels as well.

Step 2: Consult APPENDIX C “Recommended Standards Chart” to list all Standard Based on Facility Evaluation (S) and Desirable (D) recommendations based on FSL of this facility *that apply based on this evaluation*.

Step 3: Additional recommendations based on deficiencies found during this specific assessment, e.g. potential vulnerability items checked “NO”. Expand the table as needed.

Costs: Cost estimates should be obtained from park facilities and maintenance, contractors, catalogs, etc. Some cost estimates are provided in Appendix E, Classification Table. Keep in mind that the dollar amounts listed are 1995 dollars and should be adjusted and increased by 60% to get rough 2011 dollars. Your costs may vary considerably based on a number of on-site factors.

Mitigation Recommendations	Status/Timeline to Completion	Cost
Lighting with Emergency Power Backup		
Review Receiving/Shipping Procedures (Current)		
Upgrade to Current Life Safety Standards (Fire Detection, Fire Suppression Systems, etc.)		
High Security Locks		
Visitor Control/Screening System		
Provide Emergency Power to Critical Systems (Alarm Systems, Radio Communications, Computer Facilities, etc.)		
Examine Occupant Emergency Plans (OEP) and Contingency Procedures Based on Threats		
OEPs in Place, Updated Annually, Periodic Testing Exercise		
Assign and Train OEP Officials		
Annual Tenant Training		
Establish Law Enforcement Agency/Security Liaisons		
Review/Establish Procedure for Intelligence Receipt/Dissemination		
Utilize Established Uniform Security/Threat Nomenclature		
Conduct Annual Security Awareness Training		
Conduct Background Security Checks and/or Establish Security Control Procedures for Service Contract Personnel		
Review Current Projects for Blast Standards		

Review/Establish Uniform Standards for Construction		
Additional recommendations based on deficiencies during assessment, as needed		

APPENDIX C

RECOMMENDED STANDARDS CHART

Adapted from 444 DM 1, ANNEX 1

M - MINIMUM STANDARD (Highlighted in Red)

S - STANDARD BASED ON FACILITY EVALUATION: Determined to be required by the PSC/Physical Security Planning Committee after completion of the Risk Analysis Worksheet and careful consideration of the mission and purpose of each building.

D – DESIRABLE: Standards that might apply to higher FSL’s (II, III), but should be viewed as proactive suggestions for any physical security program after completion of the Risk Analysis Worksheet and careful consideration of the mission and purpose of each building.

N/A - NOT APPLICABLE

Details of each Recommended Standards are available in Appendix B

RECOMMENDED STANDARDS CHART			
	LEVEL		
	I	II	III
PERIMETER SECURITY			
PARKING			
Control of Facility Parking	D	D	M
Control of Adjacent Parking	D	D	D
Post Signs and Arrange for Towing Unauthorized Vehicles	S	S	M
ID System and Procedures for Authorized Parking (Placard, Decal, Card Key, etc.)	D	D	M
Adequate Lighting for Parking Areas	D	D	M
CLOSED CIRCUIT TELEVISION (CCTV) MONITORING			
CCTV Surveillance Cameras With Time Lapse Video Recording	D	S	S
Post Signs Advising of 24 Hour Video Surveillance	D	S	S
LIGHTING			
Lighting with Emergency Power Backup	M	M	M

PHYSICAL BARRIERS			
Extend Physical Perimeter with Barriers (Concrete and/or Steel Composition)	N/A	N/A	D
Parking Barriers	N/A	N/A	D
ENTRY SECURITY			
RECEIVING/SHIPPING			
Review Receiving/Shipping Procedures (Current)	M	M	M
Implement Receiving/Shipping Procedures (Modified)	D	S	M
ACCESS CONTROL			
Evaluate Facility for Security Guard Requirements	D	S	M
Security Guard Patrol	D	D	S
Intrusion Detection System with Central Monitoring Capability	D	S	M
Upgrade to Current Life Safety Standards (Fire Detection, Fire Suppression Systems, etc.)	M	M	M
ENTRANCES/EXITS			
X-Ray and Magnetometer at Public Entrances	N/A	D	S
Require X-Ray Screening of All Mail/Packages	N/A	D	S
Peep Holes	S	S	N/A
Intercom	S	S	N/A
Entry Control w/CCTV and Door Strikes	D	S	N/A
High Security Locks	M	M	M
INTERIOR SECURITY			
EMPLOYEE/VISITOR IDENTIFICATION			
Agency Photo ID for all Personnel Displayed at all Times	N/A	D	S
Visitor Control/Screening System	D	M	M
Visitor Identification Accountability System	N/A	D	S
Establish ID Issuing Authority	S	S	S
UTILITIES			
Prevent Unauthorized Access to Utility Areas	S	S	M

Provide Emergency Power to Critical Systems (Alarm Systems, Radio Communications, Computer Facilities, etc.)	M	M	M
OCCUPANT EMERGENCY PLANS			
Examine Occupant Emergency Plans (OEP) and Contingency Procedures Based on Threats	M	M	M
OEPs in Place, Updated Annually, Periodic Testing Exercise	M	M	M
Assign and Train OEP Officials	M	M	M
Annual Tenant Training	M	M	M
SECURITY PLANNING			
INTELLIGENCE SHARING			
Establish Law Enforcement Agency/Security Liaisons	M	M	M
Review/Establish Procedure for Intelligence Receipt/Dissemination	M	M	M
Utilize Established Uniform Security/Threat Nomenclature	M	M	M
TRAINING			
Conduct Annual Security Awareness Training	M	M	M
TENANT ASSIGNMENT			
Co-Locate Work Units With Similar Security Needs	D	D	D
Do Not Co-Locate High/Low Risk Work Units	D	D	D
ADMINISTRATIVE PROCEDURES			
Establish Flexible Work Schedule in High Threat/High Risk Areas to Minimize Employee Vulnerability to Criminal Activity	S	S	D
Arrange for Employee Parking In/Near Building After Normal Work Hours	S	S	S
Conduct Background Security Checks and/or Establish Security Control Procedures for Service Contract Personnel	M	M	M
CONSTRUCTION/RENOVATION			

Install Mylar Film on all Exterior Windows (Shatter Protection)	D	D	S
Review Current Projects for Blast Standards	M	M	M
Review/Establish Uniform Standards for Construction	M	M	M
Review/Establish New Design Standard for Blast Resistance	S	S	M
Establish Street Set-Back for New Construction	D	D	S

APPENDIX D

Details of Recommended Security Standards

Adapted from 444 DM 1, ANNEX 2

Perimeter Security	
Parking	
Recommended Security Standard Term	Definition/Description
CONTROL OF FACILITY PARKING	Access to government parking should be limited where possible to government vehicles and personnel. At a minimum, authorized parking spaces and vehicles should be assigned and identified.
CONTROL OF ADJACENT PARKING	Where feasible, parking areas adjacent to federal space should also be controlled to reduce the potential for threats against Federal facilities and employee exposure to criminal activity.
AVOID LEASES WHERE PARKING CANNOT BE CONTROLLED	Endeavor to negotiate guard services as part of lease.
POST SIGNS AND ARRANGE FOR TOWING UNAUTHORIZED VEHICLES	Procedures should be established and implemented to alert the public to towing policies and the removal of authorized vehicles.
ID SYSTEM AND PROCEDURES FOR AUTHORIZED PARKING	Procedures should be established for identifying vehicles and corresponding parking spaces. (Placard, decal, card key, etc.)
ADEQUATE LIGHTING FOR PARKING AREAS	Effective lighting provides added safety for employees and deters illegal or threatening activities.
Closed Circuit Television (CCTV) Monitoring	
Recommended Security Standard Term	Definition/Description
CCTV SURVEILLANCE CAMERAS WITH TIME LAPSE VIDEO RECORDING	Twenty-four hour CCTV surveillance and recording is desirable at all locations as a deterrent. Requirements will depend on assessment of the security level for each facility. Time-lapse video recordings are also highly valuable as a source of evidence and

	investigative leads.
POST SIGNS ADVISING OF 24 HOUR VIDEO SURVEILLANCE	Warning signs advising of 24 hours surveillance act as a deterrent in protecting employees and facilities.
Lighting	
Recommended Security Standard Term	Definition/Description
LIGHTING WITH EMERGENCY POWER BACKUP	Standard safety code requirement in virtually all areas. Provides for safe evacuation of buildings in case of natural disaster, power outage or criminal/terrorist activity.
Physical Barriers	
Recommended Security Standard Term	Definition/Description
EXTEND PHYSICAL PERIMETER, WITH BARRIERS	This security measure will only be possible in locations where the Government controls the property and where physical constraints are not present. (Barriers of concrete and/or steel composition)
PARKING BARRIERS	Desirable to prevent unauthorized vehicle access.
Entry Security	
Receiving/Shipping	
Recommended Security Standard Term	Definition/Description
REVIEW RECEIVING/SHIPPING PROCEDURES (CURRENT)	Audit current standards for package entry and suggest ways to enhance security.
IMPLEMENT RECEIVING/SHIPPING PROCEDURES (MODIFIED)	After auditing procedures for receiving/shipping, implement improved procedures for security enhancements.
Access Control	
Recommended Security Standard Term	Definition/Description
EVALUATE FACILITY FOR SECURITY GUARD REQUIREMENTS	If security guards are required, the number of guards at any given time will depend on the size of the facility, the hours of operation, and current risk factors, etc.
SECURITY GUARD PATROL	Desirable for level I and II facilities and may be included as lease option. Level III, IV and V facilities will have security guard patrol

	based on facility evaluation.
INTRUSION DETECTION SYSTEM WITH CENTRAL MONITORING CAPABILITY	Desirable in Level I facilities, based on evaluation for Level II facilities and required for Levels III, IV and V.
UPGRADE TO CURRENT LIFE SAFETY STANDARDS	Required for all facilities as part of GSA design requirements, (e.g. fire detection, fire suppression systems, etc.)
Entrances/Exits	
Recommended Security Standard Term	Definition/Description
X-RAY AND MAGNETOMETER AT PUBLIC ENTRANCES	May be impractical for Level I and II facilities. Level III and IV evaluations would focus on tenant agencies, public interface and feasibility. Required for Level V.
REQUIRE X-RAY SCREENING OF ALL MAIL/PACKAGES	All packages entering building should be subject to x-ray screening and/or visual inspection.
PEEP HOLES	Easy and effective visual recognition system for small offices.
INTERCOM	Communication tool that can be used in combination with peep hole.
ENTRY CONTROL WITH CCTV AND DOOR STRIKES	Desirable for Level I and II facilities. Allows employees to view and communicate remotely with visitors before allowing access. Not applicable for Levels III and above because of entry screening devices required at these Levels.
HIGH SECURITY LOCKS	Any exterior entrance should have a high security lock as determined by GSA specifications and/or agency requirements.
Interior Security	
Employee/Visitor Identification	
Recommended Security Standard Term	Definition/Description
AGENCY PHOTO ID FOR ALL PERSONNEL DISPLAYED AT ALL TIMES	May not be required in smaller facilities.
VISITOR CONTROL/SECURITY SYSTEM	Visitors should be readily apparent in Level I facilities. Other facilities may ask visitors to sign-in with a receptionist or guard or require

	an escort or formal identification/badge.
VISITOR ID ACCOUNTABILITY SYSTEM	Stringent methods of control over visitor badges will ensure that visitors wearing badges have been screened and are authorized to be at the facility during the appropriate time frame.
ESTABLISH ID ISSUING AUTHORITY	Develop procedures and establish authority for issuing employee and visitor IDs.
Utilities	
Recommended Security Standard Term	Definition/Description
PREVENT UNAUTHORIZED ACCESS TO UTILITY AREAS	Smaller facilities may not have control over utility access, or locations of utility areas. Where possible, assure that utility areas are secure that only authorized personnel can gain entry.
PROVIDE EMERGENCY POWER TO CRITICAL SYSTEMS	Tenant agency is responsible for determining which computer and communication systems require back-up power. All alarm system, CCTV monitoring devices, fire detection systems, entry control devices, etc. require emergency power sources. (ALARM SYSTEMS RADIO COMMUNICATIONS, COMPUTER FACILITIES, ETC.)
Occupant Emergency Plans	
Recommended Security Standard Term	Definition/Description
EXAMINE OCCUPANT EMERGENCY PLAN (OEP) AND CONTINGENCY PROCEDURES BASED ON THREATS	Review and update current OEP procedures for thoroughness. OEPs should reflect the current security climate.
ASSIGN AND TRAIN OEP OFFICIALS	Assignment based on GSA requirement that largest tenant in facility maintain OEP responsibility. Officials should be assigned, trained and contingency plan established to provide for the possible absence of OEP officials in the event of emergency activation of the OEP.
ANNUAL TENANT TRAINING	All tenants should be aware of their individual responsibilities in an emergency situation.
Intelligence Sharing	

Recommended Security Standard Term	Definition/Description
ESTABLISH LAW ENFORCEMENT AGENCY/SECURITY LIAISONS	Intelligence sharing between law enforcement agencies and security organizations should be established in order to facilitate the accurate flow of timely and relevant information between appropriate government agencies. Agencies involved in providing security must be part of the complete intelligence process.
REVIEW/ESTABLISH PROCEDURES FOR INTELLIGENCE RECEIPT/DISSEMINATION	Determine what procedures exist to ensure timely delivery of critical intelligence. Review and improve procedures to alert agencies and specific targets of criminal and terrorist threats. Establish standard administrative procedures for response to incoming alerts. Review flow of information for effectiveness and time critical dissemination.
UTILIZE ESTABLISHED UNIFORM SECURITY/THREAT NOMENCLATURE	To facilitate communication, standardized terminology for Alert Levels should be utilized.
Training	
Recommended Security Standard Term	Definition/Description
CONDUCT ANNUAL SECURITY AWARENESS TRAINING	Provide security awareness training for all tenants. At a minimum, self-study programs utilizing videos and literature, etc. should be implemented. These materials should provide up-to-date information covering security practices, employee security awareness and personal safety.
ESTABLISH STANDARDIZED ARMED AND UNARMED GUARD QUALIFICATIONS/TRAINING REQUIREMENTS	Requirements for these positions should be standardized government wide.
Tenant Assignment	
Recommended Security Standard Term	Definition/Description
CO-LOCATE AGENCIES/WORK UNITS WITH SIMILAR SECURITY NEEDS	To capitalize on efficiencies and economies, agencies/work units with like security requirements should be located in the same facility if possible.
DO NOT CO-LOCATE HIGH/LOW RISK	Low risk agencies/work units should not take

AGENCIES/WORK UNITS	on additional risk by being located with high risk agencies/work units.
Administrative Procedures	
Recommended Security Standard Term	Definition/Description
ESTABLISH FLEXIBLE WORK SCHEDULE IN HIGH THREAT/HIGH RISK AREA TO MINIMIZED EMPLOYEE VULNERABILITY TO CRIMINAL ACTIVITY.	Flexible work schedules can enhance employee safety by staggering reporting and departure times. As an example flexible schedules might enable employees to park closer to the facility by reducing the demand for parking at peak times of the day.
ARRANGED FOR EMPLOYEE PARKING IN/NEAR BUILDING AFTER NORMAL WORK HOURS	Minimize exposure to criminal activity by allowing employees to park at or inside the building.
CONDUCT BACKGROUND SECURITY CHECKS AND/OR ESTABLISH SECURITY CONTROL PROCEDURES FOR SERVICE CONTRACT PERSONNEL	Establish procedures to ensure security where private contract personnel are concerned. Procedures may be as simple as observation or could include sign-in/escort. Frequent visitors may necessitate a background check with contractor ID issued.
Construction/Renovation	
Recommended Security Standard Term	Definition/Description
INSTALL MYLAR FILM ON ALL EXTERIOR WINDOWS (SHATTER PROTECTION)	Application of shatter resistant material to protect personnel and citizens from the hazards of flying glass as a result of impact or explosion.
REVIEW CURRENT PROJECTS FOR BLAST STANDARDS	Design and construction projects should be reviewed if possible, to incorporate current technology and blast standards. Immediate review of ongoing projects may generate savings in the implementation of upgrading to higher blast standards prior to completion of construction.
REVIEW/ESTABLISH UNIFORM STANDARDS FOR CONSTRUCTION	Review, establish and implement uniform construction standards as it relates to security considerations.
REVIEW/ESTABLISH NEW DESIGN STANDARD FOR BLAST RESISTANCE	In smaller facilities or those that lease space, control over design standards may not be possible. However, future site selections should attempt to locate in facilities that do

	meet standards. New construction of government controlled facilities should review, establish and implement new design standards for blast resistance.
ESTABLISH STREET SET-BACK FOR NEW CONSTRUCTION	Every foot between a potential bomb and a building will dramatically reduce damage and increase the survival rate. Street set-back is always desirable, but should be used in conjunction with barriers in Level IV and V facilities.

APPENDIX E

CLASSIFICATION TABLE

Adapted from 444 DM 1, ANNEX 3

LEVEL *	TYPICAL LOCATION	EXAMPLE OF TENANT AGENCIES**	SECURITY MEASURES (BASED ON EVALUATION)	ESTIMATED LINE ITEM COST PER UNIT (INSTALLED)
I	10 Federal Employees 2,500 Square Feet Low Volume Public Contact Small Store Front@ Type Operation	Local Office District Office Visitor Center USDA Office Ranger Station (remote)	High Security Locks Intercom Peep Hole (Wide View) Lighting w/Emergency Backup Power Controlled Utility Access Annual Employee Security Training	\$500 - 850 \$750 - 1,000 \$150 \$750/Light Cannot Determine \$5 and upper employee
II	11 - 150 Federal Employees 2,500 - 80,000 Square Feet Moderate Volume Public Contact Routine Operations Similar to Private Sector and/or Facility Shared with Private Sector	Public Officials (Congress/Senate) Park Headquarters Regional/State Offices	Entry Control Package w/CCTV Visitor Control/Screening Shipping/Receiving Procedures Guard/Patrol Assessment Intrusion Detection w/Central Monitoring CCTV Surveillance (Pan-Tilt, Zoom System) Duress Alarm w/ Central Monitoring	\$5,000 N/A N/A Based on Assessment \$1,000 + \$150/Entry Point Based on Assessment \$1,000 + \$75/Alarm Point
III	151 - 450 Federal Employees Multi-Story Facility 80,000 - 150,000 Square Feet Moderate/High Volume Public	Inspectors General Criminal Investigations Regional/State Offices South Interior	Guard Patrol on Site Visitor Control/Screening Shipping/Receiving Procedures Intrusion Detection w/Central Monitoring	\$36,000 - \$47,500/Guard Year N/A Based on Assessment

LEVEL *	TYPICAL LOCATION	EXAMPLE OF TENANT AGENCIES**	SECURITY MEASURES (BASED ON EVALUATION)	ESTIMATED LINE ITEM COST PER UNIT (INSTALLED)
	Contact Agency Mix: Law Enforcement Operations Court Functions Government Records	Building GSA Field Office	CCTV Surveillance (Pan-Tilt/Zoom System) Duress Alarm w/Central Monitoring	Based on Assessment Based on Assessment

NOTE: *Assignment of levels to be based on an on-site@ risk assessment/evaluation
**Examples of Typical (but not limited to) Tenant Agencies for this Level Facility
Security Measures for any given Level include Measures for Prior Levels
For Budgetary Purposes, Building Occupancy was used to quantify GSAs existing inventory into Levels I-IV.



National Park Service
Originating Office (Chief Ranger’s Office, etc.)
Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required Division Plans – Draft MOU Template	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

Memorandum of Understanding
Between the National Park Service
and the **[XYZ County Sheriff's Department]**

I. Background and Objectives

Whereas, the Secretary of the Interior, acting through the National Park Service (hereinafter "NPS"), administers and manages **[name of park area]** as a unit of the national park system in accordance with **[citation to park area's authorizing legislation]** and the laws applicable generally to units of the national park system;

Whereas, 16 U.S.C. § 1a–6 authorizes the Secretary of the Interior "to designate . . . certain officers or employees of the Department of the Interior who shall maintain law and order and protect persons and property within areas of the National Park System";

Whereas, 16 U.S.C. §1b(1) authorizes the Secretary of the Interior to render "emergency rescue, fire fighting, and cooperative assistance to nearby law enforcement and fire prevention agencies and for related purposes outside of the National Park System";

Whereas, **[citation to state law which authorizes local law enforcement agency to enforce state and/or local law]** authorizes the **[XYZ County Sheriff]** to enforce the laws of the State of **[name of state]** and ordinances duly enacted by the **[County Commission of XYZ County]**;

Whereas, **[citation to state law which authorizes the local law enforcement agency to appoint qualified persons as deputies]** authorizes the **[XYZ County Sheriff]** to appoint qualified persons as deputies for purposes of enforcing state law and county ordinances within **[XYZ County]**;

Whereas, **[briefly describe need for and benefits of mutual assistance]**; and

Whereas, the **[XYZ County Sheriff]** has appointed certain federally commissioned NPS law enforcement rangers employed at **[name of park area]** as deputies for purposes of enforcing

state law and county ordinances within **[name of park area]** or in response to certain emergency situations outside of **[name of park area]** and within **[XYZ County]**.

II. Statement of Work

Now, therefore, the NPS and the **[XYZ County Sheriff's Department (hereinafter "XYZSD")]** agree as follows:

A. In-park Law Enforcement Assistance Pursuant to 16 U.S.C. § 1a–6

1. In accordance with 16 U.S.C. § 1a–6, the NPS shall enforce all applicable federal laws within **[name of park area]**.

2. **[The remaining provisions of this part describe which party has primary responsibility for enforcing state law and county ordinances within the park, including privately owned lands and state and county highways within the park; what kinds of incidents within the park require NPS involvement; when and how the NPS should be notified of an incident within the park requiring NPS involvement; who takes control of an incident when both parties are present; etc.]**.

B. Out-of-park Emergency Law Enforcement Assistance Pursuant to 16 U.S.C. subsection 1b(1)

1. The situations for which the NPS is authorized to render emergency law enforcement assistance under this agreement consist of the following:

a. Emergency responses such as life or death incidents, serious injury/fatality accident/incident scenes, crime scenes involving the protection of human life, officer in trouble, threat(s) to health or safety of the public.

b. Emergency or law enforcement incidents directly affecting visitor safety or resource protection.

c. Probable cause felonies and felonies committed in the presence and observed by National Park Service Rangers or U.S. Park Police Officers.

d. Misdemeanors committed in the presence of National Park Service Rangers or U.S. Park Police Officers that present an immediate threat to the health and safety of the public.

2. Upon receiving an official request from the **[XYZSD]**, the NPS shall render emergency law enforcement assistance (in those situations described in provision II.B.1 above) to the **[XYZSD]** whenever possible. The **[XYZSD]** shall direct such requests to the NPS Chief Ranger or his/her designee, who must approve all such requests before any NPS law enforcement rangers may render emergency assistance.

3. The NPS may render emergency law enforcement assistance in those situations where a properly appointed NPS law enforcement ranger, while in the course of his/her official duties, observes an emergency situation (as defined in provision II.B.1 above), at which time the NPS law enforcement ranger shall secure and manage the scene. The NPS shall immediately

notify the [XYZSD] of the emergency. Upon arrival of the first [XYZSD] officer on the scene, the NPS law enforcement ranger shall relinquish control; however, upon request the NPS law enforcement ranger may assist the [XYZSD] officer for the duration of the emergency.

4. The NPS shall render assistance only until such time as the [XYZSD] has enough resources on the scene to adequately control the emergency or until the emergency no longer exists, whichever comes first.

5. The on-scene commanding officer of the [XYZSD] shall be in command of all officers, including NPS law enforcement rangers who are rendering emergency assistance; provided that the [XYZSD] on-scene commander shall exercise command of NPS law enforcement rangers only through the highest ranking NPS law enforcement ranger at the scene, which individual shall be identified by the NPS.

6. For good cause the NPS Chief Ranger or his/her designee may decide at any time to withdraw emergency law enforcement assistance.

7. Only NPS law enforcement rangers who have been properly appointed as deputies by the [XYZSD] may render emergency law enforcement assistance. The [XYZSD] shall provide appropriate credentials to all such rangers.

8. NPS law enforcement rangers rendering emergency assistance to the [XYZSD] pursuant to this agreement shall wear the official NPS uniform or, if approved by the NPS Chief Ranger or his/her designee, plain clothes; shall remain under the authority and control of NPS supervisors; shall be subject to the laws, regulations, and policies of the NPS and of the United States; and shall not receive any monetary compensation from any source other than the NPS.

9. NPS law enforcement rangers rendering emergency assistance to the [XYZSD] pursuant to this agreement shall be deemed to be acting within the scope of their federal employment. Under no circumstances shall NPS law enforcement rangers be deemed to be "borrowed servants" of the [XYZSD].

C. General Provisions

1. The cost of furnishing services under this agreement shall be borne by the party furnishing the services, and no claims for reimbursement shall be made upon the other.

2. Nothing in this agreement shall be construed to bind the NPS to expend in any one fiscal year any sum in excess of funds appropriated by Congress or allocated by the NPS for the purposes of this agreement, or as involving the NPS in any contract or other obligation for the further expenditure of money in excess of such appropriations or allocations.

3. Each party hereby waives any and all claims, demands, and causes of action against the other party arising out of activities undertaken pursuant to this agreement. Each party shall be solely responsible for any and all claims, demands, and causes of action filed by third

parties arising out of the activities of its personnel pursuant to this agreement, including, but not limited to, the costs of investigating and defending against such claims, demands, and causes of action and the costs of paying any compromise settlements, judgments, assessed costs, or fees (including attorney's fees).

