



# Department of Defense

## INSTRUCTION

NUMBER 3224.03

October 1, 2007

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USD(AT&L)

SUBJECT: Physical Security Equipment (PSE) Research, Development, Test, and Evaluation (RDT&E)

- References:
- (a) DoD Directive 3224.3, "Physical Security Equipment (PSE): Assignment of Responsibility for Research, Development, Testing, Evaluation, Production, Procurement, Deployment, and Support," February 17, 1989 (hereby canceled)
  - (b) Acting Deputy Secretary of Defense Memorandum, "DoD Directives Review – Phase II," July 13, 2005
  - (c) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L))," December 9, 2005
  - (d) DoD Directive 5000.1, "The Defense Acquisition System," May 12, 2003
  - (e) through (k), see Enclosure 1

### 1. REISSUANCE AND PURPOSE

This Instruction:

1.1. Reissues Reference (a) as a DoD Instruction in accordance with the guidance in Reference (b) and the authority of Reference (c). Updates policies and assigns responsibilities for the RDT&E, Advanced Component Development and Prototypes (ACD&P) and System Development and Demonstration (SDD) of PSE in the Department of Defense according to Reference (d), DoD Instruction 5000.2, DoD Directive (DoDD) O-5210.41, DoDD 5143.01, Part 12 of the Federal Acquisition Regulation, and Deputy Secretary of Defense guidance of July 19, 2004, and October 10, 2005 (References (e) through (j)).

1.2. Consolidates the PSE RDT&E Program with the nuclear weapon PSE RDT&E (ACD&P/SDD) Program established by Reference (j) under the direction of the Deputy Assistant to the Secretary of Defense for Nuclear Matters (DATSD(NM)), under the Assistant to the Secretary of Defense for Nuclear and Chemical and Biological Defense Programs (ATSD(NCB)).

1.3. Provides a programmatic framework to accomplish DoD policy objectives, focus resources, reduce PSE RDT&E duplication, and harmonize the Military Services' requirements

for PSE RDT&E (ACD&P/SDD) for nuclear weapons and conventional physical security according to Reference (f) and DoD 5200.8-R (Reference (k)).

1.4. Reestablishes the activities of the DoD Physical Security Equipment Action Group (PSEAG) as previously authorized by Reference (a).

1.5. Cancels References (i) and (j).

## 2. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as the “DoD Components”). The term “Military Services” as used herein refers to the Army, the Navy, the Air Force, and the Marine Corps.

## 3. DEFINITIONS

3.1. Physical Security. For the purpose of this Instruction, that part of security concerned with physical measures designed to safeguard personnel; prevent unauthorized access to equipment, installations, material, and documents; and to safeguard the foregoing against espionage, sabotage, damage, and theft.

3.2. Physical Security Equipment. For the purpose of this Instruction, a generic term encompassing any item, device, or system used primarily for the protection of U.S. Government property, including nuclear, chemical, and other munitions, for the protection of personnel and installations, and for the safeguarding of national security information and material, including the destruction of such information and material both by routine means and by emergency destruct methods.

## 4. POLICY

It is DoD policy to provide adequate programming, planning, and RDT&E (ACD&P/SDD) funding support for valid PSE materiel requirements while eliminating duplication of projects, pursuing the use of commercial off-the-shelf (COTS) products, ensuring systems integration, and promoting interoperability and sustainability.

## 5. RESPONSIBILITIES

5.1. The Under Secretary of Defense for Acquisition, Technology and Logistics (USD(AT&L)) shall provide primary oversight for the DoD PSE RDT&E (ACD&P/SDD)

Program to ensure it complies with acquisition policy to develop joint, integrated PSE architectures for capabilities areas.

5.2. The DATSD(NM), under the USD(AT&L) and the ATSD(NCB), shall:

5.2.1. Act as the DoD centralized coordinator of assigned PSE RDT&E (ACD&P/SDD) Programs for the Secretary of Defense, Deputy Secretary of Defense, USD(AT&L), and ATSD(NCB).

5.2.2. Administer and document the funding of the PSE RDT&E (ACD&P/SDD) Program for execution by the Military Services and the Defense Threat Reduction Agency (DTRA).

5.2.3. Establish and manage the activities of the DoD PSEAG.

5.2.4. Designate, at a minimum, an O-6, GS-15, or Y3 equivalent to coordinate DoD PSEAG activities; document proceedings and decisions, assign projects and tasks not clearly assigned herein as related to PSE RDT&E (ACD&P/SDD); and act as the DoD PSEAG Chairperson.

5.2.5. Ensure that, in those cases where system development crosses the functional areas cited in subparagraphs 5.12., 5.13., and 5.14., the DoD PSEAG Chairperson shall identify and recommend which Military Service should take the lead in developing the system.

5.2.6. Ensure the Department of Defense pursues the development of equipment and systems in response to the stated needs and requirements of the Combatant Commands and the Military Services, as well as, in accordance with Reference (k).