III. Term

This agreement shall be effective for a period of five years from the date of final signature, unless it is terminated earlier by one of the parties pursuant to article IV below. At the conclusion of the five-year term, this agreement may be extended or renewed by written agreement of the parties.

IV. Termination

Either party may terminate this agreement by providing the other party with sixty (60) days advance written notice of its intention to do so. If one party notifies the other party of its intention to terminate this agreement, then the parties shall meet promptly to discuss the reasons for the proposed termination and to try to resolve their differences amicably.

V. Key Officials

All written communications and notices regarding this agreement shall be hand-delivered or sent via first-class mail to the following key official(s) for each party:

For the NPS:

[List title, address, and telephone number here.]

For the **[XYZSD]**:

[List title, address, and telephone number here.]

VI. Property Utilization

Unless otherwise agreed to in writing by the parties, any property furnished by one party to the other shall remain the property of the furnishing party. Any property furnished by the NPS to the **[XYZSD]** shall be used and disposed of as set forth in the NPS Property Management Regulations.

VII. Reports

Upon request and to the extent permitted by applicable law, the parties shall share with each other final reports of incidents involving both parties.

VIII. Amendment

This agreement may be amended only by a written instrument executed by the parties.

IX. Standard Clauses

A. Civil Rights

During the performance of this agreement, the parties agree to abide by the terms of the USDI-Civil Rights Assurance Certification and will not discriminate against any person because of race, color, religion, sex, or national origin. The parties will take affirmative action to ensure that applicants are employed without regard to their race, color, religion, sex, or national origin.

B. Officials Not to Benefit

No member of delegate to Congress, or resident Commissioner, shall be admitted to any share or part of this agreement, or to any benefit that may arise therefrom, but this provision shall not be construed to extend to this agreement if made with a corporation for its general benefit.

C. Public Information Release

The [XYZSD] must obtain prior Government approval from **[name or title of NPS official who must approve press releases]** for any public information release which refers to the Department of the Interior, or to any bureau, park unit, or employee (by name or title), or to this agreement. The specific text, layout, photographs, etc. of the proposed release must be submitted with the request for approval.

X. Authorizing Signatures

In witness hereof, the following representatives of the parties have signed their names on the dates indicated, thereby executing this memorandum of understanding.

For the National Park Service:

Signature

Title

Date

For the **[XYZ County Sheriff's Department]:**

Signature

Title

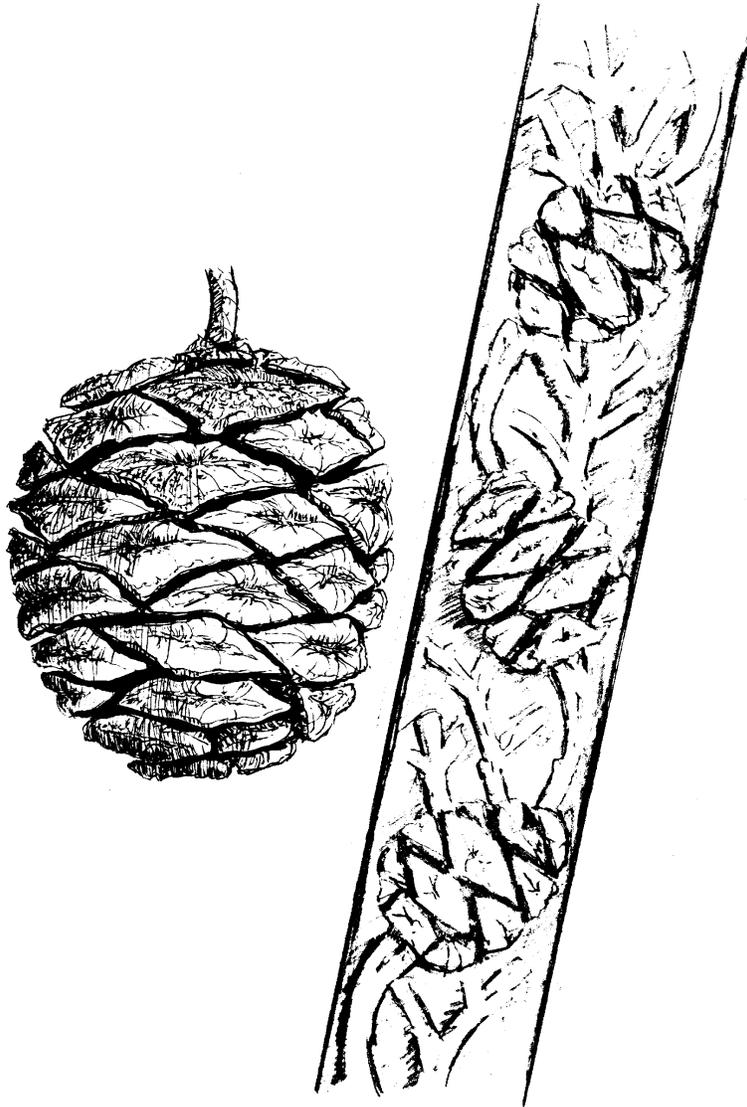
Date



National Park Service
Intermountain Region
Visitor and Resource Protection Division
"Service and Solutions"

Reference Manual 43

Uniforms



Associate Director, Park Operations and Education

(Date)

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REFERENCE MANUAL 43

I. PURPOSE AND SCOPE

This Reference Manual contains supplementary material to the National Park Service (NPS), Director's Order (D.O.) # 43, Uniforms.

II. BACKGROUND

Definition of Terms

Personal Appearance: includes all elements of appearance, grooming, and personal adornment.

Personal Adornments are any items not specifically included in the official uniform item list located in Section 2, of Subpart A of this manual, including, but not limited to: tattoos, jewelry, pins, buttons, fingernail polish, body piercing, and elective body modifications.

Personal Protective Equipment (PPE): common definition used in the Occupational Safety and Health Act (OSHA) and Director's Order 50.

Ranger Hat: generic term used in this reference manual to refer to the flat-brimmed straw or beaver-felt hat. Sometimes called the "flat hat" or "stetson hat." Used generically, the term is not meant to reflect job series or other uses of the term "ranger."

Special Work Apparel: items required to safely and efficiently accomplish specific duties. Includes apparel items in earlier policy documents that were called "special uniforms" or "work apparel."

Superintendent: used generically to denote the senior manager for any unit or office.

Uniform Coordinator: refers to an individual in a park or office that has a portfolio of uniform duties on behalf of that park or office.

Uniform Program Manager: refers to the designated manager positions in regional offices and the Washington Office (WASO).

Uniform Program Website: the Government-maintained website for uniform allowance authorization, is located at http://amoebawww.den.nps.gov/amoeba/nps_uniform.nsf. Employees can place orders at www.uniformsolutions.com/lma.

III. AUTHORITIES

The following expanded citations [refer to 5 United States Code (U.S.C.) 5903] and the Comptroller General's decisions set the limits of the NPS uniform program. Relevant sections of laws are quoted where appropriate, and clarifying comments from congressional reports have been cited where necessary to indicate congressional intent.

Uniform Allowances

Laws

1. Title 5, U.S.C., Section 5901(a) – P.L. 83-763 (1954), as amended by P.L. 89-554 (1966), P.L. 90-83 (1967), and P.L. 101-509 (1990):

"There is authorized to be appropriated annually to each agency of the Government of the United States...on a showing of necessity or desirability, such sums as may be necessary to carry out this subchapter. The head of the agency concerned, out of the funds made available by the appropriation, shall:

1) furnish to each of these employees a uniform at a cost not to exceed \$400 a year (or such higher maximum amount as the Office of Personnel Management may establish under Section 5902); or

2) pay to each of these employees an allowance for a uniform not to exceed \$400 a year (or such higher maximum amount as the Office of Personnel Management may establish under Section 5902).

The allowance may be paid only at the times and in the amounts authorized by the regulations prescribed under Section 5903 of this title..."

2. Title 5, U.S.C., Section 5901(c) – P.L. 89-554 (1966), as amended by P.L. 90-83 (1967):

"An allowance paid under this section is not wages within the meaning of Section 409 of Title 42 or Chapters 21 and 24 of Title 26."

3. Title 5, U.S.C., Section 5902 - P.L. 83-763 (1954), as amended by P.L. 101-509 (1990):

"The Office of Personnel Management may, from time to time, by regulation adjust the maximum amount for the cost of uniforms and the maximum allowance for uniforms under Section 5901."

4. Title 5, U.S.C., Section 5903 - P.L. 89-554 (1966), as amended by P.L. 101-509 (1990):

"The Office of Personnel Management may prescribe such regulations as it considers necessary for the administration of this subchapter."

Congressional Reports

1. Senate Report No. 992 (1954), which repeats in substance the House Report on P.L. 83-763: Funds will be paid "as prescribed by agency regulations, to each such (uniformed) employee for purchase and upkeep of uniforms."

The original report wording permitted use of funds for full payment of uniforms and for

their upkeep.

2. Conference Report No. 2665 (1954): Funds will be paid "to each such (uniformed) employee to defray the expense of acquiring (a) uniform...The conference substitute adopts the language of the Senate amendment, except (1) for deletion of a provision therein for use of uniform allowances for upkeep of uniforms and (2) addition of language giving the agency head discretion to furnish such uniforms out of funds appropriated therefor, in lieu of a cash allowance."

The conference report changed the wording to allow expenditure of funds only for defraying uniform costs and disallows their use for maintenance of uniforms.

Administrative and Legal Guidance

1. Office of Management and Budget (OMB) Circular No. A-30 (1966): The circular implements the provisions of the Federal Uniform Allowance Act (P.L. 89-554). It also establishes rules for allowances for temporary or substitute employees: "...The amount payable to a temporary or substitute employee who is otherwise eligible for a uniform allowance shall be determined by adjusting the standard for an annual allowance to take account of any reduced requirements which result from the limited period and nature of employment..."

The circular also established that the annual period to which the limitation of the uniform allowance ceiling applies for each employee begins with the date on which the employee first becomes eligible for a uniform or a uniform allowance under the act.

2. Comptroller General Decision B-166452 (1969): The decision stems from a question which was raised regarding the legality of providing an employee who changed uniform classes with the full amount of the new allowance if the two together exceed the Congressionally specified annual ceiling - \$125 at that time, \$400 at present. The Comptroller General held that "...both the statute and (the section of Circular No. A-30 on annual allowances noted above) must be construed as contemplating that the employee will remain subject to substantially the same uniform requirements during the annual period to which the...limitation applies. To hold otherwise would, in our opinion, constitute an unreasonable and illogical construction of the statute and regulations." This has been interpreted by the Solicitor to mean that the annual \$400 ceiling cannot be exceeded except in situations where an employee completely changes uniform class, and these have been defined by the agency as changes from dress to another field or vice versa. No other adjustments that exceed the ceiling are permitted, whether for seasonal changes, for changes within a class, or in instances when an employee's adjusted initial allowance and replacement allowance combine to total more than \$400.

3. Departmental Manual (DM), Part 344, DM 1 - Financial Management: Establishes standards and procedures for the payment of uniform allowances to employees under relevant laws and guidelines.

4. Departmental Manual, Part 370, DM, Addition to Federal Personnel Manual (FPM): Establishes Department of the Interior policy on eligibility and standards for granting uniform allowances to employees.

5. NPS Guideline, NPS-43 - Uniform Program Guideline: Establishes NPS policies for the administration of the uniform program and standards for the proper wear of the uniform. Replaced in 2000 by DO #43 and this manual.

Protective Clothing

Laws

1. Title 5, U.S.C., Section 7903 - P.L. 89-554 (1966): "Appropriations available for the procurement of supplies and material or equipment are available for the purchase and maintenance of special clothing and equipment for the protection of personnel in the performance of their assigned tasks."

2. Title 29, U.S.C., Section 668 - P.L. 91-596 (1970); P.L. 97-375 (1982): "It shall be the responsibility of the head of each Federal agency to establish and maintain an effective and comprehensive occupational safety and health program...The head of each agency shall (after consultation with representatives of the employees thereof...acquire, maintain, and require the use of safety equipment, personal protective equipment, and devices reasonably necessary to protect employees..."

Regulations

1. 29 CFR 1910.132 - 1910.136: Establishes the general requirements for personal protective equipment and specific requirements for eye, face, respiratory, head, and foot protection.

Administrative and Legal Guidance

1. Comptroller General Decision B-112031 (1952): "Questions concerning the propriety of furnishing special clothing and equipment to civilian employees have been considered by this Office a number of times and it has been held that where such equipment is essential to the safe and successful accomplishment of the work involved and primarily for the benefit of the Government, payment may be made from appropriations otherwise available therefor; but that on the other hand, if the equipment be solely for the protection of the employee without resulting benefits to the Government, and such as the employee reasonably might be expected to furnish as a part of the official equipment of his position, appropriated funds would not be available for the purchase thereof."

2. Comptroller General Decision B-174629 (1972): (Even though not specifically mentioned in 29 CFR 1910.132a, protective) "...clothing could be administratively determined to be necessary because of a priority safety need established by the operation of the safety management program prescribed under section 19 of the OSHA Act of 1970, and Executive Order 11612. Accordingly, if the clothing and equipment in question has been or is administratively determined to be necessary", then payment may be made from Government funds.

Badge and Arrowhead Insignia

Statutes and Regulations

1. Title 18, U.S.C., Section 701 (1948): "Whoever manufactures, sells, or possesses any badge, identification card, or other insignia, of the design prescribed by the head of any department or agency of the United States for use by any officer or employee thereof, or any colorable imitation thereof, or in any other manner makes or executes any engraving, photograph, print, or impression in the likeness of any such badge, identification card, or other insignia, or any colorable imitation thereof, except as authorized under regulations made pursuant to law, shall be fined not more than \$250 or imprisoned not more than six months, or both."

2. 36 CFR, Part 11.1 - 11.3 (under authority of 16 U.S.C., Section 3): "The term 'arrowhead symbol,' as used in this part, refers to the insignia of the National Park Service prescribed as its official symbol..."

"The term 'commercial use' as used in the regulations of this part refers to use of (the symbol) on souvenirs or other items of merchandise presented for sale to the public by private enterprise operating either within or outside of areas of the National park system."

"The Director may permit the reproduction, manufacture, sale, and use of the (symbol), with or without charge, for uses that will contribute to purposes of education and conservation as they relate to the program of the National Park Service. All other uses are prohibited."

"Permission granted under this part by the Director may be rescinded by him at any time upon a finding that the use of the (symbol) is injurious to their integrity or inconsistent with the purposes of the National Park Service in the fields of conservation and recreation, or for disregard of any limitations or terms contained in the permits."

Ornaments

The U.S. Court of Appeals has ruled that a policy that bans on-duty employees from wearing union pins on their uniforms does not violate the free speech rights for union employees.

Uniform Allowance System

Congress specifically authorized uniform allowances by P.L. 83-763, passed in September of 1954. P.L. 94-458, which passed in October of 1976, authorized a \$400 annual ceiling for NPS uniformed employees. Other agencies successfully sought similar legislation in subsequent years. In 1990, Congress raised the annual allowance ceiling to \$400 for all non-military agencies.

IV. REFERENCE MATERIAL

SUBPART A: PROGRAM MANAGEMENT

1. MANAGING THE UNIFORM PROGRAM

Positions and Committees

Servicewide Uniform Manager

- Coordinates all matters pertaining to uniforms, standards, problems, and related issues.
- Prepares and disseminates directives, program updates, instructions, and other communications relating to Servicewide uniform matters.
- Prepares and disseminates the Servicewide uniform guideline and all changes thereto.
- Evaluates problems, recommendations, and other issues, and advises the Directorate on appropriate actions.
- Serves as the contracting officer's representative for the uniform contract.
- Reviews and approves uniform component specifications.
- Ensures compliance on matters pertaining to the uniform program and uniform allowance system through established channels.
- Appoints special work groups as appropriate, to represent communities of interest based on work activities, climate, or other criteria. These groups, whose tenure will vary according to current projects or issues, will guide the committee on issues pertinent to that community.

Servicewide Uniform Committee

- Consists of 12 members plus the Servicewide program manager as Chair.
- Membership is made up of the seven regional uniform managers (or designees) and one member from each of the five major advisory groups (or designee) including: ranger activities, interpretation, maintenance, resource management, and administration.
- All garments that are worn as part of, or with components of, the NPS uniform are subject to review by this committee, excepting personal protective equipment that is required by law or regulation. On approval, new components and their use are added as amendments to this reference manual.
- Provides advice and counsel on the Servicewide uniform program including revisions to policy, the uniform supply contract and changes in apparel items. The committee reviews and acts upon recommendations for new or revised uniform items.
- Additional details on this committee's roles and responsibilities may be contained in a statement issued by the Chief, Division of Ranger Activities, WASO.
- Meets not less than every other year; funding provided by the WASO, Division of Ranger Activities.

- Forwards recommendations to NPS management as directed by the Associate Director, Park Operations and Education, for approval.
- Participates in special work groups as needed. These groups, whose tenure will vary according to current projects or issues, will guide the committee on issues pertinent to that community.

Regional Uniform Manager

- An employee in a regional division representing a uniformed field division (i.e., protection, interpretation, maintenance, etc.).
- Serves on the Servicewide uniform committee.
- Serves as liaison between the field and the Servicewide uniform coordinator on all issues pertaining to the uniform program.
- Works with the uniform company contractor to resolve problems with field areas that cannot be remedied at the park level.
- Reviews problems and suggestions made by the field and takes appropriate action on them according to procedures outlined in this guideline.
- Disseminates program memoranda and other information to all field areas promptly.
- Advises and assists superintendents on issues pertaining to compliance with program.
- Ensures that parks meet property management responsibilities outlined in this manual.

Park Uniform Coordinator and Uniform Committee

All NPS areas should have a park uniform coordinator who wears the uniform daily. Parks that have a uniform committee should select representatives from each uniformed division, and operate under a charter from the superintendent. Responsibilities of the Coordinator and/or the committee may include:

- Administers the park's program including review of park uniform policies and recommend changes to the superintendent.
- Resolves internal administrative problems;
- Reviews and comments on suggestions for Servicewide program changes;
- Serves as the primary information repository for the uniform program and advises the superintendent and staff on those aspects of its contents.
- Acts as liaison between the regional coordinator and the park on all matters pertaining to the uniform program other than administrative matters.
- Maintains a liaison with the park uniform program administrator and assures that program information is shared and that actions are jointly agreed on.

Park Uniform Program Administrators

NPS areas may have more than one park uniform program administrator when geographic or other circumstances warrant. Since almost all aspects of the uniform program are structured with the organization code as the basic administrative unit, parks with more than one park uniform program administrator should assign additional administrators to specific organizational codes.

- Serves as primary information source on the administrative portions of the uniform program and advises the superintendent and staff on those aspects of its substance and contents.
- Ensures that all reports, orders, authorizations, and allowances are accurate. Assures compliance with procedures for acquiring allowances, making orders, and returns, meeting closeout requirements, and conforming to all other administrative aspects.
- Assures that uniform allowance authorizations are completed and informational packets for new and seasonal employees are sent expeditiously.
- Coordinates uniform program activities with the park uniform program coordinator.
- Resolves ordering problems with the uniform contractor.
- Maintains a liaison with the park uniform program coordinator and ensures that program information is shared and that actions are jointly agreed on.
- Maintains sufficient access to the NPS uniform program website to expedite efficient placement of orders.

Uniform Contractor - Customer Service

- Serves as primary points of customer service contact for park employees, coordinators, and administrators.
- **Does not** interpret NPS uniform program policies.
- Presents problems that can't be resolved or forwards questions regarding interpretation of NPS policies to the attention of the contractor's Government contracts specialist.

2. THE UNIFORMS

Uniformed Positions

DO #43, Subpart A, Section 5.1.2. requires a “condition of employment to be signed by employees *prior to appointment to any uniformed position, regardless of length of NPS service*. This statement must be used when an employee enters into a new position (i.e., new position number) that is designated as a uniformed position. Ideally, a position is designated as a uniformed position when:

- The vacancy announcement for the position contains a notice that the incumbent is required to wear the uniform in accordance with applicable policies and that the incumbent will be required to sign the condition of employment letter;
- The position description states the requirement to wear the NPS uniform; and
- The selecting official informs the prospective employee that (s)he is being offered a uniformed position and will be required to sign a condition of employment statement.

The condition statement **cannot** be used when:

- An employee receives a promotion or step increase within the same position (i.e. same position number).
- A manager changes the position from a non-uniformed position to a uniformed position. The incumbent may volunteer to sign the condition statement, however.

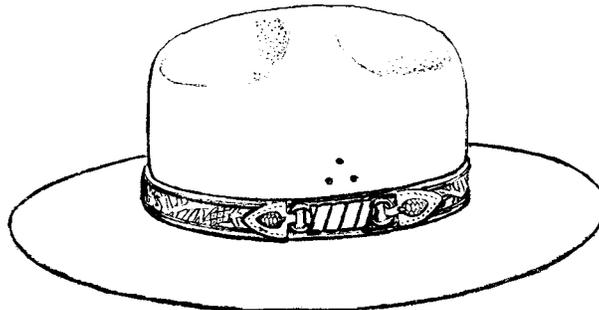
Uniform Classes and Components

Uniform classes and components have been revised to delineate among different uniforms according to function and provide discrete work apparel for particular types of work. The intent is to provide managers with a tool to readily identify the appropriate uniform and work apparel for a particular task and to provide uniformed employees with clear guidance on which components should be worn for those tasks.

Service Uniform Public contact positions (standard uniform)

Field Uniform Public contact positions where environmental conditions dictate a more practical uniform

Work Uniform Work projects, backcountry use



[1930's –1940's ranger hat]

ITEM	SERVICE	FIELD	WORK	COMMENTS
Accessory, Badge	X	X		
Accessory, Badge Patch			X	See Wear Standards
Accessory, Belts, NPS Embossed	X	X	X	
Accessory, Insignia, "USNPS"	X	Limited		See Wear Standards
Accessory, Name Bar, Brass	X	X		See Wear Standards
Accessory, Name Bar, Cloth			X	See Wear Standards
Coat, Dress, 11 Oz. Tropical	X			Summer uniform; always with a tie
Coat, Dress, 16 Oz. Elastic	X			Winter uniform; always with a tie
Coat, 16 Oz., "Ike" Style	X			Summer or Winter; always with a tie
Coveralls, 12 Oz., Insulated		Limited	X	Worn temporarily over other uniforms
Coveralls, 8 Oz., Uninsulated		Limited	X	Worn temporarily over other uniforms
Gaiters, Gore-Tex		Limited	X	See wear Standards
Gloves, Cowhide, Thinsulate	X	X	X	
Gloves, Deerskin	X	X	X	
Hat, Balaclava		Limited	X	Winter uniform & Mountaineering
Hat, Ball cap, Mesh		X	X	Summer Uniform
Hat, Ball cap, Twill		X	X	Winter Uniform
Hat, Cotton, Wide Brim		Limited	X	
Hat, Fur Trooper Style	X	X	X	Winter Uniform & Mountaineering
Hat, Gore-Tex Nylon, with Flaps		Limited	X	Winter Uniform & Mountaineering
Hat, Ski cap, Acrylic Knit		Limited	X	Winter Uniform & Mountaineering
Hat, Ski cap, Wool Knit		Limited	X	Winter Uniform & Mountaineering
Hat, Straw, "Ranger Hat" *	X	X		Summer Uniform
Hat, Tan Felt, "Ranger Hat" *	X	X		Winter uniform
Jacket, 8 Oz. Twill **		X	X	
Jacket, Cotton Duck [new]		Limited	X	
Jacket, Ecospun™ Fleece	X	X	X	Could melt in maintenance situations
Jacket, Windbreaker	X	X	X	
Overshell, Hip Length **	X	X	X	No Brass on Work Uniform
Overshell, Waist Length **	X	X	X	No Brass on Work Uniform
Raincoat	X	X	X	
Shirt, 10 Oz. Tropical Service, SS	X	X	X	Summer Uniform
Shirt, 10 Oz., Tropical Service, LS	X	X	X	Winter or Summer Uniform
Shirt, 4.25 Oz., Poplin Field, SS	Limited	X	X	
Shirt, 5.5 Oz. Twill Work, LS			X	Winter or Summer Uniform
Shirt, 5.5 Oz., Twill Work, SS			X	
Shirt, Maternity Smock, LS	X	X	X	Winter or Summer Uniform
Shirt, Maternity Smock, SS	X	X	X	Summer Uniform Only
Shoe, Backcountry Hiking Boot			X	
Shoe, Lightweight Hiking Boot	X	X	X	
Shoe, Wellington Boot	X	X	X	
Shoe, Work Boot			X	
Shoes, Female, Low Heel Pump	X			
Shoes, Low Quarter Dress	X			
Shoes, Rocky Walker™	X	X	X	
Shorts		X	X	
Skirt, 11 Oz., Tropical	X			Summer Uniform
Skirt, 16 Oz., Elastic	X			Winter Uniform
Socks, Dress Crew	X	X	X	
Socks, Hiking	X	X	X	

ITEM	SERVICE	FIELD	WORK	COMMENTS
Socks, Mid-Calf, Boot	X	X	X	
Socks, Over-Calf, Boot	X	X	X	
Sweater, "Commando" Pullover	X	X	X	
Sweater, Turtleneck	Limited	X	X	
Tie, Clip-On	X	X		Always with tie tac; see wear standard
Tie, Female, Cross-Over	X	X		
Tie, Four-in-Hand	X	X		Always with tie tac; see wear standard
Trousers, Brush			X	
Trousers, Jeans		Limited	X	
Trousers, 11 Oz. Tropical	X			
Trousers, 16 Oz., Elastique	X			
Trousers, 8 Oz., Twill		X	X	
Trousers, Convertible [new]		Limited	X	
Trousers, Maternity	X	X	X	
Trousers, Rain/Wind	Limited	X	X	Temporarily over "Service"
Vest, Insulated		X	X	

Notes:

* Always worn with the embossed hatband. Hat covers worn in rain/snow; chin strap optional.

** Liners are only worn as a zipped-in component; never as an outer garment.

"Limited" = use in this uniform category are limited to specified duties, such as bike patrol, water operations, or foul weather.

Service Uniform

Use: Worn by employees in public contact positions and other persons stipulated by regional directors and superintendents. Worn by superintendents, division chiefs, managers, maintenance managers, supervisors of public contact employees, and other non-maintenance uniformed employees.

Occasions for Wear: Routine, daily activities involving a high degree of public contact or supervision of employees in public contact. Examples include: operation of visitor centers, campgrounds, entrance stations, and other visitor facilities; presentation of interpretive programs; and frontcountry patrol by foot, vehicle, or horse.

General Rules for Wear: The ranger hat is worn wherever possible. Ranger hats with covers are normally worn in rain and snow. Hoods, knit hats, and other foul-weather headgear are worn only when circumstances dictate.

Although *Field Uniform* shirts are approved for this category, tropical short-sleeve shirts are preferred and should be utilized wherever possible.

Field Uniform

Use: Worn by employees engaged in visitor contact activities in situations where the *Service Uniform* would be impractical or inappropriate due to climate, terrain, or safety. Superintendents should require the more formal *Service Uniform* when circumstances permit. Worn by superintendents, division chiefs, managers, supervisors of uniformed

employees, and other non-maintenance, uniformed employees. Maintenance supervisors may or may not fit in this category (e.g., when the foreman position is a field supervisor with substantial hands-on maintenance duties, this uniform should not be authorized for safety reasons).

Occasions for Wear: Routine, daily activities involving a high degree of public contact or supervision of employees in public contact in which the wearer is subject to adverse environmental conditions. Examples include: outdoor activities in foul weather; interpretive walks on unsurfaced trails; frontcountry patrols in mixed environments (e.g., roads, trails, open ground and boat patrols using hard-hulled craft); horse patrols or resource management activities in areas highly visible to the public.

Work Uniform

Use: Worn by employees engaged in daily or planned, **not incidental** work projects and backcountry operations when warranted by environmental and working conditions.

Usually includes water operations or protection or resource management duties that have little or no public contact potential.

Authorization for Wear: Authorized for wear by employees engaged primarily in work duties and work projects, all wage-grade employees and persons performing resource management work of a maintenance nature.

Occasions for Wear: Daily wear in all work situations. Routine, low visitor contact work and patrol activities. Examples include: wilderness, backcountry, boundary, ski and boat patrols; overnight-guided hikes; resource management activities in areas generally not visible to the public.

Maternity Uniform

Use: Pregnant employees who are provided a supplement to their regular allowances to acquire needed uniform components wear the maternity uniform. Black maternity pants may be purchased on the open market and worn in lieu of the pants provided in the program when a proper, comfortable fit cannot be obtained.

Occasions for Wear: Routine within-park activities.

Formal Attire

Use: Formal occasions where men would be expected to wear an evening suit or 3-piece suit, women would be expected to wear a cocktail dress, and military personnel would appear in their dress uniform with a white shirt. This option is for management personnel and immediate staff only. At the discretion of the senior manager, personnel can wear this dress when attending a formal dinner, ball, or reception.

Attire: A white dress shirt, purchased with personal funds, may be worn under the NPS Dress Coat (summer or winter weight), when specified by the senior manager of the event. On these occasions, the Dress Coat is always worn; never taken off. The shirt will have 3 to 3 ½-inch collar points (measured from the attachment at the neck to the point), not buttoned-down. Shirt cuffs should extend no more than 1/8 inch beyond the end of the coat sleeve, when standing with arms at the sides. Footwear will conform to the Service uniform unless otherwise specified.

Special Work Apparel and Personal Protective Clothing

From time to time, a need arises for specialized clothing or uniforms due to safety concerns or environmental conditions or working conditions. Such uniforms may combine standard components with specialized clothing or equipment not available from the uniform contractor (see DO #43, Section 1, fourth bullet; Section 5.4.1.c and 5.5).

In these instances, the superintendent must identify tasks or procedures that may have the potential for exposing employees to personal injury, unusual environmental conditions, occupational health exposure, or tasks that require special clothing. In such situations, the employee must be provided with and use equipment and/or clothing necessary to perform the task/work in a safe and healthful manner. Prescribed uniform items will be worn with work apparel and/or personal protective clothing or equipment to assure identification with the NPS.

Conditions that warrant special work apparel and personal protective clothing may include:

- exposure to environmental hazards or extreme conditions (poisonous plants, ultraviolet radiation exposure, heat, cold, contaminants, others);
- duties that require specialized clothing (water, flight, cave, and ski operations, painting, welding, law enforcement duties, fire operations, and some resource management duties); or
- duties that require PPE clothing or equipment to meet OSHA or other published PPE standards.

When a determination of need has been completed, the superintendent must:

- identify special uniform categories and components required for specific uses;
- consult with supervisors and park or Regional safety officers to determine applicable personal safety requirements;
- list the uniform components that will be authorized and required under each category;
- designate the employees or classes of employees who will wear these components;
- purchase the components with park operating funds;
- assure compliance with special uniform standards found below;
- evaluate special uniform requirements and determine if they will be necessary to continue or modify the special uniform;
- assure that safety components meet approved safety standards and adequately protect workers;
- assure that employees wear safety components while engaged in associated tasks and ;
- ensure compliance with loss control management and property management regulations, guidelines, and directives.

To maintain Servicewide uniformity, care must be taken to approve only those apparel items that are **necessary** to the employee health and safety and reject those that are *desired* for team identity or other reasons. For example, orange safety vests, worn over standard uniform components, should be the preferred option for bike patrol, traffic control, and SAR missions, rather than approval of a local jacket.

Acquisition and Use

1. Protective clothing and equipment that is for the protection of employees engaged in hazardous work may be purchased with appropriated funds. Employees are not required to purchase protective clothing and equipment with personal funds or their uniform allowance. Details and explanations of personal protective clothing and equipment can be found in the NPS, DO #50B and RM #50B, Occupational Safety and Health Program.
2. Special uniform items may also be procured with appropriated funds. See Comptroller General Decision B-112031 for specific authority regarding purchase of such "special clothing" for employees. Protective clothing worn while employed by the Service in any of the following categories is deemed to be of benefit to the Government.
3. Employees must wear PPE and protective clothing provided by the Service when performing specified tasks.
4. Special clothing shall be worn only when the employee is performing specified tasks.
5. Protective clothing and equipment are property of the Government and are subject to property management guidelines.

The following are **EXAMPLES of work apparel** as they should be specified at a park to meet special work situations. Approved colors for over-the-counter options should be standardized to keep variations to the absolute minimum. When available and appropriate, forest green should be preferred for upper body garments (other than shirts) and trousers.

Lifeguard Uniform

- Only persons assigned to and engaged in lifeguard duties wear this uniform.
- The basic uniform will consist of a [color specified] swim suit or trunks (a specified vendor that silk-screens the NPS arrowhead on the trunks/suits should be used);
- Cover up garments may either be uniform components from the uniform contractor, or where increased visibility is required, color coordinated open market garments.

Ski and Backcountry Winter Uniform

- Only persons assigned to ski patrol, Nordic, snowmobile, snowshoe, and related operations wear this uniform.
- The basic uniform will be the *Field* or *Work Uniform*, depending on park needs. The arrowhead patch will be worn on outer garments to increase identification.

- Area options consist of:
 - black ski pants and top (under the uniform shirt);
 - green, or black snowmachine suit and green, or white helmet, as duties require;
 - green Filson cruiser coat;
 - green, gray, or black wool knickers;
 - ski gloves;
 - gray, wool knee socks; and
 - ski boots or other designated footwear.

Horse Patrol Uniform

- Worn by employees assigned to horseback operations.
- The basic uniform will be the *Service* or *Field Uniform*, depending on park needs.
- Area options consist of:
 - plain western cordovan riding boots;
 - equestrian rain slicker;
 - jodhoppers; and
 - plain leather chaps **only** when safety is a concern.

Motorcycle or Trailbike Patrol Uniform

- Worn by employees assigned to patrol duties using these vehicles.
- The basic uniform will be the *Service* or *Field Uniform*, depending on park needs.
- Area options consist of:
 - gray, green, or white motorcycle helmet;
 - helmet face shield or goggles;
 - riding gloves; and
 - Wellington-style cordovan boot at least 10 inches high (footwear with extremely pointed toes and/or high heels are expressly prohibited).

Bicycle Patrol Uniform

- Worn by employees who are actually performing patrols by bicycle.
- The basic uniform will be the *Field* or *Work Uniform*, depending on area needs.
- Area options consist of:
 - gray, green, black or white, safety-approved bicycle helmet;
 - dark-green bike shorts;
 - Orange safety vest;
 - a lightweight, flexible nylon belt;
 - gray, green, or black bicycle gloves;
 - pant leg straps;
 - gray or brown socks; and
 - gray or black tennis shoes or lightweight boots.

Water Operations Uniform

- Worn by employees who are actually performing water-related or watercraft operations.

- The basic uniform will be the *Field* or *Work Uniform*. The badge patch may be worn on the left breast of survival suits and/or personal flotation devices.
- Area options consist of:
 - wetsuit; shorts, swimsuit, T-shirt;
 - flotation jacket or survival suit;
 - sweat suits;
 - foul weather gear; and
 - brown, green, or white leather or canvas boat shoes, or other appropriate footgear.

Flight Operations Uniform

- Worn by employees involved in special use flight operations (other than firefighting) where law enforcement, visitor, and other contacts are anticipated in immediate connection with the flight.
- The basic uniform will be a standard, military-style, green flight-suit constructed of polyamide or aramid cloth with an NPS arrowhead on the left shoulder; gloves, in either of the options described below; and cordovan or black leather boots with uppers that are safely overlapped by the legs of the flight-suit.
- Area options consist of:
 - Military-green flight gloves constructed of fire-resistant fabric (when in the aircraft);
 - uniform leather gloves (when in the aircraft);
 - white, SPH-4 or SPH-5 helmet (inside the aircraft or in flight operations);
 - approved defensive equipment belt (law enforcement);
 - approved shoulder holster and defensive gear (law enforcement);
 - leather, military-style name/badge insignia patch on front left breast attached to a Velcro™ patch with approved NPS badge patch (law enforcement and interpretation) over right breast pocket; **or**
 - green fabric, military-style name strip with black letters sewn over right breast pocket with NPS gold badge over left breast pocket (law enforcement and interpretation);
 - brown or green waders where allowed by Office of Aircraft Safety, such as in float plane operations where water safety considerations are a significant factor.

Incident Management Team Uniform

- Worn by members of incident-management-overhead teams who do not normally wear uniforms, such as finance and logistics personnel, but who need clear identification with the NPS.
- This category does not include members of strike teams, who are normally in uniform. On multi-agency teams, normally uniformed employees who are in civilian clothes may wear an NPS ball cap for identification.
- The basic uniform will consist of:
 - uniform ball cap;
 - team vest identifying the employee's function within the team; and
 - NPS name bar or name tag.

Out-of-Park Duties

When an out-of-park assignment, such as training, detail assignments, special events, and international travel requires wearing the NPS uniform, all uniformed employees must comply with the receiving area's uniform standards, including appearance standards. This is necessary to preserve the integrity of the receiving area's standards. **Employees that are unwilling to comply must turn down the assignment, or specifically request a waiver ahead of time in writing.** Failure on the employee's part to notify the receiving area of deviations from local standards may mean that the employee will have to reimburse the Government for any expenses incurred.

Special Event Uniforms

Uniform consistency within a work discipline (e.g., maintenance, visitor assistance, and crowd control) is **required** at all public events. The person exercising general oversight for the event will designate which uniform will be worn for the event as far ahead of time as possible. Field supervisors are responsible for assuring maximum uniform consistency among participating employees.

International Travel

NPS employees who represent the Service while visiting national parks in foreign countries are strongly encouraged to wear their uniform when meeting with or attending ceremonies where employees from the host country are in uniform or when the NPS employee is conducting training or attending a conference for or with uniformed employees. Carrying defensive equipment is never appropriate unless specifically requested by the country and authorized by the U.S. State Department. As a general rule, personal appearance, grooming, and adornment must be conservative.

Attendance at Training

For training courses that require wearing the uniform and last 14 days or less, employees are expected to continue to comply with their home unit's uniform and appearance standards. When uniforms are required for courses of 15 days and more, employees will conform to uniform and appearance standards set by the training institution, if applicable. During longer training sessions, attendees are more likely to appear in public places a significant amount of time, reflecting on the training institution. Therefore, it is important to comply with local standards, particularly for appearance. Course coordinators are responsible for providing instruction to attendees on proper uniform wear and appearance for longer sessions.

Detail Assignments and Other Temporary Duty

When the NPS uniform is required to be worn, the host manager will inform the incumbent ahead of time about local uniform requirements and incumbents will comply with that standard.

3. WEAR AND APPEARANCE STANDARDS

Rules for Wear

Seasons and Transitions

1. Parks will have defined summer and winter seasons where appropriate. A single uniform is acceptable for year-round wear in areas where climate dictates. Where climatic conditions vary within the park (e.g., due to elevational change), the winter and summer uniforms may be worn year-round. However, effort should be made to insure that work units wear matching uniforms and that summer and winter components are never mixed.
2. Superintendents will designate transition periods when either the summer or winter uniform will be permitted. Concerted effort will be made to assure that all members within an operating unit wear a single standard uniform during the transition period.
3. During winter and summer seasons, superintendents may approve exemptions for the wearing of uniforms from the alternative season where need dictates, as long as there is consistency within the operating unit.
4. Long sleeve shirts may be worn with either summer or winter uniforms to accommodate environmental protection (poisonous plant, sun exposure, etc.) and work protection (for such hazards as welding sparks and barbed wire). The tie is never worn with the summer uniform.

Name Bar Standards

Providing information about the NPS and who we are is an important service to park visitors. This personalizes visitor contacts, allows for greater interaction, and provides an avenue for feedback. Therefore, a name bar (brass on the *Service* and *Field Uniforms*; cloth on the *Work Uniform*) will always be worn on upper-body outer garments. Every name bar must contain the employee's full last name and first name or first initial(s). Name bars never contain titles such as "Mr.," "Mrs.," "Dr.," or "Ph.D." Cloth name bars cannot accommodate as many characters as the brass name bars and may not, except for shorter names, accommodate the full first name.

Uniform Wear Standards

Certain rules apply to overall appearance. All uniforms and uniform components must meet the following minimal standards:

- They must be clean and neat at the beginning of the workday.
- They must not be frayed and particular attention should be paid to collar points and cuffs.
- They must be free of excessive wear, including worn areas, shiny spots, holes, or missing buttons.

- They must be free of offensive odor.
- They must be clean and free of spots, stains, soil or any other foreign substance.
- They must not be faded. Fading is defined as when a uniform item is noticeably lighter in coloration than a comparable new item.
- They must be free from pilling, (i.e., when small balls of material appear on the exterior of worn clothing).
- All items should be ordered (or altered to) sizes that prevent **excessive** tightness or bagginess.

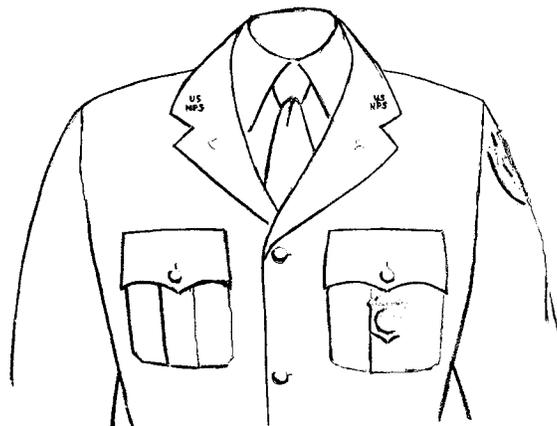
Additionally:

- Pants and shirt pockets should be free of bulges. Items in shirt and pants pockets should not stick out, be readily apparent, be more than a ½-inch thick or distract from uniform appearance.
- T-shirts must never be visible under shirts (either at the neck **or** at the sleeves) or worn alone as a uniform shirt. Colored and patterned T-shirts are not permitted.
- *Service and Field Uniforms are incomplete without badges and name bars.* Each employee will be issued a minimum of two badges and two name bars, one for the uniform shirt, one for jackets and outerwear. Normally, three badges will be issued in order to provide employees with sufficient flexibility in changing uniforms. (also see the section “Name Bar Standards” above)
- Sunglasses may be worn with uniforms, but sunglasses that are dark enough to make it difficult or impossible to see the employee's eyes should be worn in visitor contact situations only when absolutely necessary. Mirrored sunglasses are prohibited. Sunglasses rims must be in conservative colors such as gray, black, or brown; bright or neon colors are prohibited.

PRIVATE

Wear Standards Specific to a Garment

Dress Coats: Elastique and Tropical Dress Coats and “Ike” Coat



- always worn with a necktie.
- The end of the coat's sleeves should be at the wrist bone. Shirt sleeves should be no more than an 1/8-inch beyond sleeve ends.

- Front buttons are buttoned at all times; the “Ike” coat is fully-zipped.
- The summer (tropical) coat is worn with summer pants or skirt. The elastique (winter) coat is worn with winter pants or skirt. Mixing of fabrics is not permitted.
- Always worn with “USNPS” collar insignia, badge, and name tag. **All** items must be on the coat and in the proper position.
- Law enforcement equipment may not be worn with the Elastique or Tropical Dress Coat.

Shirts:

- All buttons are to be buttoned, with particular attention placed on the pocket and sleeve-vent buttons. The top button of the long sleeve shirt can be left unfastened only when the shirt is worn with a turtleneck or with the summer uniform. The top button is the only button that is to be left unbuttoned on the short sleeve shirt.
- Turtlenecks or ties are **never** worn with the short sleeve shirt.
- Long sleeve shirts are always worn with a tie when in the winter *Service Uniform* and worn either with a tie or turtleneck in the winter *Field Uniform*; ties are never worn with the winter *Work Uniform*.
- Sleeves on the long-sleeve shirt must never be rolled when in a situation in which public contact is likely.
- There should be no spread between front buttons when sitting; if there is, the shirt is too tight.
- Shirts should always be tucked in and “bloused,” where the shirt is gathered at the sides or in back and tucked in so that the front is smooth. A straight line should be maintained through the shirt buttons, belt buckle, and fly.
- Pens and pencils must not visibly protrude more than a quarter inch from the tops of pockets. The clip must be under the pocket flap. Nothing should be carried in the pockets that are thicker than ½-inch.
- When wearing the *Work Uniform*, sleeves must be rolled down and buttoned except in situations where safety, soiling, or the work situation necessitates that they be rolled up.
- T-shirts must never be visible under shirts at the neck or the sleeves.
- Shirts will always be tucked in.

Trousers

- Seam creases must be apparent in Service Uniform pants.
- All pants are to be hemmed to the proper length.
- Bottoms of pants must hang no lower than the heel welt and no higher than 3 inches above the ground.
- Pants bottoms should be as close to parallel with the ground as possible and should not be cuffed or rolled up.
- Waistbands on pants should not roll outward.
- Flaps on pants pockets must cover the pocket. Items placed in pockets should not cause obvious bulges. Nothing should be carried in a pocket that is thicker than ½-inch.
- The tab on the rear pocket of the twill pants should be buttoned.

Skirts

- Skirts must be free from wrinkles, shiny surfaces, and bagginess.
- All skirts are hemmed.
- Bottoms of skirts must be no shorter than mid-knee and no longer than 3 inches below the knee.
- Waistbands on skirts should not roll outward.

Convertible Trousers and Shorts

- Shorts may only be worn with the *Field* or *Work Uniform* and in parks where extreme climatic conditions warrant their use.
- Shorts are worn either without socks or with solid, plain, gray, rag-wool socks (with boat shoes) or with solid, plain, gray, rag-wool or brown hiking socks (with hikers).
- Detachable legs on the convertible trousers must be the same color shade as the main garment (usually obtained by washing the legs every time the main garment is laundered).
- Detachable leg portions on the convertible trousers must be fully zipped on or off; never partly open.
- Always worn with the NPS-embossed belt in the frontcountry and for public contact work

Raincoat

- Must be worn either fully-zipped or fully-opened.
- May be worn only when it is precipitating.
- Older raincoats with orange linings will not to be worn reversed; orange vests acquired as PPE, will be worn instead.

Hip and Waist Length Parkas

- *Service* or *Field Uniform* parkas are always worn with a badge and a name tag.
- Defensive equipment is worn only with the waist-length parka. The storm-flap should be buttoned to the height that the zipper is closed on both parkas.
- The waist length parka should be long enough to reach the belt and cover the whole shirt.

Overshell

- The side zipper on the overshell should be closed when not in use with defensive equipment. When opened to accommodate such equipment, the snap should be closed at the bottom behind the holster or radio case.
- Velcro™ wrist closures must always be closed.
- Overshells are always worn with a badge and a name tag.

Hoods

- Hoods are only worn on coats in foul weather or when foul weather is imminent.
- Hoods and the ranger hat must not be worn together.

Windbreaker

- The badge and name tag will be worn on windbreakers with badge and name tag tabs. Name tags must be centered on the name tag tab.

Rain/Wind Pant or Gaiters

- Rain/wind pants and gaiters are normally worn fully-zipped, snapped, and strapped but may be worn open when exertion requires venting.
- Excess strap on gaiters must be tucked in and not left dangling.

Field and Work Jackets

- Pockets and cuffs are to be buttoned on the twill work jacket.
- USNPS insignia are worn on the Field jacket (twill fabric) collars when worn with the Field Uniform unless safety concerns dictate otherwise.
- Field jackets are always worn with a badge and a nametag when in *the Field Uniform*.

Coveralls

- Coveralls should be snapped except for the top snap wherever practical.
- Coveralls are authorized for *Field* and *Work Uniforms* but should not be worn as a substitute for the uniform except in very hot climatic conditions.
- The zipper should be closed.

Gloves

- Gloves are worn with Velcro™ closures closed and snaps snapped.

Vest

- The vest is worn as part of the layering system. When worn as outerwear with the *Field Uniform*, the badge and name bar will be attached.

Turtlenecks

- Turtlenecks are always worn under a long-sleeve shirt.
- The neck portion must be folded over one time.
- Turtlenecks should be free of fading and pilling.
- Dickies that have the same neck appearance as the supplied turtleneck may be worn; provided that they are black and not faded.

Pullover “Commando”-style Sweater

- The sweater is worn with a badge and name tag with the *Service and Field Uniforms* and without any metal accoutrements with the *Work Uniform*.
- The sweater should be worn full length except with law enforcement equipment.
- Sweater cuffs must be folded back.

Ranger Hats and Accessories

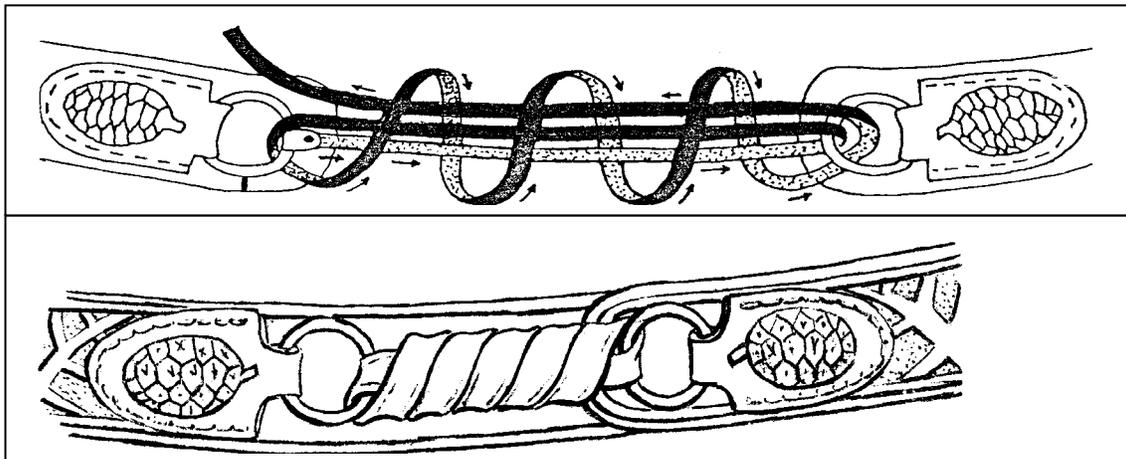
The ranger hat is the most important, recognized and respected symbol associated with the NPS, and should be worn with pride and care with the *Service Uniform*

outdoors or in an entrance station, and in most situations with the *Field Uniform*. Exceptions are limited to:

- extreme cold weather;
- highly windy environments;
- vehicle law enforcement patrol in which the need to respond quickly to a potentially hazardous law enforcement or emergency incident precludes the immediate wearing of the hat;
- exigent circumstances as identified by an authorized person (e.g., superintendent) at the park.

Additionally:

- The brim of the ranger hat must be blocked flat and free from nicks and warping.
- Ranger hats must be clean and unstained.
- No hair may hang below the brim on the wearer's forehead.
- The brim of the ranger hat is worn level, approximately two fingers above the eyebrow. Canting (slanted sideways) and tipping (slanted front to back) of the hat, even slightly, are not permitted.
- The hatband is to be worn with the USNPS logo centered in the front. Both leather and metal cones must be polished, and the ties should be wrapped according to instructions.