5.2.7. Leverage nuclear and conventional program commonalities in order to balance and integrate closely the issues of nuclear and non-nuclear physical security.

5.2.8. Provide nuclear weapons physical security policy.

5.3. The Deputy Under Secretary of Defense for Logistics and Materiel Readiness, under the USD(AT&L), shall provide information and advice on logistics, maintenance, materiel readiness, and sustainment support for the acquisition of PSE.

5.4. The Director of Defense Research and Engineering, under the USD(AT&L), shall provide information and advice on basic research, applied research, and advanced technology development as it pertains to PSE technology development and transfer.

5.5. The Director, DTRA, under the authority, direction, and control of USD(AT&L) and the ATSD(NCB), shall:

5.5.1. Manage PSE RDT&E (ACD&P/SDD) projects with the Military Services, as they relate to the development of technology used to protect both DoD nuclear weapons and conventional systems. Responsibilities include clarification of mission needs; addressing

vulnerabilities and deficiencies requiring technological solutions; development of component technology prototypes; submission of cost and justification information to the DATSD(NM) in support of program budgeting and execution; and, in cooperation with the Military Services, development of design, test, and performance criteria for those solutions providing a reduction in technology risks.

5.5.2. Designate an individual to represent DTRA in the DoD PSEAG.

5.5.3. Coordinate nuclear security research and development projects with the membership of the DoD PSEAG and Security Policy Verification Committee (SPVC), established by Reference (f), to closely leverage resources and take advantage of crossover technology between nuclear weapons and conventional systems or equipment to meet common needs.

5.6. The Under Secretary of Defense for Intelligence (USD(I)) shall:

5.6.1. Advise the DoD PSE RDT&E (ACD&P/SDD) Program members of policy decisions and recommend changes to the DoD PSEAG according to Reference (g), as necessary.

5.6.2. Provide conventional physical security policy and coordinate the policy with the PSEAG.

5.7. The Director, Defense Intelligence Agency, under the USD(I), shall provide appropriate threat information to help develop PSE in response to confirmed requirements.

5.8. The Assistant Secretary of Defense for Special Operations and Low Intensity Conflict/Interdependent Capabilities, under the Under Secretary of Defense for Policy (USD(P)), shall coordinate the efforts of the Combating Terrorism Technology Support Office with the DATSD(NM) to avoid duplicated efforts for PSE RDT&E (ACD&P/SDD).

5.9. The Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs, under the USD(P), shall coordinate with the DATSD(NM) and provide advice for the DoD PSE RDT&E (ACD&P/SDD) Program as it pertains to homeland defense-related activities and programs.

5.10. The Chairman of the Joint Chiefs of Staff shall:

5.10.1. Provide a forum for joint considerations for proposed and emergent PSE RDT&E (ACD&P/SDD) programs.

5.10.2. Ensure the capability needs of the Combatant Commands are addressed in joint PSE RDT&E (ACD&P/SDD) projects.

5.11. The Commanders of the Combatant Commands, through the Chairman of the Joint Chiefs of Staff and after consultation with the appropriate Military Service Components, shall present PSE operational capability needs for consideration by the PSEAG.

5.12. The Secretary of the Army shall:

5.12.1. Perform the oversight, management, operation, and logistics support planning functions for the development, integration, and engineering of programs, as assigned herein. Primary functional areas of responsibility for the Secretary of the Army are, but not limited to: interior PSE, tactical security equipment, barriers, lighting systems, personnel alerting systems, command and control systems, and interior and exterior robotics.

5.12.2. Publish Department of the Army standards and specifications as well as design, test, and performance criteria for specified programs.

5.12.3. Provide cost and justification information to the DoD PSEAG in support of program budgeting and execution.

5.12.4. Designate an individual to represent the Department of the Army in the DoD PSEAG.

5.13. The Secretary of the Navy shall:

5.13.1. Perform the oversight, management, operation, and logistics support planning functions for the development, integration, and engineering of programs, as assigned herein. Primary functional areas of responsibility for the Secretary of the Navy are, but not limited to: locks, safes, vaults, seals, containers, and related delay systems (e.g., door systems); shipboard and waterfront security systems; anti-compromise evaluations; explosive detection systems; and related robotic systems as they apply to waterside use.

5.13.2. Publish Department of the Navy standards and specifications as well as design, test, and performance criteria for specified programs.

5.13.3. Provide cost and justification information to the DoD PSEAG in support of program budgeting and execution.

5.13.4. Designate an individual to represent the Department of the Navy in the DoD PSEAG.

5.13.5. Designate an individual to represent the United States Marine Corps in the DoD PSEAG.

5.14. The Secretary of the Air Force shall:

5.14.1. Perform the oversight, management, operation, and logistics support planning functions for the development, integration, and engineering of programs, as assigned herein. Primary functional areas of responsibility for the Secretary of the Air Force are, but not limited to: exterior PSE (excluding barriers and lighting systems); access control systems; active denial technology (i.e., directed energy); and aerial intrusion detection systems.