- The top of the chinstrap is to be worn **under** the hatband, and the strap is to be mounted on the back of the hat and worn on the back of the head with the buckle centered.
- Rain covers are to be worn **over** the hatband with the seam in back and loose plastic snugged down. Rain covers are worn only on the ranger hat.

Fur Trooper Cap

- Trooper caps are not worn with flaps and chin straps down and/or strapped except in extreme weather conditions. When flaps are worn down, the strap is snapped either under the chin or behind the head.

- Badges are not permitted on the front flap of the cap.

Ball Caps

- Worn level with the bill two fingers above the eyebrow and centered in front.
- Adjustable straps must be snapped.
- Cap bills may be rolled but not creased.
- A **neck drape** may be added for sun protection when in the *Work Uniform* and away from routine public view (backcountry, river/surf, or maintenance duties away from public view) provided: 1) the drape is a solid color such as forest green, steel gray, or brown (or other color as proscribed in local standards); 2) the color is consistent within the work group; 3) all exposed edges of the fabric are hemmed; and 4) the drape does not extend lower than 2 inches below the bottom of the collar and not more than ½-inch in front of the ears.

Wide-Brimmed Cotton Hat

- Worn with the brim level (see standard for ranger hat)
- Worn with the neck strap behind the neck unless needed to hold the hat on the head against wind, river rapids, etc.
- Never modified to hold the brim in a position(s) different from supplier shipped (i.e., no Velcro™, pins, or other method to hold the brim up to the crown; chin strap is not used to hold the brim in a “cowboy hat” style)
- Must be replaced once excessive fading or sweat stains are noticeable.

Ties and Tie Tack

- Metal clip on the clip-on tie must not be visible, and the tabs must be under collar wings.
- Four-in-hand tie must have a symmetrical, closed knot that is fully snug at the neck with no shirt showing above the knot.
- The tip of the tie will be no higher than 1-inch above the belt buckle and no lower than the middle of the buckle.
- Cross ties are tied with the snap crossing over from the right.
- Ties should be free of wrinkles, stains and fading.
- Tie tack is always worn attached to the shirt by the tie-tack chain.
- Tie tack is centered on a line between the pocket flap buttons on the *Service Uniform* shirt.
- Tie tack must not be visible when worn with the dress coat.
- Tie tack is never worn with civilian attire.

NPS Embossed Belt

- Belts should always be highly polished and should never be scuffed, abraded, or worn.
- No accoutrements may be carried on the belt (e.g., keys, knives, sunglass case) when wearing formal attire. Accoutrements in all other classes **must be commensurate with and necessary for the duties being performed**. Particular attention will be paid to minimizing the number of keys carried on dress belts.

Straps and cases for approved accoutrements must be cordovan in color wherever possible.

- Only NPS uniform supplier-provided and current-issue buckles may be worn on the belts.

Socks and Hosiery

- Socks must be brown, must not sag, and must be free of patterns, holes, pilling, or any signs of excessive wear. Official uniform socks will be worn whenever possible.
- Socks are not required with boat shoes when on boats.
- Nylon hosiery must be skin-toned, plain and free of runs, seams, patterns, glitter and any other embellishments. Nylons must be worn when wearing dress shoes and a skirt.

Shoes and Boots

- Any shoe must be highly polished and free of streaks, scuffs, cracks, and breaks.
- Only brown laces are permitted.
- Work and hiking boots should be in good condition and shined, although a high degree of polishing is not expected except when special circumstances dictate.
- Boat shoes must be cleaned, in good condition, and well oiled, if leather.
- Resoled shoes must have dark welts and dark stitching. Vibram™ soles are not permitted on dress shoes.
- Dress shoes are worn only with dress socks and dark brown laces.
- Parks are authorized to purchase backcountry and technical climbing boots according to local standards. Boots must conform as closely in color and style to uniform program boots as possible. Brightly colored boots are inappropriate and are not permitted.
- Steel-toed work boots are PPE and should be purchased directly by parks. A determination must first be made that they are required PPE, however, and this should be done in accord with park and regional safety officers and appropriate guidelines.

Accessories

Name Tags

- The NPS name bar with the arrowhead insignia is worn **only** with civilian clothes and never on the uniform.
- Name tags should be clean and free of nicks and scratches.
- Name tags are worn over the right pocket. They must be level, centered and 1/8-inch (the width of a nickel) above the top of the pocket flap.

Badge

- The badge must be worn vertically and must shine. Care must be taken to use only non-abrasive materials when polishing the badge, since the thin gold coating may be easily removed.
- The badge is pinned through the tabs provided on garments.

USNPS Insignia

- USNPS collar insignia must be bright and untarnished.
- Consistency among uniformed employees, whether within a park during normal operations or at a special event, should be the guiding principal.
- The insignia are to be worn **horizontal** to the ground and centered in the points of the lapel. Although the angle of lapel cuts varies by garment, the insignia should always be level with the ground and centered.

Commemorative Pins

- See D.O. #43, Section 5.2.6.
- Special pins will only be worn when approved in writing by the Associate Director, Park Operations and Education and will have specific effective and sunset dates, not exceeding 1 year.
- The pin must be proposed, in writing, by the superintendent and/or regional director.
- The proposed pin must include a justification and an example of the pin.
- Proposed pins must commemorate an event or observance that is significant to the NPS, or a unit of the Service, its history or mission, and have some interest or educational value for the public.
- The pin must be produced by the NPS, a unit thereof, or be licensed or contracted to be produced by an authorized agent of the Service.
- The largest dimension must not exceed 7/8-inch.
- Authorized pins will only be worn on shirts; centered 1/4-inch above the name bar.
- The requestor shall insure that pins are removed from all uniforms immediately upon expiration of the approval.

Other and Options

Law Enforcement Leather Gear

- All law enforcement leather gear must be cordovan in color and highly polished.
- Velcro-lined inner utility belts are **never** worn alone when in public view.

Scarves

- Scarves must be brown (same brown as the socks).

Handbags

- When used in public view, handbags must be brown, cordovan, or black in color; conservative in style; and modest in size. They should not detract from the uniform.

Day Packs and Fanny Packs

- Packs should be dark-green, brown, or black in color and free of patches and all other decorations.

Eyeglass, Sunlass and Retaining Straps

- Sunglasses may be worn with uniforms. Sunglasses which are dark enough to make it difficult or impossible to see the employee's eyes should not be worn in visitor contact situations except when absolutely necessary, such as when prescribed by a doctor for light sensitivity.
- Mirrored sunglasses are prohibited.
- Sunglass rims must be a conservative color (e.g., gray, black, or brown); bright or neon colors are prohibited.
- Retaining straps must be brown, dark gray, dark-green, or black.
- Glasses on straps must hang so that neither the strap nor glasses obscure the badge or name tag.

Belt Cases

- Cases for glasses, Leatherman™-type tools, gloves, and similar items must be either dark brown or black.

Umbrellas

- Must be black when used in public view.

Obsolete Uniform Components

Employees will be allowed to wear discontinued uniform components for reasonable periods of time following the component's removal from the uniform program. Dates when such components may no longer be worn will be established for those items that have been significantly changed. In cases when component specifications have not been changed significantly, uniform articles may be worn for the life of the item. The program manager in consultation with management and the Servicewide Uniform Committee will determine which items will be formally terminated and the date of their obsolescence. Components and dates will be published as periodic addendum to this reference manual.

Temporary Suspension of Standards for Exigent Circumstances and Waivers

On rare and limited occasions it may be necessary to briefly suspend all or portions of the Servicewide uniform standards. A situation might (but not necessarily) include, and is not limited to:

- natural disasters where agency identification is required/desired but employees homes (and uniforms) are wholly or partly inaccessible, or destroyed;
- very unusual and unanticipated work assignment where the uniform poses a health or safety risk;
- extreme climatic conditions of short duration.

Suspension of standards should only take place when employee identification is necessary **and** access to complete uniforms is impractical or when wearing the uniform creates a clear health risk or hazard. Managers will make every effort to communicate the nature, duration, and extent of the suspension as well as the required resumption date.

Waivers: Individuals may request a waiver from the superintendent from wearing specific uniform garment or component **only** based on one of the following:

1. Documented allergic reaction to the apparel item; or
2. Uniform contractor cannot supply the right size or fit.

When such a waiver is granted, the employee assumes full responsibility and cost for obtaining approved, comparable item(s) from the open market.

Burial in Uniform

Employees may be buried in uniform when requested by the employee or family. In the case of line-of-duty death, the Service encourages the family to consider this method of burial. The employee should be buried in the dressiest uniform that they were entitled to wear during their service. For employees entitled to wear controlled accoutrements, the park will excess the appropriate items to allow burial with full collar brass and badge compliment.

PRIVATE Personal Appearance Standards

Background

Federal courts and regulatory agencies have established or supported personal appearance standards (that is, standards for personal adornment and makeup and for hair length, style and type) for Government employees as long as they are reasonable and are related to performance or public expectations. Certain distinctions are made between different types of uniformed employees.

Several court cases, including Lowman v. Davies (1983) and Jacobs v. Kune (1976), have established that personal appearance standards may be set for uniformed employees outside of the law enforcement and emergency service community since they serve the public and represent the interests of the employing agency.

Objectives

The NPS has established personal appearance standards for its uniformed personnel in order to:

- Maintain a neutral image that encourages approachability and interactions with the broadest spectrum of the visiting public.
- Assure employee safety.
- Maintain the positive appearance that the public has come to associate with the service while embracing diversity.
- Promote relations with cooperating organizations with similar standards.
- Maintain good order and discipline which is a part of uniformity among all uniformed employees.

Regions, clusters, and/or parks may be more restrictive based on surveys of local or regional standards as established by comparable organizations (e.g., local or regional law

enforcement agencies, professional organizations, and corporate organizations with similar public service functions).

Standards

Employees must recognize that the public will often judge the effectiveness of the NPS based upon its first impressions. A uniformed employee who is inattentive to his/her personal appearance reflects an unfavorable image not only on her/himself, but on the entire Park Service.

Distinction is drawn between the grooming required for males and females. This does not reflect any difference in the degree to which it is imperative that female or male employees are well groomed; rather it reflects norms and expectations by the public of grooming standards by the two sexes. These expectations and norms are critical to the recognition, cooperation and approachability by the public.

Personal appearance standards are set for two categories for uniformed employees. Employees with mixed duties that fall into the two categories will meet the more restrictive standard. Wherever safety considerations impose more conservative standards, those standards will apply. The standards apply equally to **all** uniformed employees in each category.

The components of official employee uniforms are specified in Subpart A, Section 2 of this manual. Modifications to the uniform and personal adornments must be minimized. **Personal adornments** are any items not specifically included in the official uniform item list located in Section 2, of Subpart A of this manual, including but not limited to: tattoos, jewelry, pins, buttons, fingernail polish, body piercing, and elective body modifications. The following Servicewide restrictions apply to personal adornments, unless specifically superseded by a regional, cluster, state, or local standard:

- *General:* Persons choosing to accept a uniformed position are required to minimize personal adornments while wearing the NPS uniform.
- *Tattoos* will be physically covered to the greatest extent possible.
- *Jewelry* must not unreasonably detract from the overall appearance of the uniform. Excessive numbers, large size, and bright or contrasting colors of jewelry may create an unprofessional appearance. In addition, supervisors and managers may have to limit jewelry wear for safety reasons.
- *Earrings.* Men are not authorized to wear earrings. Women may wear matching earrings, no more than two per lobe. Earring size must not detract from the overall appearance of the uniform.
- *Rings and Studs* associated with body piercing must be removed (where visible) while in uniform.
- *Elective body modifications* must never be visible.
- *Fingernails* must not be over ¼-inch long on women and closely trimmed on men. Women may wear polish that is a conservative shade, complementary to their skin color or to the uniform colors. Men may not wear nail polish.

Law enforcement and emergency service personnel

Rationale

Courts have made it clear that law enforcement and emergency service personnel are clear representatives of authority who need to be readily recognizable to the public. They need to project a neutral image, thereby minimizing public antagonism in everyday contacts, whether or not cooperation or recognition is needed. The assurance of impartiality is essential to their function. Attention is necessary to minimize safety hazards to employees who are often in physically dangerous situations.

Standards:

- Beards no longer than 2 inches in length are permitted. Beards must be long enough to indicate that the beard is intentional rather than giving the appearance that the wearer has been negligent in shaving. For this reason, beards must be grown during off-duty time. Beards and moustaches must be neatly trimmed.
- Firefighters, divers, and those on Hazardous Materials Teams (HazMat) must keep their beards short enough to be able to maintain a seal on a self-contained breathing apparatus.
- Hair may be longer than the bottom of the uniform shirt collar only if properly confined and contained while on duty. Bangs must be above eyebrows. Any form of haircut or hair style that draws more attention than the uniform and detracts from the wearer's authority, such as cuts that produce patterns, designs or contrasting lengths, is prohibited. Sideburns must be no longer than the bottom of the ear.
- Coloration not normally found in human hair, or any coloration which is employed to produce unnatural hair patterns through contrasting hair colors is prohibited.
- Makeup and adornment should conform to standards established for law enforcement officers in the local area. Neither makeup nor adornment should distract from the uniform, interfere with job performance or present a safety hazard. Tattoos must not be visible.
- See also NPS Reference Manual #9, Chapter 6 for law enforcement personnel.

Exemptions: Commissioned rangers engaged in undercover or covert operations may be exempted from these standards with the approval of the park's chief ranger.

All other Uniformed Employees

Rationale

These uniformed employees are in the public eye (occasionally or frequently) and therefore, have an affirmative responsibility to maintain the positive and neutral image of uniformed NPS employees. Proper personal appearance emphasizes professional competence and expertise.

Standards:

- Beards will be neatly trimmed, combed, clean, and free of ornaments. Moustaches must be neatly trimmed. Beards must not interfere with regularly assigned duties and/or be a safety hazard in the performance of those duties.
- Hair must be clean, and neat. Hair length must not interfere with regularly assigned duties and/or be a safety hazard in the performance of those duties. Hair must not obscure either the badge or name bar/tag. Any form of haircut or hairstyle that draws more attention than the uniform and detracts from the wearer's authority, such as cuts that produce patterns, designs or contrasting lengths, is prohibited. Sideburns must be no longer than the bottom of the ear.
- Coloration not normally found in human hair, or any coloration which is employed to produce unnatural hair patterns through contrasting hair colors is prohibited.
- Makeup and adornment will conform to the kind typically worn by members of service or professional organizations. Neither makeup nor adornment will detract from the uniform, interfere with job performance or present a safety hazard.

Exemptions: Employees engaged in costumed interpretation may be exempted from these standards with the approval of the appropriate division chief.

Exceptions:

Exemptions may be granted to the above personal adornment limitations and appearance standards only in accordance with D.O. #43, Section 5.3.3.

Exceptions occur only where regional, cluster, or local standards are developed. To establish a regional, cluster or local standard, the appropriate manager must survey a minimum of three other indites having similar public service functions. Indites may include such organizations as teacher associations, law enforcement agencies, civic and service organizations, corporations, professional groups, or associations. Standards must be applied to like class(es) of NPS employees. For example, three surveyed standards from educational and tour organizations that apply to employees in interpretation; three standards from public service corporations that apply to administration, maintenance, resource management, and interpretation. When survey standards have been documented, the appearance standard developed for the region/cluster/park will reflect the norm or median standard of this survey. The regional director will approve this standard and it will be attached to the standards of effected park(s). The chosen standard must be applied throughout the park, cluster or region.

Employees on **detail assignments, team assignments**, or other temporary duty, will comply with the receiving area's standards.

Conduct and Bearing Standards**PRIVATE**Regular Duty

The distinctive NPS uniform is so closely related to the mission and traditions of the agency that it is virtually synonymous with both the agency's purpose and personnel.

Uniformed employees are held in high esteem by the public as guardians of the Nation's irreplaceable natural and cultural heritage; they are also highly regarded as role models who have many attributes Americans prize including: courtesy, service, integrity, self-reliance and self-sufficiency. Employees who wear the *Service* or *Field Uniform*, whether commissioned or not, also wear a badge which connotes a certain level of formal authority.

Accordingly, uniformed employees of the NPS are held to high standards of conduct and behavior, and are expected to comport themselves accordingly.

Prohibited Activities

Although proper behavior is expected from uniformed employees under all circumstances, employees are specifically prohibited from the following activities **while in uniform or wearing a readily identifiable uniform component**:

- Purchasing or consuming alcoholic beverages, whether on or off duty.
- Smoking or carrying cigars, pipes or cigarettes in their mouths or chewing tobacco while in public view.
- Gambling in any form while on or off duty.
- Participating in or attending any demonstration or public event wherein the wearing of the uniform could be construed as agency support for a particular issue, position, or political party.
- Sleeping while on duty and in public view.

Public Events

Uniformed employees of the NPS participate in hundreds of public events and ceremonies each year. These events impose higher standards of uniformity, conduct and bearing than normal duty because of the conspicuousness of the NPS uniform in public settings, particularly in the presence of the media.

General:

It is imperative that uniformed employees look as similar as possible at special events.

A special effort will be made to have all uniformed employees either wear a prescribed and published "uniform of the day" or meet together to assure that their uniforms conform. It is more important that uniforms are identical than a particular standard be followed to the letter (e.g. one employee lacks gloves, then all should forego them). A "stand up" inspection by the person managing the event or his or her representative will be conducted before the event begins.

- All metal components - badges, nametags, and USNPS collar ornaments should be highly lustrous and properly aligned.
- Garments must be clean and pressed. All persons authorized to wear ranger hats must wear those hats except in extremely cold or windy weather.
- Shoes, belts, and hatbands must be highly polished. Keys and accessory items on belts are prohibited.
- Uniformed employees who will take part in ceremonies should rehearse movements together to assure that they conform to each other.

Particular attention should be paid to the following:

- Hand salutes - The right hand is raised sharply with fingers and thumb extended and joined. The tip of the right index finger is placed on the brim of the hat slightly above the right eye with the hand and wrist straight. The outer edge of the hand should be tilted slightly downward so that neither the back of the hand nor the palm is clearly visible from the front.
- Standing at attention - The person stands erect with eyes straight ahead, feet spread at a 45-degree angle, and hands naturally curled with thumbs along trouser seams.
- Standing at parade rest - The person stands erect with eyes straight ahead, feet spread at shoulder width, arms behind the back, hand in hand.



Outdoor Ceremonies

All uniformed employees should salute with hats on under the following circumstances:

- Playing of national anthems (United States or other countries). Face the appropriate flag (if visible) or the music (if flag is not visible) and salute. Hold the salute until the last note is played.
- Recitation of the Pledge of Allegiance - face the flag and salute.
- Presentation of colors - salute when the flag is approximately 6 feet away until it is 6 feet past you.
- Raising and lowering of the flag - salute from the moment it starts up the pole until it reaches the top, or from the time it begins descending until it reaches the base of the flagstaff. If flown at half-staff, hold the salute until the flag is lowered to half-staff **after** being raised to the top.
- Raising and lowering of the flag when alone - stand back from the flagstaff and salute the flag before lowering and after raising.
- Playing of "Taps" or "Hail to the Chief" - face the music and salute. Hold the salute until the last note is played.
- Passage of the President in a parade or motorcade - salute as the vehicle passes.

During prayers and benedictions, **all** uniformed employees should remain covered (i.e., the hat remains on the head) with heads bowed. Hands should be held together in front.

In all other circumstances, emulate the military if they are represented.

Indoor Ceremonies

1. **All** uniformed employees should remove their hats, stand at attention, and face the flag or music, but **not** salute. Those wearing billed-caps should hold them by the bill in their left hands; those wearing ranger hats should grip the front edge of the rim with their left hands and rest the body on their left forearms, keeping them level with the ground. These procedures will apply in the following circumstances:

- Playing of national anthems (United States or other countries)
- Recitation of Pledge of Allegiance
- Presentation of colors
- Raising and lowering of the flag
- Playing of "Taps" or "Hail to the Chief"

2. Uniformed employees should rise and stand at attention but **not** salute when the President of the United States passes.

3. Uniformed employees should put their right hands over their hearts during the Pledge of Allegiance.

4. During prayers and benedictions, uniformed employees should remove their hats (if they haven't already done so), hold them as noted above, and bow their heads.

5. In all other circumstances, emulate the military if they are represented.

Funerals:

1. All of the above indoor and outdoor protocols apply.

2. Uniformed employees may wear a ¾-inch wide black band horizontally across the middle of the badge in tribute to public safety officers killed in the line of duty or NPS employees who died or were killed while in the performance of their duties. The band may be worn from the time of death until end of funeral ceremony.



3. The superintendent, regional director, or director, as appropriate, will stipulate when the band is to be worn.

4. Efforts should be made to assure uniformity in the wearing of the band at an area or a specific event.

4. THE PARK UNIFORM PROGRAM

Requirements and Content

Park standards are brief and should not simply recapitulate either the D.O. #43 or this R.M.. The contents will include the following, portions of which are entered on the uniform program website:

Authorized Wear

- Employees who will wear the uniform by division and position.
- Uniform classes authorized for specified groups or individual employees. (Classes are: Service, Field, and Work).

Authorized Items

Uniform items (garments) in each class authorized for wear in the park. Efforts should be made to minimize the number of required items, particularly for seasonals, in order to diminish out-of-pocket expenses in excess of authorized uniform allowances.

Special Work Apparel

- Special garments and accessories authorized for wear in the park.
- Employees who are authorized to wear them by division or position.
- Components which are approved for each special category.
- The use of PPE as special components.

Designated Uniforms

- The procedures which will be employed to determine seasonal changes.
- The circumstances when particular uniforms will or will not be worn.

Personal Appearance Standards

- Authorized local personal appearance, grooming, and adornment standards (where they deviate from the Servicewide stands in Section 3 of this manual).

Exemptions

- Limited circumstances (if any) when uniforms are not worn.
- Procedures for an employee to request a waiver from wearing a specified uniform component (see paragraph on "Waivers," Subpart A, Section 3)

SAMPLE PARK UNIFORM STANDARD

Spectacular Vistas National Park
Somewhere, US 00000-0000

Memorandum

To: All Park Uniformed Employees, Spectacular Vistas National Park
From: Superintendent, Spectacular Vistas National Park
Subject: Park Uniform Standards

Authorized Wear

The following employees are authorized to wear uniforms at Spectacular Vistas National Park:

<i>Service Uniform</i>	Superintendent, Division Chiefs, Public Affairs Officer, staff of Visitor and Resource Protection, Interpretation, Resource Management Divisions
<i>Field Uniform</i>	Same as above.
<i>Work Uniform</i>	Maintenance, Resource Management and Visitor and Resource Protection employees

Authorized Items

The attached matrix items, printed from the uniform program website, are authorized for wear at Spectacular Vistas National Park. The website will not accept orders for items that are not listed in the attachment. The superintendent must authorize special requests for other items. A special ordering override can be provided only for the following reasons: Special out-of-park team requirements, special medical needs.

Special Work Apparel

The following work apparel is approved for the indicated duties only:

<i>Horse Patrol</i>	Riding breeches; riding boots; ball cap or wide-brimmed hat
<i>Water Operations</i>	Boat shoes (without socks), wide-brimmed hat.

Designated Uniforms

a) The time of year when the change will be made from winter to summer uniform will be specified each season, by memo. Employees will be given 15 days advance notice of the seasonal change.

b) Specific uniform classes will be worn in the following circumstances:

<i>Formal Apparel</i>	Only at special events by specific order of the superintendent.
<i>Service</i>	The uniform will be worn regularly by the public affairs officer and division chiefs, and will be worn by all employees in situations where a high degree of public service contact can be expected during the working day except as noted below.
<i>Field</i>	The uniform will be worn by employees of the Interpretive Division during inclement weather. Visitor and Resource Protection Division and Resource Management Division employees may wear the uniform during inclement weather or while engaged in off-road patrol or work activities in front-country areas.
<i>Work</i>	The normal uniform for all Maintenance Division employees. Also, worn by Visitor and Resource Protection Division and Resource Management Division employees while engaged in outdoor work activities where public contact is not likely or while involved in regularly scheduled backcountry activities.
<i>Horse Patrol</i>	Routine frontcountry Visitor and Resource Protection patrols in the South and North Districts.
<i>Water Operations</i>	Routine Maintenance and Visitor and Resource Protection operations in the River District.

Personal Appearance Standards

Protection and

Emergency Service employees

Makeup and adornment will conform with standards currently in effect for the United Vistas Cluster (see attached).

All Others

Makeup and adornment will conform to the aggregate standards from the Rotary Club and the New Ideas Corporation in Desertville, and the state Division of Natural Resources. These include the following provisions (specify).

New Employee Packet

NOTE: The required Condition of Employment Statement (DO #43, Exhibit A) *must* be signed prior to the employee's appointment date.

1. A letter from a park representative (superintendent, supervisor, uniform coordinator, or uniform program administrator) containing the following information:

- the amount of the employee's allowance;
- the employee's uniform account number;
- the minimum uniform the employee is expected to acquire;
- a statement emphasizing the need for accurate sizing in accord with instructions found on the uniform program website;
- a statement emphasizing the need for prompt submission to assure that the order will arrive as quickly as possible;
- instructions on how to access the uniform program website; and
- notification that the order will be shipped to the park, not to the employee's current or future residence.

2. A set of park standards (see above).

3. A paper copy of the ordering screen from the NPS uniform program website.

5. ACCOUNTABILITY

Employee Performance and Conduct

Managers and supervisors have an affirmative obligation to ensure that their employees understand all appearance requirements and that they have all the forms and documents necessary to order uniforms. Managers and supervisors are held to the same performance and conduct standards as the uniformed employees whom they supervise, so it is essential for managers and supervisors to set the correct example of proper uniform and personal appearance.

Uniform appearance, personal appearance while in uniform, and employee bearing and demeanor are components of both an employee's performance and conduct. Managers and supervisors are both responsible and accountable for assuring that uniformed employees meet appropriate appearance and conduct standards. Employees may be appraised of satisfactory and non-satisfactory appearance and conduct through the performance evaluation process. Disciplinary action is also an option in cases of misconduct.

Condition of Employment Statement

The letter in D.O. #43 (Exhibit A) will be completed by each prospective employee **prior to appointment to any uniformed position, regardless of length of NPS service**, and placed in his or her official personnel folder to ensure that incoming employees understand that uniform and personal appearance standards are conditions of employment.

Uniform Ownership (see also, DO #43, Section 5.4.1.)

Employees are accountable for uniform components entrusted to their care. The badge and arrowhead patches protected by provisions of Title 18 USC 641 and 701, and Title 36 CFR Part 11.

Lost, stolen or unserviceable badges must be reported to the issuing officer as soon as possible. Under certain conditions, the employee may be required to pay for replacement badges (see DO #44, Personal Property Management), at market value. In the year 2000, that value was \$22. per badge.

Misconduct

The NPS supplement to the Federal Personnel Manual (FPM), Chapter 752, Subchapter 1.2B, provides basic guidance on actions that can be taken when an employee appears at work inappropriately uniformed or with uniform components missing. Other FPM sections apply to improper activities while in uniform:

First Offense

The supervisor should orally counsel the employee, pointing out his or her deficiencies, and grant annual leave or excused time to allow the employee to return home and report back to work properly uniformed. The supervisor should point out that proper uniform wear is a condition of the employee's position and that failing to be properly attired in the uniform means that the employee is not "ready, willing or able" to work.

Second Offense

Depending on the situation, the supervisor may want to repeat the steps outlined above. The exception would probably be the granting of annual leave or excused time; generally, the employee will be absent without leave until he or she reports to work in a proper uniform. An informal counseling memorandum of letter or warning may be warranted.

Third Offense

Progressive discipline and/or adverse action (i.e., a letter of warning or reprimand, suspension, or removal) will normally occur. In dealing with these issues as misconduct, the requirement that the employee be given an "opportunity to improve" does not apply.

SUBPART B: Program Administration

1. UNIFORM PROGRAM WEBSITE

Much of the following can also be found as pull-down help menus on the Uniform Program Website located at: amoebawww.den.nps.gov/amoeba/nps_uniform.nsf. The purpose of the Government portion of the website is to take care of the administrative processes including fund commitment, allowance authorization, and prevention of misuse of Government funds. The contractor part of the website handles the placement and tracking of orders, invoices, and annual closeout.

Automatic reporting systems associated with the websites make it easier for the NPS to monitor for fraud, waste and abuse, and allow designated agents to access real-time reports. WASO and regional uniform program managers can monitor for excessive quantities and items that are being ordered that are not part of the park's uniform standards.

2. ORGANIZATION CODES

The contractor is not permitted to establish new areas on the system without the specific approval of the NPS. Once the Service has established an organization code for a new area or park unit; it will then be entered in the uniform program website system by the system operator upon notification from the Servicewide program manager and the NPS contract representative. This will serve as the contract amendment allowing the contractor to accept orders.

3. ANNUAL PROGRAM CYCLE

The uniform program largely operates on an annual cycle based on the fiscal year (i.e., from October to September). During that cycle, there are a number of formal and informal dates which program administrators should keep in mind. The dates and times listed below may vary slightly from year to year.

- | | |
|-----------|---|
| October 1 | Allowance accounts for the new fiscal year are activated and ordering may begin. New uniform prices go into effect. |
| June 1 | Park uniform program administrators should remind managers and supervisors of the September shutdown of the contractor's operations so that the hiring of uniformed employees and/or ordering of uniforms can be coordinated to take place before or after. |
| July 1 | The park uniform program administrator should notify uniformed employees of the impending shutdown and advise them to expend the |

remainder of their uniform allowances by September 1st or as otherwise specified on the web site. **No portion of employee uniform Allowances may or will be carried forward to the new fiscal year.**

September 1-10

Deadline for submission of uniform orders for current fiscal year and for completion of any remaining outstanding business with the contractor. The specific date will be posted on the website annually.

September 15 Or as specified, consolidated uniform allowance report, which authorizes permanent employee uniform allowances for the coming fiscal year, sent to parks. **Prompt completion and return by October 1st is critical.**

September 20-31

Contractor closed 2 days for annual inventory, system update, accounting and other purposes. Specific date posted on the website annually.

4. ALLOWANCE SYSTEM

While it is not encouraged, the NPS recognizes that there are special cases where it is more cost-effective for the Government **AND** the employee to purchase a uniform from the contractor via a purchase order or other direct purchase process. This section does not apply to direct purchases; it applies to units and employees using the uniform allowance system.

Law sets \$400 as the maximum amount for initial and replacement allowances; lower amounts are set by policy. Beginning October 1, 2000, allowances are set at the following rates:

	Service	Field	Work	Allowance Amount
Permanent				
First Year	X	X	X	\$400.00
Second Year	X	X	X	\$400.00
Third Year	X	X	X	\$400.00
Fourth Year	X	X	X	\$400.00
Replacement	X	X	X	\$320.00
Occasional	X			\$160.00
Seasonal				
First Year	X	X	X	\$400.00
Fall Period	X	X	X	\$160.00
Spring Period	X	X	X	\$160.00
Maternity				
	X	X	X	\$350.00

Permanent Employees:

Initial Allowance \$400 (same as current)
 First 3 years' Replacement Allowances \$400/year (new)

Subsequent Replacement Allowances	\$320/year (same as current)
Occasional Wear Replacement Allowance	\$160/year (new)

Seasonal Employees:

Initial Allowance	\$400
Subsequent seasons	\$160/employment period

Maternity:

As needed	\$350
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1. The park or other administrative unit in which the employee works establishes a credit account with the uniform contractor via the "Uniform Allowance Authorization (UAA) process on the website. Employees then order uniform components against this credit account.
2. Employees may purchase only those uniform items included in the authorized uniform categories.
3. Occasional Wear Allowance: Only for employees that are required to wear the uniform less than 5 days per week on a consistent basis. Since employees in this category are typically in office environments, this category of allowance should be used for employees that are only expected to maintain a *Service Uniform*. Examples may include: central office employees, Public Affairs Officers, or employees in a technical services division. **Managers and supervisors cannot require employees to wear the uniform on a full time basis when this allowance is authorized.**

Use of Allowances

1. The uniform allowance is provided to help **defray** the cost of wearing a uniform. It is not intended to cover the total cost of all uniform items. Cleaning, tailoring, and upkeep are the responsibility of the employee.
2. The allowance amount authorized for each employee is to be used only by that employee. Since uniforms are procured with Government funds and since unexpended allowances reduce net uniform program costs to the Service, **ordering uniform items for other persons, with or without remuneration, is prohibited.**
3. **Employees are not required to expend the full amount of their allowances.** Unexpended allowances directly diminish the assessments made against the parks and administrative units where employees work. Unexpended funds **do not** revert to the contractor.
4. Employees are required to obtain uniform components sufficient to meet the standards contained in D.O. #43, but are not expected to expend their allowances unnecessarily. Replacement allowance levels have been structured to provide adequate funds for most employees, but it's also understood that others, particularly those working indoors, will not always need the full amount provided.

Apportionment

1. Both temporary and permanent employees will receive full initial allowances. Initial and replacement allowances **cannot** be reduced from the amount stipulated above. The website will not accept any allowance amounts other than those set by policy.
- 2) Permanent employees will receive full, annual-replacement allowances after the period of their initial allowance expires. Intermittent, temporary, seasonal, and other employees who do not wear the uniform every day will receive semi-annual allowance amounts.
3. Maternity uniforms are a special purpose uniform, and allowances for these can be authorized in addition to other allowances.

Definitions

1. A permanent employee is one whose appointment does not have a time limitation and who is in uniform on a regular basis. Includes career and career-conditional appointments, whether full-time, part-time, or subject-to-furlough.
2. A temporary or seasonal employee is one whose appointment has a time limitation of 1 year or less and who is in a uniform on a regular basis.

Initial Allowance

1. The initial allowance is provided to employees when they are first placed in a uniformed position. Initial allowances are a one-time allocation granted to employees to **help defray** the cost of purchasing required uniform items.
2. Initial allowances are also authorized when an employee returns to a uniformed position after having been out of uniform for **3 years** since the end of the last allowance period.
3. The entire initial allowance is to be given at one time to all employees, whether permanent, seasonal or intermittent.

Replacement Allowance

1. Replacement allowances are granted to employees to help defray the cost of replacing worn uniform items.
2. Replacement allowances begin following the completion of initial allowance periods.
3. Permanent employees receive their replacement allowances at the beginning of the fiscal year. Seasonal, temporary, and intermittent employees receive their allowances in pro-rated amounts according to the procedures established below.

Maternity Uniform

This allowance is also based on the fiscal year and provided in addition to other uniform allowances through a separate UAA. Only one allowance per pregnancy may be granted. The authorization can be issued any time during the fiscal year.

Computing Allowances

Establishing an Allowance

Allowance histories should first be completed for newly hired employees. The employee allowance history work sheet can be found on the website.

A UAA must then be completed on the uniform website, and submitted via the website. The website has a downloadable UAA form (in .PDF format). This form can only be used for in-park purposes. It cannot be used in place of the web screen nor faxed to the contractor for any purpose.

Initial Allowances

Permanent Employees: An initial allowance is authorized for the fiscal year in which the employee is first authorized to wear the uniform. The employee receives the full sum no matter when he or she goes into uniform, whether on the first, last or any other day of the fiscal year. The employee is due no other allowance for 1 year.

Temporary, Seasonal, and Intermittent Employees: An initial allowance is authorized for the first two full periods worked. Although the entire sum is received at one time, the employee is not entitled to a replacement allowance until he or she has worked part of or all of **two** periods. Period 1 begins on October 1st and ends on March 31st; Period 2 begins on April 1st and ends on September 30th. **Example:** An employee works June – August each year. She receives a full initial at the beginning of her first summer, but that initial is still in effect when she works her season in the following summer. Her first replacement will be authorized in her third summer. An intermittent employee who works fewer than 130 days in a fiscal year is considered to have worked one period; an intermittent who works more than 130 days has worked two periods.

Replacement Allowances

Permanent Employees: Permanent replacement allowances begin on the first day of the fiscal year following the expiration of the employee's initial allowance. A UAA must be submitted for the **first** replacement allowance. After that, the employee is "in the system" and is reauthorized annually through the consolidated uniform allowance report (CUAR) (see the section on closeout procedures).

Temporary and Seasonal Employees: Seasonal/temporary replacement allowances are issued semi-annually in order to prorate the amounts received in approximate accord with seasons worked. Half of the permanent replacement allowance is authorized for each period. Period 1 begins on October 1st and ends on March 31st. Period 2 begins on April 1st and ends on September 30th. The first replacement allowance for a temporary/seasonal employee begins after the employee has worked **all or part of two periods**. Replacement allowances should cover the anticipated length of employment within the fiscal year. An employee working any portion of a period receives the entire amount authorized for that period. These periods are for administrative purposes only and do not correlate with winter and summer uniform categories. Replacement allowance periods begin with the first day of the period during which the employee starts work and end with the last day of the period in which the employee terminates. If an employee works past the end of a fiscal year, one replacement allowance will end on September 30th and a

second will be necessary at the beginning of the new fiscal year to cover employment from October 1st until termination.

Intermittent Employees: The replacement allowance for intermittent employees is determined by anticipating the number of days in the fiscal year that the uniform will be worn. The appropriate number of periods is authorized based on the number of days worked; one period for employees who will work up to 130 days, two periods for intermittents who will work more than 130 days.

Maternity Uniform Allowance

Employees who have fully expended their maternity allowances may utilize the balance of their regular allowances to buy maternity components.

Terminations and Transfers

All Employees

When any employee transfers, terminates or otherwise no longer requires a uniform, initiation of the Personnel Action (SF-50) will automatically terminate the employee in the uniform allowance system.

The contractor is **only required to ship items as long as the authorization is active.**

Permanent Employees

A park or administrative unit receiving a transferred employee **must** submit a UAA to the contractor to reactivate the authorization under the new organization code.

Temporary, Seasonal, and Intermittent Employees

Under the semi-annual payment schedule, an employee who terminates and is rehired **within a fiscal year** will be reactivated automatically by the contractor upon receipt of a new UAA. The new total (i.e., the remaining balance plus the new authorization) will be activated under the appropriate organizational code. Balances for employees not rehired within the same fiscal year will be cancelled.

Adjusted Allowances

An employee who received an initial allowance at a past initial allowance rate who goes back into uniform following a break of **more than 3 years** is entitled to a one-time initial allowance adjustment in the amount of the difference between the two initials.

Employee Claim

1. Claims for a uniform component damaged in a work-related incident or through an event or circumstance beyond the employee's control may be handled through an adjustment to the employee's allowance if the component was acquired with Government or personal funds through the uniform allowance system.
2. The UAA with the adjusted initial amount must be accompanied by a justification signed by the Superintendent or unit manager. The UAA and justification must be sent to the regional uniform coordinator for review and approval. If approved, the regional uniform coordinator will forward the UAA and justification to the uniform contractor.

5. UNIFORM PROCUREMENT PROCESS

Ordering

1. The entire uniform authorization and ordering process is automated on the NPS Uniform Website. Paper forms can be downloaded from this website for any administrative use (remote duty stations without World Wide Web access; record copies), **but all submissions to the contractor MUST be submitted electronically via this website.** All audits, reports and tracking occur on this website; therefore the records on this database must be complete.
2. The contractor **cannot** enter UAA's or employee orders from their terminals. The contractor cannot accept telephone or facsimile orders. **NOTE: Although the UAA requires entry of the full social security number, the full number is only used to verify employment. The contractor only receives the first seven digits of the social security number for use as the employee account number.**
3. Incorrect sizing is a common ordering problem. Current measurements should be entered on each order form. General sizing information is provided on-line; specific details can be found beside each item entry.
4. Information on making special orders can be found on-line.
5. **New Employees:** Each new permanent and seasonal employee should receive basic information and an ordering packet described in R.M. #43, Subpart A, Section 4. Advance transmittal of the packet will significantly shorten uniform delivery times and minimize confusion on which items to order.

Payment

1. Personal funds must be included with orders for amounts in excess of the employee's current uniform balance. Payments by credit card must be entered on-line on the order screen (this process is covered by the same safeguards and security methods used throughout the World Wide Web and is subject to all of the laws protecting against credit card fraud). The minimum amount that can be charged to a credit card is \$5.
2. When paying by check or money order, copy the order number from the screen on to the check/money order and mail it to the contractor. Order processing will not begin until the check/money order is received by the contractor.
3. Alterations must be paid for with personal funds.
4. Cash-on-delivery orders will not be accepted by the contractor.

5. The uniform contractor is authorized to charge employees for checks that fail to clear due to insufficient funds.

Order Fulfillment

Orders and authorizations are handled by the contractor on a first-in, first-out basis contingent on **date and time of receipt**.

Completion

1. The contractor is required to fill orders for components within standard size ranges within 15 working days unless an item is on backorder. Every effort is made to assure sufficient inventory on hand to minimize backorders. Backorders are nonetheless, unavoidable. When they occur, the contractor will notify the employee of the expected date of shipment on-line and/or on the packing slip for the balance of the order.
2. Deliveries for special, made-to-measure items outside normal size ranges require a minimum of 45 days.

Receiving

1. The contractor will absorb the value of packages sent by the contractor but not received by the park.
2. Once received, shipments are the responsibility of the park until signed for by the employee. A report of survey is required when a shipment is received by the park but lost before the employee receives it. The park must issue a new uniform allowance authorization for the full amount of the items lost. The report of survey number must appear in the remarks section of the new authorization.
3. The receiving employee must "sign for" the shipment by immediately going on-line and acknowledging receipt in the appropriate place on the website. Automatic acknowledgement occurs 30 days after the ship date in order to allow contractor payment. The lag time between the shipment carrier's receipt date and the employee's acceptance is tracked. This will give employees a check on the amount of time that their order sat in the mailroom before they were notified.

Cancellations and Terminations

1. The park will take one of the following actions when an order is received for an employee who has transferred or has been terminated:
 - return it to the contractor;
 - forward it to the employee if there is a reasonable expectation that he or she will be returning to duty; or
 - forward the shipment to the employee's current park duty station.

2. If an order is cancelled, the shipment must be returned to the contractor; the contractor should be notified by phone.
3. Under no circumstances shall the park retain a terminated employee's uniform shipment for use by other employees.

Exchanges and Refunds

1. The employee must return all uniform items requiring refunds or exchanges to the contractor within 10 days of receipt.
2. The park will absorb the value of packages sent to the contractor by the park but not received by the contractor. All returns should be sent by certified mail to ensure that they can be tracked if lost.
3. **Exchange forms** supplied by the contractor with the shipment must be used for all exchanges and returns. Return addresses must be entered in the space provided at the bottom of the exchange form.
4. Return shipment boxes should be prepared as securely as possible to prevent merchandise from being damaged upon return. All **hats must be double-boxed** to prevent damage during shipment. The contractor is not required to accept responsibility for returned hats that are damaged due to improper packing.
5. **Exchanges cannot be made of any garment or other component that has been worn, washed, or altered unless the garment is defective.** Garments and other uniform components that have failed as a result of normal wear and tear are not considered to be defective.
6. Credit adjustments will be made to the employee's account for items ordered and charged against the employee's allowance.
7. The contractor will reimburse employees for items purchased with personal funds.

6. DIRECT PURCHASES

PRIVATE

Uniform Components Covered by Allowances

1. Parks are permitted to directly purchase uniform items from the contractor to meet those special needs not covered by the allowance system. **Direct purchases cannot be used to supplement the uniform allowance.** Issuance of Government-owned uniforms to an employee who has been authorized a uniform allowance is an illegal augmentation of the employee's salary. Such purchases have been expressly prohibited by the Department of Interior, Inspector General and may be in violation of 18 U.S.C., Section 641.

2. Uniforms and components may be purchased directly from the contractor, subject to the above restrictions via a Government purchase-card. Purchases must be approved by the superintendent (or other designated official) and the order must be placed by a warranted contract officer. Direct purchases must be accompanied by an appropriate justification in the “remarks” block on the order screen including a statement why the employee allowance system is not appropriate. Government purchase card orders will be treated the same as employee personal credit card purchases; third party drafts and purchase orders will be handled by the contractor the same as orders that use checks or money orders.

Uniform Components Not Covered by Allowances

Arrowhead Patches: Supplemental arrowhead patches are available for limited use and in an official capacity. To obtain additional patches:

- Prepare a purchase request through IDEAS with a justification and submit to Central Supply's Brentwood or Rocky Mountain facilities.
- Law and regulation prohibit unofficial uses.

Name Tags: Several types of name tags and bars are provided directly to parks by a subcontractor to the uniform contractor:

Uniform name bar	The standard gold name tag worn on the uniform.
Service name bar	A name bar with an arrowhead symbol which is worn on civilian clothing to identify the wearer as a representative of the NPS who is acting in official capacity. It is not worn on the uniform.
Sign language name bar	The sign language interpreter bar is worn by employees who know or are learning sign language.
Language name bar	Identifies employees as language interpreters to visitors.

To obtain one or more of these name tags:

- Prepare a delivery order against the current contract on an Optional Form 347 or NPS Form 10-3470 and send to the uniform contractor.

Badges and “USNPS” Collar Insignia: provided for use on uniforms. To obtain a badge or “USNPS” insignia:

- Prepare a DI-1 and submit to Central Supply's, Brentwood or Rocky Mountain facilities.

7. PROPERTY MANAGEMENT

See D.O. #44, Property Management for:

- disposal of retired badges and insignia;
- Government-owned property issued to employees, such as PPE, and Government-purchased work apparel;
- accountability for the shipments

Personal Property: Items procured under the uniform allowance system are considered to be the employee's personal property once delivery has been formally made to the employee. The Government, however, has a vested interest in the property since the allowance comes from appropriated funds. The uniform contract therefore, requires delivery and receipt by the park. Parks are accountable for all uniforms until delivered to the ordering employee.

All Purchases, Employee Responsibilities:

- Check shipments to verify that the contents match the packing slip and order.
- Enter acceptance on the uniform website.

Employee Claims

1. Claims for a uniform component damaged in a work-related incident or through an event or circumstance beyond the employee's control may be handled through an adjustment to the employee's allowance if the component was acquired with Government or personal funds through the uniform allowance system. See RM #43, Subpart B, Section 4, "Adjusted Allowances," and "Employee Claims."

2) Claims for a uniform component or protective equipment procured with park funds will be handled through standard tort procedures.

8. DOCUMENTS AND REPORTS

See help menus on the uniform website.

9. CLOSEOUT

Each year, the contractor is required to close down for several weeks in September at the end of the fiscal year to complete several business and contractually required tasks. These include, but are not limited to, completion of all concluding fiscal year orders and exchanges, a complete inventory of all the uniform components in the warehouse, preparation of required reports for parks and central offices, closeout employee accounts and creation of new accounts, and final balancing of books.

The contractor must accordingly suspend all business so that these tasks can be completed by the end of September. Once the website is locked for closeout, **no exceptions to this ruling can be granted.**

Park Responsibilities

Employees should be advised of the impending fiscal year closeout in July. Since price changes occur with the new fiscal year, it is particularly important that employees purchase items at this year's prices with funds remaining in their current allowances.

Supervisors and managers should also be reminded of closeout to expedite hiring of uniformed summer employees before or after the September.

Procedures

1. Uniform allowances authorized for the concluding fiscal year cannot be applied beyond the end of the fiscal year. Uniform orders placed against current allowances must be entered on the website no later than the closeout date posed on the website. After that date, the website ordering system is locked.
2. Existing backorders are charged against current allowance balances and are shipped as soon as the contractor receives the merchandise.
3. All outstanding dealings with the contractor must be resolved before the end of September. Credits should be applied, refunds made, and exchanges completed as soon as possible.

Establishing Accounts for New Fiscal Year (Permanent Employees)

1. Individual allowance authorizations for permanent employees currently on the rolls are not required for the new fiscal year. Instead, each park receives a CUAR via the uniform website. This must be certified on-line as indicated in the on-screen instructions. This must be done on or before September 31st or as otherwise instructed on the CUAR screen.
2. All necessary changes or deletions to existing information should be made on the CUAR.
3. Accounts for permanent employees for the new fiscal year are established and activated from the information furnished by this report.

Establishing Accounts For New Fiscal Year (Temporary, Seasonal, and New Hire Employees)

1. New UAA screens must be completed for all temporary, seasonal and/or new employees (including transfers) to establish their uniform accounts for the new fiscal year.
2. Authorizations must be computed according to the semi-annual schedule and must accompany the consolidated report to the contractor.

10. PROPOSALS AND FEEDBACK

Director's Order, Reference Manual, and Garment Revisions

1. Recommended revisions which are not submitted according to the following procedure or which are incomplete will not be accepted for review.
2. Information must be submitted via E-mail to the regional uniform program manager; all information must be complete.
3. Regional uniform managers will review to determine: a) Servicewide need and applicability, and b) need for referral to a subject-matter specialist. Subject-matter review may include members of advisory committees, employees in duty-specific disciplines (e.g., boating, backcountry), or consultant contractors. Specific reasons for either supporting or opposing the proposal must be appended to it before it is forwarded. The employee will receive a response to the suggestion within 60 days of submission.
4. After any additional review, the Servicewide uniform committee will review the proposal. Action may have to wait for the annual committee meeting. Some factors in Servicewide adoption might include:
 - field demand;
 - cost/benefit including potential for other agencies in the contract to adopt;
 - compliance with the NPS image as stated in D.O. #43 and R.M. #43;
 - National Leadership Council support
 - inventory costs;
 - contracting officer and contractor's assessment on the proposal's feasibility.

Wear Test

If a field wear test is warranted, the Servicewide uniform manager will take the following steps:

- Seek candidates for the wear test through calls to regional uniform coordinators.
- Prepare evaluation instructions, order samples, and arrange to have evaluations and samples sent to testers through park uniform coordinators.
- Call testers individually to assure that they understand instructions.
- Follow up on evaluations at end of test to assure all are forwarded.
- Prepare a report of findings for contracting officer, contractor, branch and division chiefs, and affected program specialists.

The Servicewide uniform manager will meet with contracting officer and contractor to determine if the item should be phased in or if a buy-out of existing inventory should be considered.

11. Problem Resolution

1. **All problems will be resolved at the lowest level possible.**
2. Information must be submitted via E-mail to the park uniform coordinator.

Procedures

1. Employees will work with their park uniform program administrator or uniform program coordinator to resolve any problems with the contractor through direct contacts. Park uniform program administrators or coordinators are the **only** persons who will call the contractor's customer service representatives to resolve problems.
2. Problems that can not be resolved in this manner will be documented for further action. The employee should prepare a document with the following information:
 - employee's name and phone number;
 - his or her uniform account number;
 - date the document was prepared;
 - park address; and
 - **specific** nature of the problem (e.g., order number, date of order, dates of calls to the contractor, and exact description of component, including employee size).
3. The park uniform coordinator or park uniform program administrator will review the complaint or problem. That person will add the following information:
 - his or her name and phone number;
 - the date of review;
 - **specific** information regarding efforts to resolve the problem at the park level; and
 - reason the problem was sent to the regional uniform manager for resolution.
4. The regional uniform manager will review the complaint or problem. If the regional manager is able to resolve the problem, he or she will return the complaint or problem document to the park uniform coordinator, who will in turn forward it to the employee. If not, the regional uniform manager will add the following information, and expeditiously transmit it to the Servicewide uniform manager:
 - his or her name and phone number;
 - the date of review;
 - **specific** information regarding efforts to resolve the problem at the regional level; and
 - reason that the problem was forwarded to the Servicewide uniform manager for resolution.
5. The Servicewide uniform manager will review and will work toward a solution to unresolvable complaints or problems. Once the problem is resolved, the Servicewide uniform manager will prepare a report, attach it to the complaint or problem, and forward it to the regional uniform manager. The regional uniform manager will then forward the document to the park uniform coordinator who will in turn, forward it to the employee.

----- End of Reference Manual -----



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required Division Plans – Firearms Policy and Procedure	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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A. **Purpose.** To establish a firearms program that meets required proficiency standards as outlined in RM-9 as well as continuous individual and team tactical improvement. This document will outline Firearms Program organization, designated responsibilities and procedures and a process for documenting individual and team success.

B. **Scope.** This policy applies to all LEO’s of (_____National Park Unit).

C. **Authority.** Policy will be in compliance with 446 DM 10 and RM-9 Ch. 30-Firearms and Ch.-8-Firearms Training Qualifications, Standard Carry, DO-44; Personal Property Management.

D. **Policy.** Park unit will provide written directives clearly delineating guidelines and procedures to be followed by LEOs for the maintenance, retention, qualification , inventory and destruction of agency or approved personal firearms..

E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Policy should define procedures for inventory, assignation, maintenance, etc. of all types of firearms utilized in the park unit.

F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.

(2) **Firearms Program Manager/Tactics Coordinator:** Employee(s) who is responsible for the management of the park Firearms Program.

G. **Standards, Requirements and Procedures.**

(1) Park unit may want to assign an employee(s) who is responsible for the management of the Firearms Program. General duties may include:

- (a) Provide leadership and direction for the program;
- (b)

H. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



Authorization to Carry Personal Weapons

I hereby request authorization to carry my personally owned weapon as described below in lieu of a NPS issued weapon while in performance of my duties as a Park Ranger.

Make:	Model:
Caliber:	Serial Number:

I understand the above weapon will be carried and used as specified in RM-9, Law Enforcement Policy and Guideline. I agree to maintain my weapon to National Park Service standards and not make any unauthorized alterations. I also understand that the National Park Service is not responsible for damage or loss of a personally owned weapon.

 Employee's Signature

 Date

This weapon has been inspected and is in safe operating condition. It has not been altered or modified.

 Gunsmith's Signature

 Date

 Business Address

 Telephone Number

NCIC Check:

 Communication Supervisor's Signature

 Date

Successful firearms qualification:

 Firearms Instructor's Signature

 Date

 Supervisor's Signature

 Date

You are hereby authorized to carry your personally owned weapon as described above.

 Chief Ranger's Signature

 Date



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required Division Plans - Electronic Control Device Record Keeping	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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A. **Purpose.** To establish a record keeping program for documenting all Electronic Control Devices (ECD) uses to include required forms and when to use them.

B. **Scope.** This policy applies to all LEO’s of (_____National Park Unit) who carry ECD’s.

C. **Authority.** Policy will be in compliance with 446 DM 22 and RM-9 Ch. 32-Electronic Control Device Programs.

D. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Division Plan should clearly articulate the methods and procedures for ECD record keeping. Appendix should be included showing what paperwork needs to be maintained (and where).

E. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.

F. **Definitions:**

(1) **Electronic Control Device (ECD):** A handheld conducted energy device designed to transmit a disruptive electrical impulse to a target.

(2) **Probes:** Projectiles fired from an ECD in order to transmit an electrical impulse to a target.

G. **Standards, Requirements and Procedures.** Office procedures for the handling of

evidence will include the following:

(1) Park unit may want to assign an employee(s) who is responsible for the management of the Firearms Program. General duties may include:

- (a) Provide leadership and direction for the program;
- (b)

H. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.

(1) Offices will document and maintain the following:

- (a) a record of all ECDs and ECD cartridges issued, to include serial numbers and LEO identifying information;
- (b) a record of all ECD and ECD cartridge damage, repair, or loss;
- (c) a record of all ECD certification and training;
- (d) a record of annual ECD inspection; and
- (e) a record of all unintentional ECD deployments.

(2) In addition to standard bureau or office “use of force” and/or incident reporting requirements, bureaus and offices will:

(a) when available, download and maintain device-specific use history reports for all ECD deployments, excluding those associated with authorized training and demonstrations.

(b) report “use of force” deployment of an ECD in accordance with the requirements outlined in Departmental Manual, 446 DM 17, “Serious Incident Reporting”.



National Park Service
Originating Office (Chief Ranger's Office, etc.)
Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT	EFFECTIVE DATE
Required SOP's- General SOP Template	Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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- Purpose. State the intent of the policy
- Scope. Identify who or what is covered by the policy
- Authority. Authority to perform a program responsibility is generally assumed. If the authority is derives from a specific or special Act, an authority statement should be included.
- Policy. Include a brief statement(s) of the requirements, procedures, actions, etc.
- Objectives. List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable.
- Responsibility. A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way.
- Definitions. Terms for activities may require definitions if technical terms are used.
- Standards, Requirements and Procedures. Statements describing the sequence of processing and decision making. Variations in procedures at headquarters and in the field, alternative methods, legal questions and other significant information should be covered in these subparagraphs.
- Reports and Forms. Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Restraint and Prisoner Transport	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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This SOP should establish a working policy for the physical detention and transport of prisoners, as well as juveniles and foreign nationals

- A. **Purpose.** To establish policy for standard procedures for the arrest, detention and transport of individuals including juveniles and foreign nationals.
- B. **Scope.** Identify who or what is covered by the policy.
- C. **Authority.** Policy will be in compliance with RM-9 Ch. 12-Restraint and Prisoner Transport; Juvenile Delinquency Act, 18 U.S.C. 5031, et seq. RM-9, Ch.-25-Foreign Nationals and Diplomatic Immunity.
- D. **Policy.** Park unit will provide written directives clearly delineating guidelines and procedures to be followed by LEOs in situations involving the arrest, transportation and detention of individuals, including juveniles and foreign nationals.
- E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. The SOP should allow the LEO to be able to know where and how transport all types of prisoners, ie: local jail locations, appropriate paperwork, notifications etc. LEO’s should understand when they can or cannot physically arrest juveniles and foreign nationals as well as procedures for such arrests.
- F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way
- (1) Office LEO’s: are responsible for complying with established policy and procedures for the arrest, transport and detention of individuals, including juveniles and foreign nationals.
- G. **Definitions.** Terms for activities may require definitions if technical terms are used.

(1) Law Enforcement Officer (LEO): A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.

(2) Short Term Holding Facilities: Facilities or rooms in which individuals are held less than 72 hours before release or transfer to long-term detention facilities.

(3) Juvenile. For purposes of federal criminal violations, a juvenile is a person who has not attained his eighteenth birthday or, for the purposes of proceedings and disposition for an alleged act of juvenile delinquency, a person who has not attained his twenty-first birthday.

(4) Juvenile Delinquency. The violation of a law of the United States committed by a person prior to their eighteenth birthday, which would have been a crime if committed by an adult.

H. **Standards, Requirements and Procedures**. Office procedures for the arrest and transportation of prisoners, including juveniles and foreign nationals should include the following:

(1)

(2)

I. **Reports and Forms**. Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
Originating Office (Chief Ranger's Office, etc.)
Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT	EFFECTIVE DATE
Required SOP's- Evidence Management SOP	Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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A. **Purpose.** To ensure consistent, accurate, secure handling and tracking of evidence.

B. **Scope.** Identify who or what is covered by the policy.

C. **Authority.** Policy will be in compliance with 446 DM 7 and RM-9 Ch. 13-Evidence Management.

D. **Policy.** Park unit will provide written directives clearly delineating guidelines and procedures to be followed by LEOs for the secure handling and tracking of evidence.

E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Policy should ensure that whereabouts of evidence is easily retrieved through the case file as well as the evidence log with a copy of the chain of custody form located with the case file as well as the original form with the evidence. Consider what would happen if the case file was lost, how would the evidence be identified and properly handled.

F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law and responsible for seizing evidence.

(2) **Evidence Custodian:** LEO assigned by the park unit to be responsible for the documenting, tracking, inventory and destruction of all evidence seized by park LEO's.

G. **Definitions.** Terms for activities may require definitions if technical terms are used.

(1) Short Term Evidence Locker: A temporary locker utilized by the LEO to store evidence until the evidence custodian can inventory and document for long term storage.

(2) Long Term Evidence Locker: Secure storage facility that limits access and is sufficient in size and construction to safely accommodate park evidence storage needs.

H. **Standards, Requirements and Procedures.** Office procedures for the handling of evidence will include the following:

(1) Original chain of custody form will remain with the evidence

(2) Copy of chain of custody form will be placed in case file for reference.

(3) Evidence will be logged into the office log book by LEO when placed in short term storage.

(4) Evidence packaging:

(a) Controlled substance and paraphernalia

(i)

(ii)

(b) Non controlled substances

(i)

(ii)

(5) Evidence custodian will.....

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Impoundment of Property	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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- A. **Purpose.** To establish policy for standard procedures for the impoundment of motor vehicles vessels, aircraft or other property.
- B. **Scope.** Identify who or what is covered by the policy.
- C. **Authority.** Policy will be in compliance with RM-9 Ch. 14- Impoundment of Property.
- D. **Policy.** Park unit will provide written directives clearly delineating guidelines and procedures to be followed by LEOs in situations involving the impounding of property.
- E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Policy should make clear the allowance for searching a vehicle being impounded and when vehicles are to be impounded.
- F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way
- (1) **Office LEOs:** are responsible for complying with established policy and procedures for the impounding of property with park unit.
- G. **Definitions.** Terms for activities may require definitions if technical terms are used.
- (1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.
- H. **Standards, Requirements and Procedures.** Office procedures for the impounding of motor vehicles, watercraft, aircraft and other property will include the following:

I. **Reports and Forms**. Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Internal Investigation	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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A. **Purpose.** To ensure consistent fair and accurate handling and tracking of complaints against LEOs.

B. **Scope.** Identify who or what is covered by the policy.

C. **Authority.** Policy will be in compliance with RM-9 Ch. 16- Internal Investigations and Regional Complaint Procedures.

D. **Policy.** Park unit will provide written directives clearly delineating guidelines and procedures to be followed by supervisors for the tracking and handling of complaints against LEOs.

E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. SOP should spell out when and how to contact OPR or the Regional Office for category determination and process. The SOP should allow for impartiality and fairness in the way all investigations are handled.

F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law and responsible for internal investigations.

(2) **Office of Professional Responsibility (OPR):** Is the central NPS office responsible for receiving, classifying, tracking, assigning, investigating and reviewing misconduct investigations at the National level.

G. **Definitions.** Terms for activities may require definitions if technical terms are used.

(1) **Complaint:** An allegation against an employee perceived by the complainant to be an act or an omission, which if proven true, would be considered employee misconduct.

(a) **Administrative:** A non criminal investigation related to the conduct actions, or omissions of an employee

(b) **Criminal:** An investigation related to alleged violation of Federal, State, or local laws or regulations.

(2) **Category I:** Complaints that are considered the most serious types of complaints and must be reported and investigated as prescribed in RM-9, Ch. 16.

(3) **Category II:** Complaints that are less serious in nature in comparison to a Category I, however, they must be investigated as outlined in RM-9, Ch. 16.

H. **Standards, Requirements and Procedures.** Office procedures for the handling of complaints will include the following:

(1) **Park/Area:** All employee complaints against law enforcement personnel will be documented and reviewed by the Park Senior Law Enforcement Officer (SLEO) and an acknowledgement will be sent to the complainant within 5 business days.

(2) Upon receiving a complaint the SLEO will send a completed IMR Complaint Reporting Form (See attached form) to the IMR Chief Rangers Office inbox (IMR-CRO@nps.gov). The tracking form should be accompanied with a copy or the complaint or a written synopsis of the complaint when received verbally.

(3) **Category I** complaints will result in the following procedures:

(a)

(b)

(c)

(4) **Category II** complaints will result in the following procedures:

(a)

(i)

(ii)

(b)

(i)

(ii)

(5)

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.

H.



National Park Service
Originating Office (Chief Ranger's Office, etc.)
Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP's- Juvenile Investigation	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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The SOP should describe the handling of juvenile offenses to include what state agencies will take NPS juvenile cases in your park location.

A. **Purpose.** To ensure that all enforcement actions taken by LEOs that involve juveniles will be in strict accordance with applicable Federal and State law, pertinent court decisions and related legal procedures.

B. **Scope.** Identify who or what is covered by the policy.

C. **Authority.** Policy will be in compliance with RM-9 Ch. 22- Juvenile Investigations and the Juvenile Delinquency Act, 18 U.S.C. 5031, et seq

D. **Policy.** Park unit will provide written directives clearly delineating guidelines and procedures to be followed by LEOs when confronted with juvenile delinquency.

E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. The SOP should clearly spell out the process for arresting juveniles and dealing with juveniles in other situations relevant to the park unit.

F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law and is responsible for the detention of juveniles.

G. **Definitions.**

(1) Juvenile: Under Federal authority, an individual who has not yet reached the age of 18. This may vary under state or local authority.

(1) Juvenile Delinquency: A violation of Federal criminal law committed by a juvenile, which would have been a crime if committed by an adult.

H. **Standards, Requirements and Procedures.** Office procedures for the handling of juvenile contacts will include the following:....

(1)

(a)

(b)

(c)

(2)

(a)

(i)

(ii)

(b)

(i)

(ii)

(3)

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Use of Force Reporting	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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The SOP should describe the use of force reporting procedure in your park unit.

- A. **Purpose.** To ensure consistent, accurate and timely reporting of all use of force applications by LEOs.
- B. **Scope.** Identify who or what is covered by the policy.
- C. **Authority.** Policy will be in compliance with 446 DM 20 Use of Deadly Force, RM-9 Ch. 10- Use of Force and RM-9 Ch. 11- Use of Deadly Force.
- D. **Policy.** Park unit will provide written directives clearly delineating procedures for documenting and reporting all use of force and display of weapons applications by LEOs.
- E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Objective should be to clearly spell out how rangers and supervisors are to handle all use of force reporting within your park unit. Parks may want to develop a report form for rangers to add to incident case reports.
- F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way
- (1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.
- G. **Definitions.** Terms for activities may require definitions if technical terms are used.
- (1) **Display:** The removal of a weapon from its holster, case locking mount or other normally stored location or position in anticipation of its use in a potential conflict.
- H. **Standards, Requirements and Procedures.** Office procedures for documenting

and reporting all use of force displays of weapons applications by LEOs will include:....

(1) Any use of force that results in serious injury or death must be reported immediately to a commissioned supervisor.

(a)

(b)

(c)

(2)

(a)

(i)

(ii)

(b)

(i)

(ii)

(3)

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Pursuit Driving	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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This SOP should establish a working policy for vehicle pursuits in the park unit.

A. **Purpose.** To establish policy for standard procedures for pursuits conducted in the park.

B. **Scope.** Identify who or what is covered by the policy.

C. **Authority.** Policy will be in compliance with RM-9 Ch. 18, Emergency Response, Pursuit and Roadblocks.

D. **Policy.** Park unit will provide written directives clearly delineating guidelines for initiating and terminating vehicle pursuits within the park.

E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable.

F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way

(1) **Office LEO’s:** are responsible for complying with established policy and procedures for the use of speed detection devices.

G. **Definitions.** Terms for activities may require definitions if technical terms are used.

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.

(2) **Pursuit:** the immediate chase by vehicle of a person who is operating another vehicle who has committed or is reasonably suspected of committing an offense and is attempting to elude apprehension, with

the pursuing commissioned employee following the suspect immediately thereafter

H. **Standards, Requirements and Procedures.** Office procedures for initiating pursuits and the execution and termination should include the following:

- (1)
- (2)

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Selective Traffic Enforcement	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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The SOP should describe the procedures used in the park unit for selective traffic enforcement like DUI check points etc.

- A. **Purpose.** To provide for selective enforcement programs targeting problem areas and activities that negatively impact the park unit.
- B. **Scope.** Identify who or what is covered by the policy.
- C. **Authority.** Policy will be in compliance with RM-9 Ch. 17.
- D. **Policy.** Park unit will provide written directives clearly delineating procedures for documenting and reporting all use of force and display of weapons applications by LEOs.
- E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Objective should be to clearly spell what areas selective traffic enforcement may be utilized and what is hoped to be gained by such, ie: reduced DUI’s on historical dates of high incidents etc.
- F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way
- (1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.
- G. **Definitions.** Terms for activities may require definitions if technical terms are used.
- (1)
- H. **Standards, Requirements and Procedures.** Office procedures planning and executing selective traffic enforcement will include the following:....

(1) Spell out any requirements from local AUSA or case law. Should also detail planning for checkpoints to include traffic patterns, arrest and transport procedures etc.

(a)

(b)

(c)

(2)

(a)

(i)

(ii)

(b)

(i)

(ii)

(3)

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Specialized LE Operations- Equipment and Tactics	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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This SOP should establish a working policy for any specialized LE operations such as SRT or specialized equipment such as for wildlife management etc.

- A. **Purpose.** To establish policy for standard procedures and court requirements for use of speed detecting devices.
- B. **Scope.** Identify who or what is covered by the policy.
- C. **Authority.** Policy will be in compliance with all applicable policy guidance from DOI or NPS.
- D. **Policy.** Park unit will provide written directives clearly delineating guidelines and policy for specialized weapons, teams tactics, etc.
- E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable. Consider if the park unit has a SRT, spell out when the team would be used, requirements for the team etc. Also consider when specialized equipment may be used, such as for wildlife management or dispatching animals, reference RM-9, Ch.-27.
- F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way
- G. **Definitions.** Terms for activities may require definitions if technical terms are used.

(1) **Law Enforcement Officer (LEO):** A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.

H. **Standards, Requirements and Procedures.** Brief description of what this will outline:

(1) Detail SOP for tactic, team, equipment etc.

(2)

I. **Reports and Forms.** Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



National Park Service
 Originating Office (Chief Ranger’s Office, etc.)
 Series (Chief Ranger Standard Operating Procedures)

TITLE or SUBJECT Required SOP’s- Speed Detecting Devices	EFFECTIVE DATE Date of Initiation
Chief Ranger Signature/Date	Additional Signature Signature/Date

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This SOP should establish a working policy for the use of speed detecting devices in the park unit.

- A. **Purpose.** To establish policy for standard procedures and court requirements for use of speed detecting devices.
- B. **Scope.** Identify who or what is covered by the policy.
- C. **Authority.** Policy will be in compliance with RM-9 Ch. 17, 2.4 Radar and Laser Speed Detecting Devices.
- D. **Policy.** Park unit will provide written directives clearly delineating guidelines and court procedures to be followed by LEOs when using speed detecting devices.
- E. **Objectives.** List or briefly state the efforts to be achieved with regard to the program, policy, or instructions, when applicable.
- F. **Responsibility.** A responsibility statement generally describes the organizational and/or program assignments, especially if the responsibility for the function is divided in any way
- (1) Office LEO’s: are responsible for complying with established policy and procedures for the use of speed detection devices.
- G. **Definitions.** Terms for activities may require definitions if technical terms are used.
- (1) Law Enforcement Officer (LEO): A NPS law enforcement officer sworn and commissioned to enforce criminal statutes and authorized to carry firearms, execute and serve warrants, search, seize, make arrests and perform such duties as authorized by law.
- H. **Standards, Requirements and Procedures.** Office procedures for the use of speed

detection devices should include the following:

- (1) LEO's will be certified based on standards prescribed by the National Highway Safety Administration. Before and after shift calibrations tests will be conducted etc.
- (2)

I. **Reports and Forms**. Reporting requirements and forms required for implementing the directive should be identified. Due dates, documentation requirements, and how to obtain or access the reports and forms must be provided.



OL Implementation—Park/Unit Standards

Minimum Standards and Implementation Plan

Drafted June 17, 2011

I. Operational Leadership Mission

To more effectively accomplish the NPS mission by transforming safety from a discrete program to a leadership practice.

II. Definition

Implement: to put into practice, realize, execute, employ.

III. Purpose

The purpose of this plan is to provide minimum standards of Operational Leadership implementation and to help define what “OL implementation” implies. Operational Leadership is an integral program and work ethic and effective implementation is critical for the overall success of parks and the National Park Service.

IV. Responsibilities

Superintendent

Park Superintendent’s are responsible for the overall success and effectiveness of each park unit, and for the health and safety of their staff.

Park/Unit Chief Ranger

Chief Rangers are responsible for their respective Visitor and Resources Protection Division, the health and safety of their staff, and the overall success of the park in carrying out the NPS Mission.

Regional Chief Ranger (RM-9, Chapter 1, Section 5.9)

As the Region’s Senior Law Enforcement Official, this commissioned supervisory park ranger ensures that law enforcement operational activities are uniformly implemented in compliance with directives, policies and law.

V. Implementation Standards

The following standards are provided to provide guidance in effectively implementing Operational Leadership National Park Units. They should be considered minimum standards as other proactive or entrepreneurial approaches are encouraged. Providing a standard will allow define what it means for park management to have implemented Operational Leadership, and will allow for continuous improvement by establishing standards and monitoring progress.



There are three general areas that comprise Operational Leadership implementation are:

Training—Operational Assessment—Individual Evaluation

A park unit will be considered fully implemented when all of the following conditions exist.

1. OL Training Provided

Park management provides opportunities for all employees to maintain proficiency in Operational Leadership and risk management principles. Taking into account the significant turnover many parks experience, it would be difficult to maintain 100% of a park staff trained and proficient in OL.

The minimum standard for full OL implementation is **80% of the staff trained**, measured at the end of the each fiscal year.

Managers should also maintain proficiencies and participate in management-specific OL training to better facilitate implementation.

2. Operational Assessments

The minimum standard for conducting Operational Assessments are an annual **general risk assessment** ([Attachment —ORM Employee Survey](#)) and three **operation-specific risk assessments** ([Attachment —ORM Analysis Worksheet](#)) preferably conducted on the park unit's higher risk operations or activities. Employee surveys can be conducted in various ways to include "Survey Monkey", a free on-line service, or through collecting hard-copies and entering data in to an Excel spreadsheet ([Attachment —OL Implementation Tracking](#)).

All assessments should be recorded annually ([Attachment —OL Implementation Tracking](#)) and tracked over time to assess management and operational improvements.

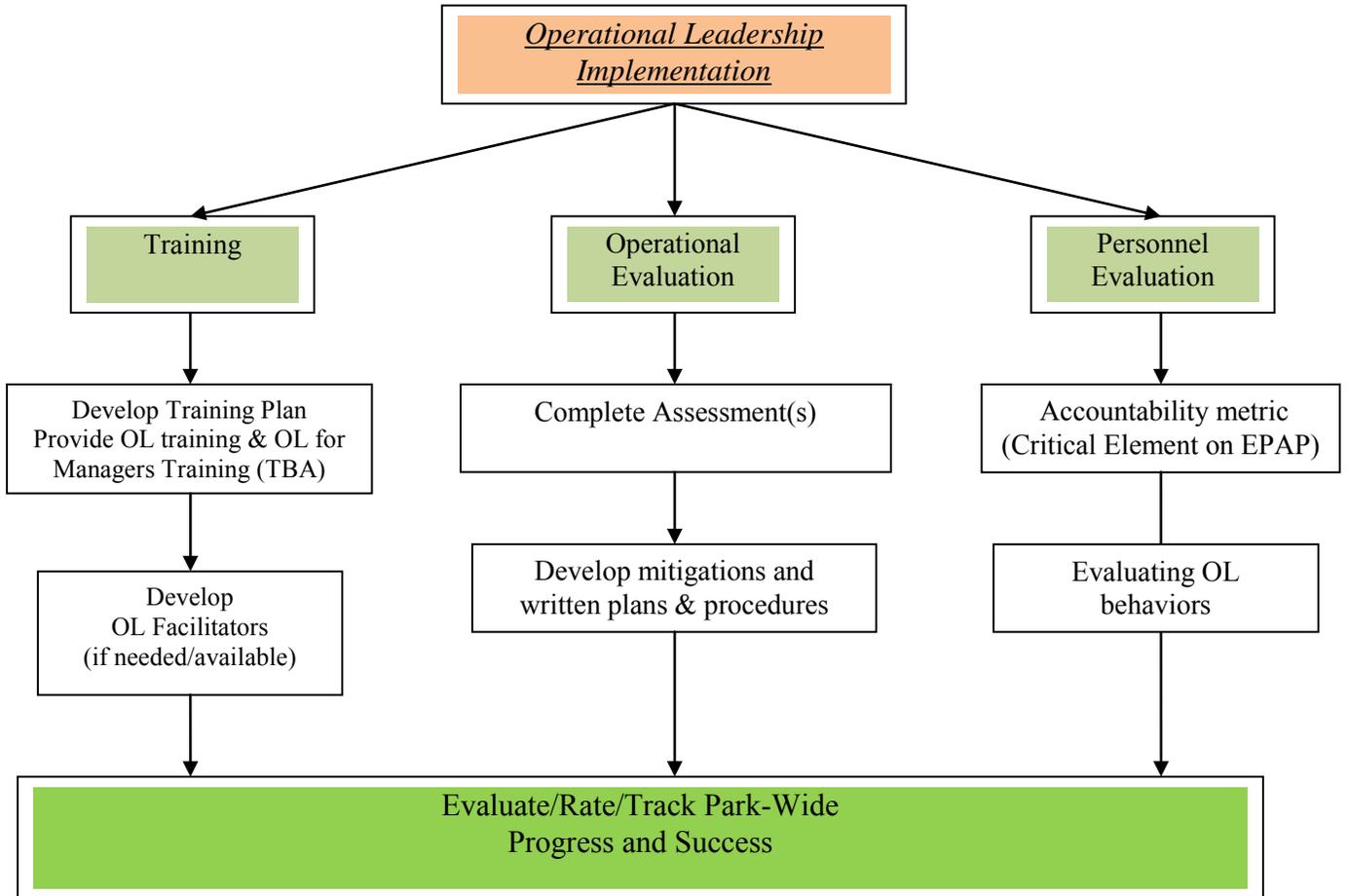
3. Personnel Evaluation

Personal OL commitment and understanding should be evaluated through the implementation of an OL Critical Element on individual performance plans for all park employees.

The minimum standard for a park unite to be considered fully implemented is **all employees "Fully Achieving"** on an established OL Critical Element ([Attachment—OL Critical Element-Standardized](#))



VI. Park Unit Implementation Process Flow Chart



VII. Attachments

- ORM Employee Survey
- ORM Analysis Worksheet
- OL Implementation Tracking
- OL Critical Element-Standardized



Park OL Implementation Briefing

For a Superintendent to be considered as having implemented Operational Leadership in their park unit, the follow Operational Risk Management principles must be applied. The minimum standards are outlined above.

1. Accept no unnecessary risks

- General Operational Risk Assessment conducted (self assessment)
- Evaluate operational risk; analyze (ORM process) and identify and mitigate top three higher-risk activities

2. Make risk decisions at the appropriate level

- Written and approved plans and procedures are established for 3 high-risk activities

3. Accept risks when benefits outweigh costs

- Risk and Gain are clearly defined and evaluated based on programmatic, park, and NPS objectives for top three high risk activities

4. Integrate ORM into doctrine and planning at all levels

- Strategic and operational plans are approved through the Superintendent.
- 80% of all employees have received OL training
- Accountability is ensured through supervision (EPAPs, etc....)



Regional Office Implementation

Operational Leadership implementation should meet the same minimum standard as park units. The minimum standards specific and appropriate to regional offices are outlined below.

1. Training

80% of all regional office employees have received OL training

2. Operational Evaluations

Region Division Strategic Plans are established, approved, and implemented. Success is measured and reported annually. Division plans include park/unit audit and assessment data, and response to resulting information gained through evaluations.

Systems are developed and implemented that evaluate policy compliance and operational risk throughout the region. Results and trends are reported through the Regional Director.

Risk-based decision making is utilized and written processes and goals are established for the following program areas:

- Employee safety
- Budget allocation
- Position management
- Project approval

3. Personnel Evaluations

Accountability is ensured through supervision and evaluation (EPAPs, ORM Critical Elements, Audits, Risk Assessments, Divisional Strategic Plans, etc.). Critical elements on employee performance plans should reflect ORM responsibilities appropriate to pay-grade, program area, and responsibilities.



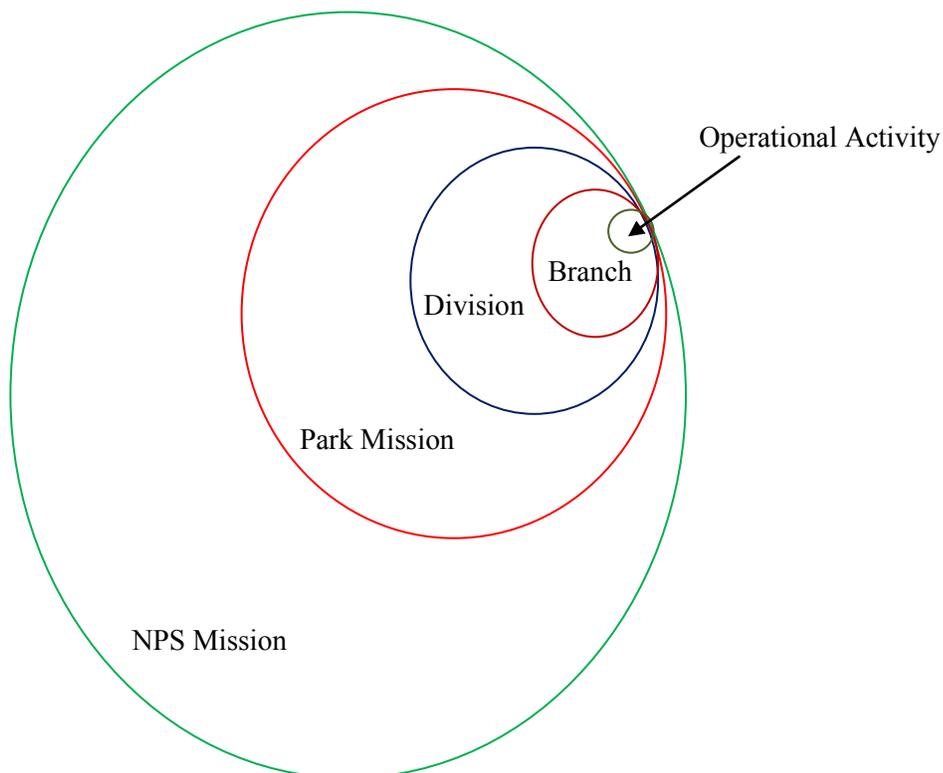
National Park Operational Risk Management Evaluation

Park/Unit	Superintendent	Division Chief	Date
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Operational Risk Management (ORM) Process

1. Define the Mission/Task
2. Identify the Hazards
3. Assess the Risk
4. Identify the Options
5. Evaluate Risk vs. Gain
6. Execute the Decision
7. Monitor the Situation

Mission and Planning Horizons





1. Define the Mission

NPS Mission

"... to conserve the scenery and the natural and historic objects and the wild life therein and to provide for the enjoyment of the same in such manner and by such means as will leave them unimpaired for the enjoyment of future generations."
~16 USC § 1

Park Mission

Unit Mission or Goals & Objectives (Division, Branch, Task Force, work group, etc.)

Goals & Objectives of Specific Operational Activities

2. Identify the Hazards

A **hazard** is a situation that poses a level of threat to life, health, property, or environment. Most hazards are dormant or potential, with only a theoretical risk of harm. Hazard and vulnerability together to create risk.

- 1.
- 2.
- 3.

3. Assess the Risks

Risk is the potential that a chosen action or activity (including the choice of inaction) will lead to an undesirable outcome. Use the general (GAR) or specific (SPE) risk assessment model below.



General Risk Assessment (GAR Model)			
Operation/ Activity			
GAR Element	Risk low-high 1-10	Mitigation(s)	
Supervision			
Planning			
Contingency Resources			
Communication			
Team Selection			
Team Fitness			
Environment			
Incident Complexity			
Total		1-35	36-60
			61-80

Specific Risk Analysis (SPE)			
Risk Factor	SPE Score	Mitigation	
Severity			
Probability			
Exposure			
Specific Risk Assessment (SPE)			
Severity	Probability	Exposure	
1 None or slight	1 Impossible or remote under any conditions	1 None or below average	80-100
2 Minimal	2 Unlikely under normal conditions	2 Average	60-79
3 Significant	3 About 50-50	3 Above average	40-59
4 Major	4 Greater than 50%	4 Great	20-39
5 Catastrophic	5 Very likely to happen		1-19
			Very High
			High
			Substantial
			Possible
			Slight
			Discontinue, Stop
			Immediate Correction
			Correction Required
			Attention Needed
			Possibly Acceptable



Risk Assessment (from attached GAR worksheets)	Operation 1	Operation 2	Operation 3
Supervision			
Planning			
Contingency Resources			
Communication			
Team Selection			
Team Fitness			
Environment			
Incident Complexity			
Total			

4. Identify the Options

Risk is the potential that a chosen action or activity (including the choice of inaction) will lead to an undesirable outcome.

1.	
2.	
3.	

5. Evaluate Risk vs. Gain

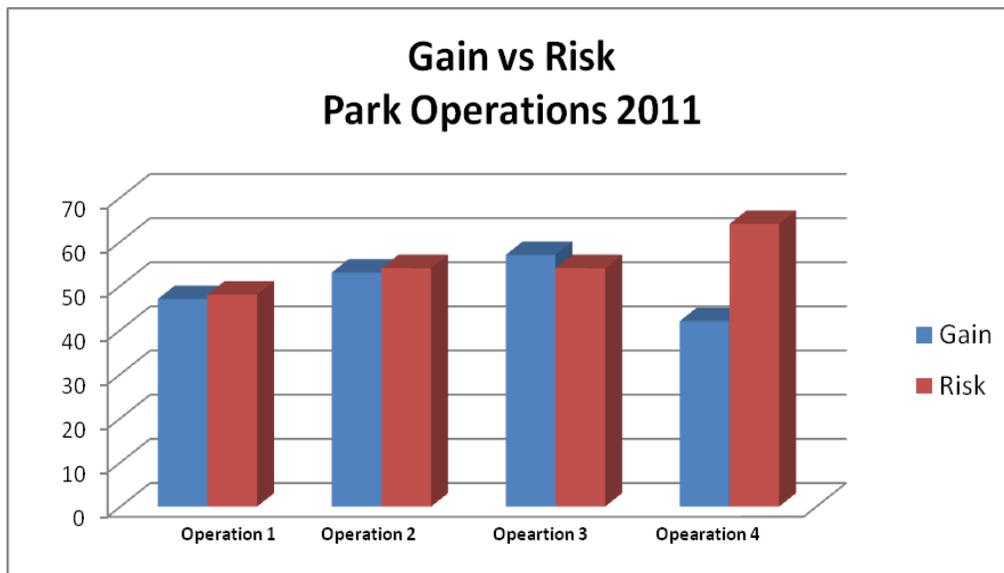
Establish what operational “gain” is (mission accomplishment) and compare with relative risk (see chart below).



Example Gain Metric		Operation 1	Operation 2	Operation 3
Employee Safety	What degree does the activity contribute to Employee Safety ?			
Visitor Safety	What degree does the activity contribute to Visitor Safety ?			
Resource Protection	What degree does the activity contribute to Resource Protection ?			
Visitor Enjoyment	What degree does the activity contribute to Visitor Enjoyment ?			
Success Measures	Are these activities measured and analyzed in a meaningful way?			
Total				

Risk vs. Gain		
	Gain Score	Risk Score
Operation 1		
Operation 2		
Operation 3		

Graph Results





6. Execute the Decision(s)

Develop action plans and deadlines.

Goal/Objective	Success Metric	Action	Accountability	Timeline/ Deadline	Budget

7. Monitor the Situation

Short Term	Long Term
Operation 1	
1.	1.
Operation 2	
1.	1.
Operation 3	
1.	1.

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.

Critical Element 1:	GPRA/Strategic Goal: Operational Leadership and Risk Management. Performance Measure: Demonstrates and documents effective utilization and support of Operational Leadership principles and processes. Results include increased operational safety and minimized liabilities for organization.
Performance Standards	
Exceptional	In addition to Superior, demonstrates leadership by actively promoting OL beyond their specific work unit (park-wide, regional, national office, etc.). Identifies and actively seeks to integrate OL into existing processes with all stake holders.
Superior	In addition to Fully Successful, demonstrates leadership by actively promoting OL throughout their work unit while demonstrating effective use of OL principles in decision making. Consistently uses OL principles in addressing benchmark standards identified in established goals and objectives.
Fully Successful	Demonstrates understanding and effective use of OL principles in decision making. Consistently uses OL principles and processes in achieving NPS/park/unit goals and objectives. Evaluates direct reports in same (if applicable).
Minimally Successful	Demonstrates understanding of OL principles without effective or consistent use of OL principles in actions or decisions.
Unsatisfactory	Demonstrates inconsistent or poor judgment outside of OL principles in decisions or actions.

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 5:

Exceptional-5 Superior-4 Fully Successful-3 Minimally Successful-2 Unsatisfactory-0



Operational Risk Management—Staff Survey

Park	Division	Branch	Pay Grade	Date
Strongly Disagree (1) – Strongly Agree (10):				Rating 1-10
NPS Mission Accomplishment	Mission/Vision Objectives	The park has a well established mission, vision, and objectives that are known to the entire staff.		
	Resource Protection	All divisions collaborate in joint planning to ensure effective resource protection.		
	Visitor Enjoyment	All divisions collaborate in joint planning to effectively provide for visitor enjoyment.		
	Success Metrics	Metrics that accurately evaluate mission accomplishment through established objectives are utilized at every level of the organization.		
	Accountability	There is a strong culture of accountability for accomplishment and risk management throughout the organization.		
Supervision	Field Supervision	Field staff always have access to field supervision when on duty		
	Leadership Training/ Supervision Quality	My Individual Development Plan (IDP) is established, current and meaningful		
		I participate in decision making		
		Performance appraisals accurately reflect my performance		
Planning	Division Planning	Written plans with established goals and objectives are current, implemented, and available to field staff		
		Division priorities, plans and operational objectives are clear to me		
		I have input in park, division, shift, or work group planning		
		Administrative support is helpful and effective		
	Policy/ Procedures	Policies and procedures are clear to me		
Team Selection	Required Proficiencies	I receive consistent, realistic, and effective training		
		I am capable and proficient in all basic areas of responsibility		
Team Fitness	Work Schedule	Assignments are equitable among staff		
		Days off and shifts are consistent and only changed with adequate prior notice		



Strongly Disagree (1) – Strongly Agree (10):			Rating 1-10
Communication	Physical	Radio communication is effective in every area of the park	
	Interpersonal	Communications between supervisors and subordinates are positive, effective, and consistent	
		Scheduled communications are routine (weekly/monthly)	
	Personal	My job responsibilities are clear to me	
		My decision making authorities are clear to me	
		I am kept informed of the status of the park and agency	
		I understand our park and agency direction	
Contingency Resources	Emergency Services	Emergency services (medical, fire, law enforcement) are readily available	
	Agreements	There are written agreements in place with every cooperating group/agency	
	Agreement Effectiveness	Agreements are known and understood by staff and cooperating group/agency	
Environment	Work Environment	I am appropriately equipped for environmental/operational/work conditions in my area of responsibility	
	Operations / Event Planning	Plans/procedures are in place for all non-standard operations, emergencies, or specialized environments (Structural fire, building evacuations, SAR, Boat Ops, border operations, etc.)	
Complexity	Training/ Proficiency	Increased-risk, technical, or emergency operations are rehearsed; staff is capable/proficient (i.e. fire drills, evacuation, robbery response, etc.).	
	Hazard Mitigation	Operational Leadership principles are implemented at all levels of the organization	

Rating	Overall Rating Description (employee perspective)
0-110	Program is exposed to significant risk and in need of major improvements
111-210	Risks are relatively mitigated but improvements and increased planning are needed
211-320	Operational risks are effectively mitigated to an appropriate level

Please attach comments, concerns, or suggestions.



Park OL Implementation Tracking

	Staff Trained	Operational Evaluations			Individual Evaluations
Fiscal Year	% of OL Trained Employees	General Risk Assessment Score (Employee Survey)	Operation-Specific ORM Analyses (higher risk areas)	Written & Approved Plans Present	% Staff "Fully Achieving" OL Critical Element
2011 (Example)	64%	285--"green" (Averaged survey scores)	River Ops	Yes	100%
			Fee Collection	No	
			Wildlife Monitoring	No	
2012					
2013					
2014					
2015					
2016					
2017					
2018					
2019					
2020					



Visitor and Resource Protection Division
General Selection Process
Intermountain Region
Version: January 24, 2011

Objectives

The objective of this process is to establish a fair and thorough process that will result in the selection of an employee that demonstrates the highest possible attributes and skills for this position.

Selection Criteria

The following are desired and rated attributes for this position:

- A. Leadership
- B. Team Orientation
- C. Strategic Planning Skills
- D. Risk Management Experience
- E. Broad Experience Level (multi-division)

Selection Process

The following process will be utilized to ensure a fair and equitable process in rating ranking candidates, and ultimately selecting for the position.

Phase I—Applicant Rating and Ranking

Initial Ranking of Applications

A process of “choosing by advantage” will be utilized to rank the list of applicants in order of qualification and suitability. This method directly compares applicants with each other and decisions based on articulated experience are used to rank the individuals based on the above described criteria. Justifications for rankings will be provided below.

Points in each category must equal the total possible (forced ranking). The criteria were evaluated on the following basis:



Leadership—evaluated on amount of responsibility and complexity of operation, and documented examples of establishing objectives and achieving results.

Team Orientation—evaluated on indicators or specific mention of operating in team environments, organizing teams for initiatives, and/or participating on park-wide or regional teams.

Strategic Planning—evaluated on written examples of experience conducting operational risk analyses and developing/implementing risk mitigations.

Risk Management—evaluated on examples of operational planning such as special operations, patrol planning, event planning and management, etc.

Breadth of Experience—evaluated on experience (SAR, Fire, LE, backcountry, etc.), interdivisional/interagency experience, and diversity of park service experience.

Initial Ranking from Applications						
Name	Leadership	Team Orientation	Strategic Planning	Risk Management	Breadth of Experience	Total Points
Total	100	100	100	100	100	



Selection of the Top Applicants to move to Phase II

The top candidates will be identified according to the ranking structure above and will be identified by a natural break in the total rating. Deviation from this recommendation will be documented. These candidates will continue through the process. The lower rated candidates will not.

Results:

There were three natural breaks in the rating matrix. The highest rated were very close in their qualifications and experience, while the following two candidates were several points lower. The third group lacked significant experience (indicated in their applications). The top four candidates should move to Phase II of the process.

Phase II—Reference/Background Checks

Background checks will be conducted using a standard list of questions. Interviews with peers, supervisors, and colleagues will be documented. An overall rating will be applied in a similar fashion to the above process based on interviewer perceptions of the same criteria as above. The top candidates will continue through the process; the lower rated candidates will not.

Peer/Colleague/Supervisor Interviews						
Name	Team Building	Leadership	Strategic Planning	Operational Planning	Breadth of Experience	Total Points
Total	100	100	100	100	100	



Phase III—Personal Interview

Personal interviews of the top three candidates will be conducted based on a standard set of questions. Interviews will likely move off-script depending on the interactions during the interview process. Interviews will be rated with a similar choosing-by-advantage process utilized throughout this process.

	Ability to express self	Friendliness	Mental Alertness	Poise and Maturity	Self-Confidence	Ambition	Leadership	Industry	Total
Possible Points	10	10	10	10	10	10	10	10	
Candidate 1									
Candidate 2									

Phase IV—Selection

A selection will be made based on the ratings of the three rating matrices implemented during this process. More weight will be given to the personal interview. Upon completion of this process, an informed and well vetted decision can be made based on the findings of this process.



National Park Service Intermountain Region REPORT OF INTERVIEW

 LOCATION

 DATE

 APPLICANT'S NAME

 POSITION FOR WHICH INTERVIEWED

PLACE (X) IN ONE OF FIVE DESCRIPTIONS FOR EACH FACTOR:

ABILITY TO EXPRESS SELF (METHOD AND MANNER OF SPEECH)	SLOW, CONFUSED	SCATTERED, INVOLVED	GETS IDEAS ACROSS WELL	BETTER THAN AVERAGE ABILITY	DIRECT, CONCISE, FLUENT
FRIENDLINESS (MANNERS, VOICE GAZE, BEARING, ETC.)	DISTINCTIVELY NEGATIVE	COLD	AVERAGE	FRIENDLY, PLEASANT MANNERS	EXCEPTIONAL
MENTAL ALERTNESS (REACTION TIME, QUICKNESS IN GRASPING THE POINT)	VERY SLOW	SLOW AT TIMES	AVERAGE	PERCEIVES MOST POINTS READILY	QUICK ON TRIGGER
POISE AND MATURITY (POISE, STABILITY, BEARING, SENSE OF BALANCE)	ILL AT EASE, EASILY FLUSTERED	TENSE, FIDGETY SOMEWHAT IMMATURE	AVERAGE	GENERALLY SURE OF HIMSELF, WELL-BALANCED	VERY COMPOSED, MATURE FOR AGE
SELF-CONFIDENCE (CONFIDENCE OF ABILITY, SELF-POSSESSION)	TIMID OR COCKY	HESITANT OR OVERBEARING	REASONABLE ASSURANCE	SURE OF HIMSELF, WITHOUT COCKINESS	VERY SURE OF SELF, INSPIRES CONFIDENCE
AMBITION (DEFINITE GOALS AND PLANS)	NO PARTICULAR IDEAS TO FUTURE	WANTS JOB BUT HAS NO SPECIAL GOAL	HAS DEFINITE FUTURE GOAL	KNOWS WHAT HE WANTS AND HAS PLANS FOR GETTING IT	UNUSUALLY THOROUGH PLANS FOR MAKING PROGRESS
LEADERSHIP (ABILITY TO LEAD AND SECURE COOPERATION OF OTHERS)	NONE INDICATED	VERY LITTLE TO INDICATE ABILITY	REASONABLE AMOUNT OF ABILITY	MORE THAN AVERAGE ABILITY	EXCEPTIONAL ABILITY
INDUSTRY (HABITUAL DILIGENCE)	LAZY	BELOW AVERAGE, REQUIRES PUSHING	AVERAGE	ABOVE AVERAGE, HARD WORKER, SELF-STARTER	OUTSTANDING, DYNAMIC

OVER-ALL RATING

 POOR

 FAIR

 SATISFACTORY

 ABOVE-AVERAGE

 OUTSTANDING

WOULD RECOMMEND RECOMMEND

WOULD BE WILLING TO RECOMMEND

WOULD NOT

COMMENTS

 SIGNATURE OF INTERVIEWER

NATIONAL PARK SERVICE
LEVEL II LAW ENFORCEMENT COMMISSION APPLICATION AND REISSUE FORM ver. 5/2/11

(Submit both sides if applicable plus assigned code of conduct & domestic violence statement)

APPLICANT: Answer the following. TYPE OR PRINT CLEARLY

1. Full Name: _____ Date of Birth: _____
2. City/State of Birth _____ SSN : _____
3. Sex: _____ Height _____ Weight _____ Hair Color _____ Eye Color _____
Driver's Lic No: _____ State: _____ Date Expires: _____
4. Phone numbers: Perm: _____ Temp: _____ Until? _____

We must be able to contact you for questions or concerns about your application.

1. Did you complete a law enforcement training program at NPS approved facility? Yes : NO
NPS School & Location: _____ Dates: _____
Post Academy & Location _____ Dates _____
6. Recent or Last law enforcement in-service training location/park: _____ Dates: _____
7. - Have you received any moving traffic violations within the last 5 years? *YES NO
(*List on backside to include incident w/details (i.e.50 /45), date, jurisdiction, outcome (paid fine of \$, court appearance, arrest, etc.)
- Have you read and discussed the "Speed Culture issue Paper of 2009" with your supervisor YES initials _____
(Attached with this application, also available on the V-drive folder labeled "Speed Culture Issue Paper"
-Have you ever been convicted of a misdemeanor crime of domestic violence? (sign attached form) YES NO
- Have you had a drug test within the last 3 years? _____ If so, date: _____
-Have you had an LBI background investigation initiated and / or adjudicated by OPM within the last 5 years? (see below)
YES - Adjudication Date: _____ Case Number: _____ or If no adjudication, Date LBI initiated: _____ Park initiated at: _____
NO - LBI will need to be initiated in addition to an initial SAC

I understand that this Level II Law Enforcement Commission will be issued contingent upon my ability to meet performance requirements of the mandatory physical/mental fitness standards required by Director's Order #9 Law Enforcement Program, and Reference Manual 57: Occupational Medical Standards and Physical Fitness. I authorize Yellowstone National Park to run a drivers license history in each state for which I have been licensed over the last 5 years.

APPLICANT's SIGNATURE _____ DATE _____

SUPERVISOR COMPLETION ONLY*****

- Commission application: New NPS New YELL Returning YELL Break in Commission Service more than 3 years?
If returning YELL, previous commission expiration date: _____
OPM SAC Cleared? (Obtain from P Drive): Date Cleared: _____ (N/A on P Drive indicates less than 60 day break in service)
Did any of the checks reveal any disqualifying issues? No Yes (submit separate sheet)
NPS Firearms Qualification: Day Pistol Quals : _____ Date Passed: _____ Location: _____
Reduced Light Quals: _____ Date Passed: _____ Location: _____
Patrol Rifle Quals: _____ Date Passed: _____ Location: _____
Shotgun Quals: _____ Date Passed: _____ Location: _____
Integrated Force Options Training: _____ Location: _____ Date: _____ - note dates scheduled if applicable
Legal Update: _____ Location: _____ Date: _____
Does the employee have 40 hours of documented law enforcement training to include IFO and Legal Update? Yes No
Physical Efficiency Battery Passed: _____ Date Passed: _____ Location: _____
Reviewed "Speed Culture Issue Paper" with APPLICANT YES Date: _____
Drivers License history run & verified with item #7 above for last 5 years with all states licensed. _____ Yes
Supervisor Signature _____ (Print last name) _____ Date _____

CRO and SUPERINTENDENT ONLY*****

Deputy Chief Ranger Signature _____ Date _____
Superintendent's Signature _____ Date _____
Level II Commission Number: _____ Date Issued _____

RM-9 LAW ENFORCEMENT REFERENCE MANUAL
LAW ENFORCEMENT CODE OF CONDUCT

1. I will faithfully abide by all laws, rules, regulations, and policies governing the performance of my duties and I will commit no act that violates these laws or regulations, or the spirit or intent of such laws and regulations while on or off duty.
2. In my personal and official activities, I will never knowingly violate any local, State, or Federal law or regulation, recognizing that I hold a unique position of public trust that carries an inherent personal commitment to uphold laws and the integrity of my profession. For these reasons, I understand that this code places special demands on me to preserve the confidence of the public, my peers, my supervisors, and society in general.
3. I will not knowingly commit any act in the conduct of official business or in my personal life that subjects the Department of the Interior or the NPS to public censure or adverse criticism.
4. While a law enforcement officer, I will not accept outside employment that will in any way conflict with the law enforcement interests or jeopardize the activities or mission of the Department or the NPS or that gives the appearance of conflict.
5. As a law enforcement officer of the NPS, I will conduct all investigations and law enforcement functions assigned to me impartially and thoroughly, and report the results thereof fully, objectively, and with accuracy.
6. In the investigative process, I will be judicious at all times and I will release information pertaining to my official duties, orally or in writing, only in accordance with the law and established policy.
7. I will accept nothing, even of the slightest value including favored treatment of any kind, from anyone on my own behalf or behalf of another person, recognizing that acceptance may result in a conflict or give the appearance of a conflict with my official duties or in my effectiveness as a law enforcement officer.
8. I will abide by all rules, regulations, and policies of the Department and the NPS, including those relating to health, safety, and technical expertise requirements of my position.
9. I will use only the amount of force that is objectively reasonable to accomplish the mission of the Department and the NPS.
10. Supervisors will not give, and law enforcement personnel will not comply with, orders they know to be in violation of criminal laws. Where question or dispute exists over such an order, both the supervisor and subordinate will direct the matter to the next level of supervision for resolution.
11. I understand this Code of Conduct is in addition to requirements imposed on me and applicable to all Department of the Interior employees as cited in Department regulations governing responsibilities and conduct of employees (43 C.F.R. 20), which I have reviewed, and that a violation of this Code or provisions of the aforementioned regulations may be cause for disciplinary action or removal from the Department.

Signature

Date

RM-9, Chapter 4 ETHICS and CONDUCT
APPENDIX 4-A. DOMESTIC VIOLENCE STATEMENT

UNITED STATES
DEPARTMENT OF THE INTERIOR
National Park Service
LAUTENBERG CERTIFICATION
FOR OFFICIAL USE ONLY

The Lautenberg Amendment to the Gun Control Act of 1968 (18 U.S.C. § 922) makes it unlawful for any person who has been convicted of a misdemeanor crime of domestic violence to ship, transport, possess, or receive firearms or ammunition. This prohibition applies to people convicted of such misdemeanors at any time.

A misdemeanor crime of domestic violence includes the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim; by a person with whom the victim shares a child in common; by a person who is cohabiting with or has cohabited with the victim as a spouse, parent, or guardian; or by a person similarly situated to a spouse, parent or guardian of the victim.

Please complete the following certification:

Do you currently have charges pending for or have you ever been convicted of a misdemeanor crime of domestic violence as defined above?

Yes _____ No _____ Initial & Date _____

If you answered "yes" to this question, please provide the following information with respect to your conviction:

Court / Jurisdiction: _____

Docket / Case No.: _____

Statute / Charge: _____

Date of Disposition: _____

If you answered "yes" to this question, was the conviction expunged or set aside or have you been pardoned for the offense or otherwise had your civil rights restored without a continuing prohibition of the use or possession of firearms or ammunition?

Yes _____ No _____ Initial & Date _____

If you answer "yes" to this question, please provide documentation of the expungement, set aside or pardon.

I (print your first name, middle initial, last name), _____, certify that, to the best of my knowledge and belief, all of the information provided by me is true, correct, complete and made in good faith. I understand that any false statement or fraudulent information provided here may result in disciplinary action and/or be punishable under Federal law, including 18 U.S.C. Section 1001.

Signature

Date

OFS REQUEST GUIDANCE

Effective Date: Date of initiation
Series: Chief Ranger Division Plans
Chapter: Guidance for OFS requests

Originating Office: Chief Ranger's Office

The Operations Formulation System (OFS) is a web-based system designed to meet the needs of parks and regions, offices and directorates and the headquarters office in the identification of unfunded, recurring budgetary requirements. These include funding needs such as park base increases and regional and Servicewide program increases. OFS directly supports the formulation of the annual budget submissions of the National Park Service (NPS). OFS is one module of Budget Formulation Data System; another module is the Project Management Information System (PMIS), which is the repository of identified non-recurring project needs. OFS also provides a historical record of funding enacted for NPS.

Requests for the following appropriations should not be entered into OFS:

- FIREPRO
- Construction Planning and Line Item Programs and Emergency and Unscheduled funding
- Federal Land Acquisition Projects

Funding Requests: Limits and Recurring vs. Non-Recurring

Recurring Park or Office Base Requests: There is no upper limit to the amount that can be submitted; however, multi-million dollar requests are not as likely to be proposed as part of the final budget decision when NPS is under a severely tight request cap. For most parks/offices, requests should not exceed \$500,000. All requests should be no less than \$50,000. Please refer to your Region/Directorate for further specific guidance. Some regions for example limit the total amount of all requests at a park to a percentage of its current budget.

Recurring Servicewide or Regional Program Base Requests: There is no upper limit to the amount of the request. Again, no single request should be less than \$50,000.

Non-recurring requests: This type of request should be avoided as much as possible in OFS. Non-recurring needs are considered project requests and are more appropriately requested through PMIS. There are two types of non-recurring requests that should be entered in OFS:

- Small, one-time start-up costs associated with operational increases are appropriately included as part of a larger otherwise recurring request. If non-recurring needs are met through an OFS request (such as for the costs of a new piece of equipment), a decrease in that Park's/Office's budget may be requested for the non-recurring portion of the request in the succeeding fiscal year.
- One-time operational funding for special events such as the Presidential Inauguration should also be entered into OFS.



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Non-recurring requests should be marked as such in the Funding Component detail.

Title

Remember the title is the first thing seen by the reviewer. It always helps the reviewer understand the basic premise of the request. The title can draw someone into the request. Make it say something of substance. This field should begin with a verb and explain clearly and succinctly the general purpose of the requested funding. The title should eschew such intangible statements as “meet NPS standards” or “increase operational base.” Additionally, adjectives such as “basic,” “required,” or “essential” should be avoided, as they beg the question as to why these actions are not currently being undertaken. In no case should abbreviations be used in the title. The title should be entered using initial capitals, punctuation should be limited, and the field should not contain a series of slashes separating unconnected items. Your (and the Service's) worst title nightmare would be as follows: ENHANCE PK RES MGMT/MNTC/LE CAPABILIIY TO MEET MTN DNR STAND/COMP. An example of a good title would be: Enhance Law Enforcement to Protect Resources, Visitors and Employees.

Concise Description and Justification

This field is an abstract for the funding request and is limited to 1,250 characters. The information contained in this field is put directly into the budget submission to justify proposed increases. It is recommended that you create or edit the narrative in Microsoft Word, spell check it there, obtain character count with spaces (in MS Word, see Tools/Word Count), and then cut and paste the narrative into OFS. More importantly, follow the following five-step approach listed here when developing your concise description and justification.

1. State the operational need
2. Indicate why the operational need exists
3. Explain how funding would be used
4. Quantify outputs allowed by funding
5. Project resulting outcomes

Here are 10 helpful hints for writing a good OFS justification:

1. Speak to actions, not positions being filled. Do not say funding would be used to hire a maintenance laborer; instead, say that funding would be used to better maintain trails in order to eliminate safety hazards.
2. Avoid cataclysmic predictions. Try not to use words "irreversible", "irreplaceable" or "critical". If you say the park will totally disintegrate without this funding, by gosh, this better happen. The worst thing we can see is a park with a \$20,000,000 budget saying a cut of \$50,000 will result in fatalities. We certainly hope not.
3. Similarly, if you paint a desperate picture, with dire consequences of non-funding, remember that someone may ask why you are not taking care of the problem within your base instead of, for example, attending a lot of meetings (which some of our critics find problematic). Anyone can find "waste" in anyone's budget; it's a matter of perception. So if you are raising



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the issue, make sure you can answer the questions that might accompany the sudden visibility. Remember that while OFS is an internal system, it is the basis for answering queries from outside parties and public documents.

4. Avoid the trap of requesting funds because simply because it will restore programs that were once funded. Presumably, a park, regional and servicewide managers make informed decisions and would not have cut back something that was not the lowest priority or less valuable than other activities. Tell us what, other than "tradition" has been lost.
5. Do not trot out the old "meet NPS standards" line. Operating at NPS standards is admirable; however, without context or definition, it tells the reader nothing. It is better to prevent deterioration, correct safety hazards or educate additional visitors than to meet standards.
6. Be quantifiable, use performance measures, outputs and outcomes but don't overload the Concise Description and Justification field with too many numbers. Walk the fine line. If you must swamp us with numbers put them in Supporting Information field.
7. Avoid jargon, abbreviations and acronyms. Remember that it is important for the reader to understand the prose. The members of Congress are your eventual audience—will they understand your request as written?
8. Use the conditional "This request would" rather than the simple future "This request will." This is purely a convention, is arbitrary and capricious, and is not subject to debate.
9. Write clearly. This cannot be stressed enough. In the Elements of Style by Strunk and White, they say, "Vigorous writing is concise. A sentence should contain no unnecessary words, a paragraph no unnecessary sentences, for the same reason that a drawing should contain no unnecessary lines or a machine no unnecessary parts." This does not require that the writer make the sentence short, but that every word tell. Winston Churchill once remarked, "I did not say: 'Hostilities will be engaged with the opposing forces near the proximity of the coastal perimeter'; the message was much more effective as simply 'we will fight them on the beaches'."
10. Put yourself in the position of the person reading the narrative. Would you understand the issues being discussed if you did not know anything about the park or program? What questions does the request raise in your mind? Does the narrative tell you enough that you would make the decision to fund the request? Can you tell what the money would be used for? Is the increase really clear, or does it beg more questions?

Budget Drivers

The Budget Driver attempts to categorize the reason behind the increase. Entries are made as percentages of the whole increase; for example an increase may indicate the request is a result of threats to resources (50%) and deteriorating infrastructure (50%). No entry should be less than 10 percent and entries must be in increments of 5 percent. Realistically, an increase should reflect only one to three budget drivers, although there is no rule against more. Many increases



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are acceptable with only one budget driver. While many factors influence the need for increased funding, only one or two “drive” the particular need.

Threats to Resources: Increases using this budget driver must be related to protecting or preserving resources for which the park has been established. A preventive maintenance program to preserve a deteriorated historic building is more appropriate to this category than “Deteriorated Infrastructure.” Interpretive efforts aimed at educating visitors who are unaware of the fragility of the park’s resources would also clearly fit this category, as would ranger patrols aimed at protecting the resource rather than the visitor.

Health and Safety: This budget driver is optimally used for increases that provide for protecting the life, health or safety of the visitor or the employee. Enhancing the park’s capability to provide for law enforcement patrols or emergency medical situations would fall under this category. In addition, the proper maintenance of trails, the distribution of safety information at visitor centers, or the presence of life guards at swimming areas. Steps taken to ensure proper water quality might also properly fall here, although a case could be made to include such actions under the budget driver for “Compliance Issues.”

Physical Security: This category is designed to focus on actions taken to protect the security of employees, visitors and government facilities from threats posed by terrorist or criminal activities. Clearly such activities could involve “Health and Safety” concerns; however, this budget driver is preferable for anti-terrorism measures. In addition, law enforcement activities that protect against theft of government property should also be designated using this budget driver.

Deteriorated Infrastructure: This budget driver should represent only those maintenance actions designed to correct deterioration of public use structures and facilities (docks, roads, trails, utility systems, etc.), and administrative or other buildings used by NPS employees. An increase for an historic home that requires preventive maintenance is more aptly entered under “Threats to Resources.”

Compliance Issues: Compliance issues represent the most difficult increased need to categorize. To ensure consistency, it is recommended that issues dealing with NEPA, Section 106 of the Historic Preservation Act, or the Disabilities Act be entered under the “Compliance Issue” Budget Driver. An increase related to the assurance of clean, safe water for visitors and employees may be better suited to the budget driver “Health and Safety” even though the completion of NEPA or Section 106 compliance activities also seem to fall under the category of “Threats to Resources”, and providing for a safe and enjoyable experience for physically-challenged could be categorized as “Health and Safety” or “Compliance”.

New Area: Increases for “recently” authorized park units fall under this budget driver. When initially requesting funding increases, a “new area” should code 100 percent of the increase against the new area budget driver. While there is no standard rule for what timeframe constitutes a “new” area; a good rule of thumb is probably within the last ten years. Of course,



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this categorization would also depend on how quickly a park has established an adequate base budget. A park with a minimal budget and operation might be considered “new” after 15 years. A park that has a more established operation level and significant funding might “lose” that designation after five to seven years.

New Facilities: This budget driver should reflect increased operational needs caused by the construction, rehabilitation or acquisition of facilities (historic, public use, or administrative). Generally, if this budget driver is used and relates to new construction or rehabilitation work, there should be a corresponding project identified in the Project Management Information System (PMIS). This OFS increase should be linked to the PMIS project.

New Lands: The acquisition of new lands, whether through donation, exchange, or fee purchase, brings new responsibilities for operational upkeep. This budget driver represents increases, which accrue new responsibilities by adding to the land base managed by the NPS. This is not be confused with “new area” (which obviously also results in new lands) or “new facilities” which deals more with the built environment rather than land base.

New Programs: Increases that represent the initiation of new activities not currently undertaken are reflected in this category. An example would be the development of an interpretive program that had not previously been available to the public. Some new programs are implemented to address “threats to resources” or as result of “increasing visitation,” so this budget driver should be used carefully. More specific causes for the increase may likely be found elsewhere in the list of budget drivers.

Increased Visitation: Increases resulting from a rise in the volume of visitors are represented in this category. If this budget driver is chosen, be sure to indicate the visitation growth in either the concise description or the supporting information. Be sure to use Report #4 in the Park Profile Reports section of OFS to verify the visitation increase. When reviewing OFS records for the FY 2006 budget request, the budget driver “increased visitation” and the narrative were quite often not supported by the “official” NPS visitation figures contained in the database.

Visitation Pattern Changes: Increases necessitated by the change in the pattern of visitation – such as a trend toward shoulder season visits or a busy winter season – are represented by this budget driver. The trend toward the spreading out of visitation to March, April, and October, from the more traditional May through September use, may result in the need for extending seasonal staff or providing utility costs for a longer period of time. Such increases would fall under this category. If this budget driver is chosen, be sure to indicate the visitation pattern change in either the concise description or the supporting information.

Special Events: This budget driver concerns one-time operational requirements necessitated due to events such as the celebration of the Lewis and Clark Bicentennial, commemoration of the 100th Anniversary of Manned Flight, the 400th anniversary of the founding of Jamestown, the Presidential Inaugural, or the Olympics. These operational increases may or may not become part of the permanent base, after the event has concluded. For example, the celebration of the



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400th anniversary of the founding of Jamestown or the centennial of the Wright Brothers' flight may lead to a sustained increase in visitation at the site(s) in question.

Increased Workload: This category is intended to reflect operational increases required by administrative or managerial offices. If the workload of the maintenance staff or interpreters has increased, it is not enough to cite "increased workload." Rather, the reason for the increased workload may be the acquisition of new facilities, the start of a new program, a threat to a specific resource, or a significant jump in the visitation at an area. These more specific budget drivers are more appropriately used in these cases. However, if the workload of the administrative office has increased and more frequent reports are required, this could be correctly categorized through use of the budget driver "increased workload."

Accountability: This budget driver should be used if funding is requested to provide greater oversight of or better information on NPS programs and resources. This category will be more frequently used by central offices than by parks. Examples in recent years that might have appropriately been entered under this category include increased information management and telecommunications funding, additional funding to conduct condition assessments, or financial, budget, maintenance and resource management system development. Increases in the Servicewide Inventory and Monitoring Program might have been split between "threats to resources" and "accountability," as the information needed for better management decisions will be obtained through this program.

Funding Components

This field is one of the most critical in OFS. Enter information as "tasks" to be accomplished, not personnel to accomplish them. Begin the description with a verb. The cost estimates (personnel and other) for existing OFS records must be checked during the SCC to see if they are "old" estimates and must be updated to reflect pay raises or other inflationary circumstances. It is crucial to have the most accurate cost estimate entered at the time your increase is likely to be considered for inclusion in the budget. Do not forget to include benefit costs when calculating personnel costs.

Enter dollar amounts in thousands, dropping the last three zeroes off the dollar amounts. For example, \$250,000 would be entered as 250. Make sure the numbers make sense. Don't ask for \$500,000 without any detail on how it would be used. Use common sense. Put yourself in the place of someone reviewing the request. If it seems unusual that \$350,000 is needed for "bringing maintenance up to standard" at a small park, assume that the reader will think so too. The request may be valid; you will just need to explain the particular situation very clearly to convince the skeptics.

Do not automatically indicate a need for staff. If an increase can be accomplished without staff, say so. Increased staff, even at parks, is still frowned upon. The NPS is under pressure to contract work, *when and where feasible*.

If you enter a large amount of money in the "Other" cost estimate category, be sure to explain the use of this funding in the Supporting Information Field.



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It is also crucial that you enter an item priority if more than one funding component is present. Several components can be assigned the same priority if the need to be funded concurrently to accomplish the job. However, be sure to show actual priorities in case the record is split. For example, even if you are unable to expand interpretive operations for a year, do you first require additional funding for utilities for visitor center operations. Prioritization of components helps the WASO budget staff make decisions based on your priorities when they are splitting a record to squeeze in at least part of an operational increase. This greatly facilitates the proper “split” of records when that proves necessary. If the field splits a request, the portion of the request that should be funded first should be put in the “A” record and the portion of the request that should be funded at a later date should be put in the “B” record. This will allow future splitting of the “B” record into the “C” record, the “C” record into the “D” record, and so on.



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PMIS GUIDANCE

Effective Date: Date of initiation
Series: Chief Ranger Division Plans
Chapter: Guidance for PMIS requests

Originating Office: Chief Ranger's Office

PMIS-Project Management Information System

This document is not intended to be a training tool but a guidance tool for effective PMIS requests. Training on PMIS entry may be obtained through DOI Learn.

Project Management Information System (PMIS) is a servicewide intranet application within the National Park Service (NPS) to manage information about requests for project funding. It enables parks and NPS offices to submit project proposals to be reviewed, approved and prioritized at park units, regional directorates, and the Washington Office (WASO).

In response to a budget call for a particular NPS program for a specific fiscal year (FY), project proposals are submitted, reviewed, approved, prioritized and then formulated under an available funding source by utilizing PMIS. During formulation process for a budget call, a program manager at WASO or a budget officer at a regional directorate determines which project funding requests meet the eligibility criteria for the call to be considered as part of the NPS Budget for a specific FY.

PMIS (Project Management Information System) is one of two official budget formulation systems of the National Park Service used by all organizations Servicewide. The other is OFS (Operations Formulation System). PMIS and OFS were developed to establish credibility of NPS funding requests with the Department of Interior, the OMB (Office of Management and Budget) and Congress.

PMIS is used to identify project needs and request non-recurring and some recurring project funding as part of the annual SCC. The primary reason why you need to pay attention to project scoping, data collection and organization and to write a good PMIS entry is to compete effectively for funding of your park's needs.

Questions to ask when numerically prioritizing PMIS projects at the park level:

- Is the cost estimate valid?
- Does the project include an operational cost reduction, for example an energy efficient project that results in a cost savings?
- Is the project identified on an approved park planning document, condition assessment or deferred maintenance list?



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- Is all the compliance, planning, sequencing and protocols addressed? (May become separate questions – also include whether the information is available related to compliance)
- Does the project address safety, accessibility, sustainability, or other special emphasis areas?
- Is the project legislatively mandated or in the Congressional appropriations?
- Do you have, or have you requested in OFS, the human and financial resources to support the project after completion?
- How much will this project help accomplish the mission and strategic plan of the park?
- If the project was banded low or medium by the computer and you have decided it ranks high in your numerical priority list, can you explain why?
- Have you tried to anticipate all possible impacts of the project?
- How does the project address your needs to accomplish the park's strategic plan?

Guidance

- You can only create non-facility projects. All facility projects must be imported from Project Scoping Tool (PST) into PMIS.
- All facility project funding components' funding request amounts will be escalated at the time of formulation by four percent per year for each year from the year of the date of estimate to the year of formulation.
- Any change in Cost Estimates and/or date of estimates of a component (after formulation) automatically adds, or adjusts the escalation amount for all facility project funding components.
- Additional Criteria must be provided prior to submitting a funding component with no available funding source specified to justify the lack of available funding source.

Titles

- Titles must start with an action verb. If you need to refer to something specific for the purposes of searching, use the project level “Reference Number” field, or component level “Funding Component Reference Number (Multi-Purpose)” field. If a special reference must be in the project title, e.g. PLC, it must be placed at the end of a PMIS title separated by a dash (– PLC) or parentheses (PLC).
- The project and component titles should be revisited at every level of review and improved upon at that point in time. The project title is a person's first, and sometimes, only opportunity to make a compelling impression on the reviewing audience. If it's not a



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grabber, the project might not go any further. The project title may be the only information about your project which goes forward to Congress. If the project title isn't compelling, then it may be an indication that the project should be weeded out.

Project Narratives

- The project narratives section consists of the Description, Justification and Measurable Results. You can import digital images from NPS Focus as part of the Justification to help present a compelling case for your project need. Information on “how to” add or remove an image is included in Appendix B of this document. The Project Narratives screen is where you explain your project in detail, justify it, and describe tangible, **quantified** measurable results. After thorough project scoping, you should have these details well thought out.

Project Justification

- The justification should describe clearly, concisely and accurately **why** the project is needed, the consequences of its delay, and the specific changes that have occurred and/or impacts that are occurring on the resource, asset or visitor experience. Tailor your effort on PMIS data entry to the requested funding amount of the project. More doesn't mean better; focus on the flowers, and save the manure for your garden. As Mark Twain's said, *“I would have written you a shorter letter had I more time.”* A good project justification should include:
 - A brief history of the problem to be corrected and its impact on the park
 - Cite any supporting documents or evidence, e.g. laws, court orders, citations, lack of code compliance, condition assessment, planning documents, structure LCS listing, etc. applicable to the existing asset or situation
 - Describe alternatives that were considered and rejected, and the reasons for rejection
 - Describe the improvements that will result if funds are provided. Clearly describe the difference the project will make by comparing management of the park without the project versus with the project completed. In other words, what is the current situation, and what will be the situation after completing the proposed project? How will the park be changed?
 - Describe what might reasonably happen if funds are not provided
 - Identify the specific types of benefits to the park and visitors, e.g. increased revenues, operational savings, number of visitors served, enhanced protection of the government's investment in facilities, safety, protection of natural resources, pollution abatement, public health benefits achieved, etc.
 - Identify the total cost of ownership of the project. In an era of ever tighter budgets, the DOI is requiring all agencies to use performance measures to ensure optimal efficiency in accomplishing their mission. To that end, the NPS is moving toward the concept of *Total Cost of Ownership* of assets. Total costs of ownership include a) initial cost of construction or of the project; life cycle costs of maintaining the asset (recurring custodial costs, and component renewal costs, e.g. roof replacement); and operating costs (programs, staffing and materials needed for the services provided).



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- All capital investment and rehabilitation projects will have an impact on park base operations. If additional operational resources are required, the PMIS project must have an associated OFS record. The PMIS Project Justification should describe what the impact of this project will be on the park's operating base. As specifically as possible, identify the current annual operating costs of the facility, and the projected annual operating costs after completion of the capital investment or rehabilitation project. You must also address what the consequence would be of not getting the requested OFS increase, e.g. identify what existing services or programs would be dropped, or if the proposed PMIS project would be dropped

Measurable Results

- Formerly parks could spend project money and everyone was happy. Now parks compete for the dollars, spend the dollars and report on the dollars. Measurable results quantify change achieved for the project dollars that were invested. Measurable Results are performance measures: data must be quantified. All asset projects must document FCI (Facility Condition Index) change achieved. Measurable results set the standards or bookmark against which we will later judge success – the front page of the book in terms of how we talk about our accomplishments. The component Status and Completion Reports are the end of the book.

Project Funding Component Cost Estimate

- A Cost Estimate is a compilation of all the costs of elements included within a Funding Component. PMIS users are required to enter a separate complete cost estimate for each project Funding Component. Collect detailed information about costs related to your project before you begin to enter data in this section. A methodical approach to scoping will help you to define cost elements of your project. The cost estimate fields in PMIS are very specific and require that you have a good understanding of the costs of items associated with your project and each of its Project Funding Components.
- **Project Funding Component Cost Estimate by Item.** Developing a complete, credible and accurate cost estimate is mandatory for all fund sources. PMIS allows you to enter as many cost items as needed to complete a detailed project Funding Component cost estimate. You will have to report the Funding Component account costs by Budget Object Class (based on AFS3 data) in the Component Completion Report. Consequently, at minimum you should identify relevant project costs in the Component cost estimate by
 - labor (personal services)
 - travel



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- contract cost
- supplies
- equipment, and
- other miscellaneous costs



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