5.14.2. Publish Department of the Air Force standards and specifications as well as design, test, and performance criteria for specified programs.

5.14.3. Provide cost and justification information to the DoD PSEAG in support of program budgeting and execution.

5.14.4. Designate an individual to represent the Department of the Air Force in the DoD PSEAG.

## 6. PROCEDURES

6.1. The DoD PSE RDT&E (ACD&P/SDD) Program responds to the materiel needs expressed by the Combatant Commands and Military Services. Physical security equipment capabilities, or gaps in capabilities, are identified by the Combatant Commands and Military Services by means of the Joint Capabilities Integration and Development System in response to National and OSD-level guidance. The resulting proposed materiel solutions then enter the Defense Acquisition System (DAS) (Reference (d)). Those solutions requiring RDT&E (ACD&P/SDD) shall be referred to the DATSD(NM). The DATSD(NM) shall coordinate PSE materiel development with representatives from the Military Services and DTRA.

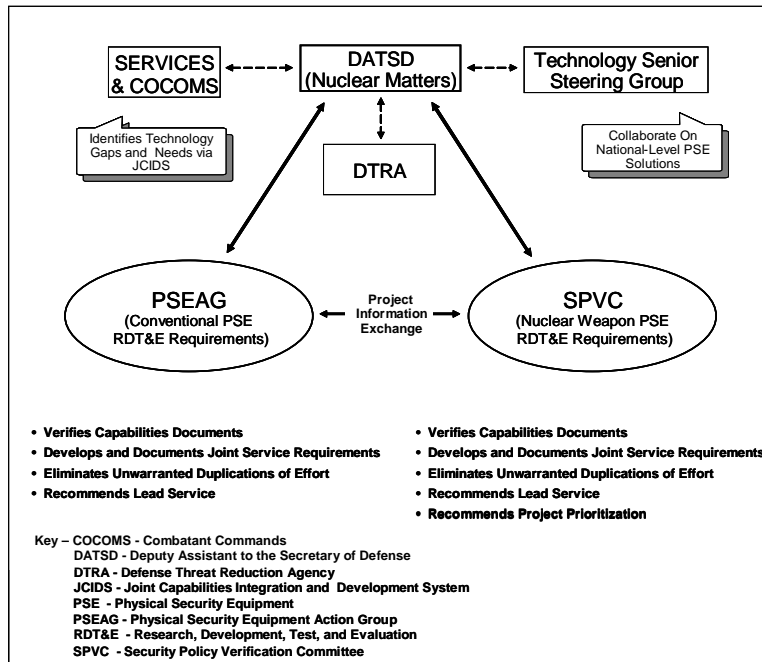
6.2. The DATSD(NM) shall use the DoD PSEAG to assist in executing the provisions of this Instruction for the review, selection, and implementation of conventional security-related equipment development efforts. The DATSD(NM) shall use the SPVC to assist in executing the provisions of this Instruction for the review, selection, and implementation of nuclear weapon security-related efforts. The DoD PSEAG and SPVC, and their working groups, shall coordinate projects to avoid duplicative efforts and maximize the acquisition process through joint collaboration. (See Figure F1.)

6.3. The DATSD(NM) centralized management of DoD PSE RDT&E activities applies between Milestones A and C of the DAS. The DATSD(NM) shall provide RDT&E (ACD&P/SDD) funding for project execution following the Military Service production or procurement decision authority's approval of the project. Funding shall be provided for COTS testing and integration in support of Military Service projects. Documentation such as the current acquisition strategy, the acquisition program baseline, or developmental plans shall be provided by the Service PSE RDT&E representatives to illustrate that the project continues to meet the requirements of the Military Services and that fiscal resources are, or will be, available to support the transition to production or procurement. (See Figure F2.)

6.4. The DoD PSEAG shall organize and function effectively to assist the DATSD(NM) in managing the DoD conventional PSE RDT&E (ACD&P/SDD) Program.

6.4.1. The DoD PSEAG membership shall include designated individuals from the Military Services and DTRA. OSD staff, the Joint Staff, and other Federal Agencies will provide advice as required.

Figure F1. PSE RDT&E (ACD&P/SDD) Requirements Identification Process



6.4.2. The DoD PSEAG shall establish working groups to address issues assigned by the Chairperson. Two permanent working groups established by the DoD PSEAG include the Joint Requirements Working Group (JRWG) and the Security Equipment Integration Working Group (SEIWG).

6.4.2.1. The JRWG shall review the Military Services’ conventional RDT&E (ACD&P/SDD) PSE proposed and ongoing projects and accomplish the following tasks prior to submitting the results to the DoD PSEAG.

6.4.2.1.1. Verify capability documents exist for materiel solutions to required capabilities or capability gaps.

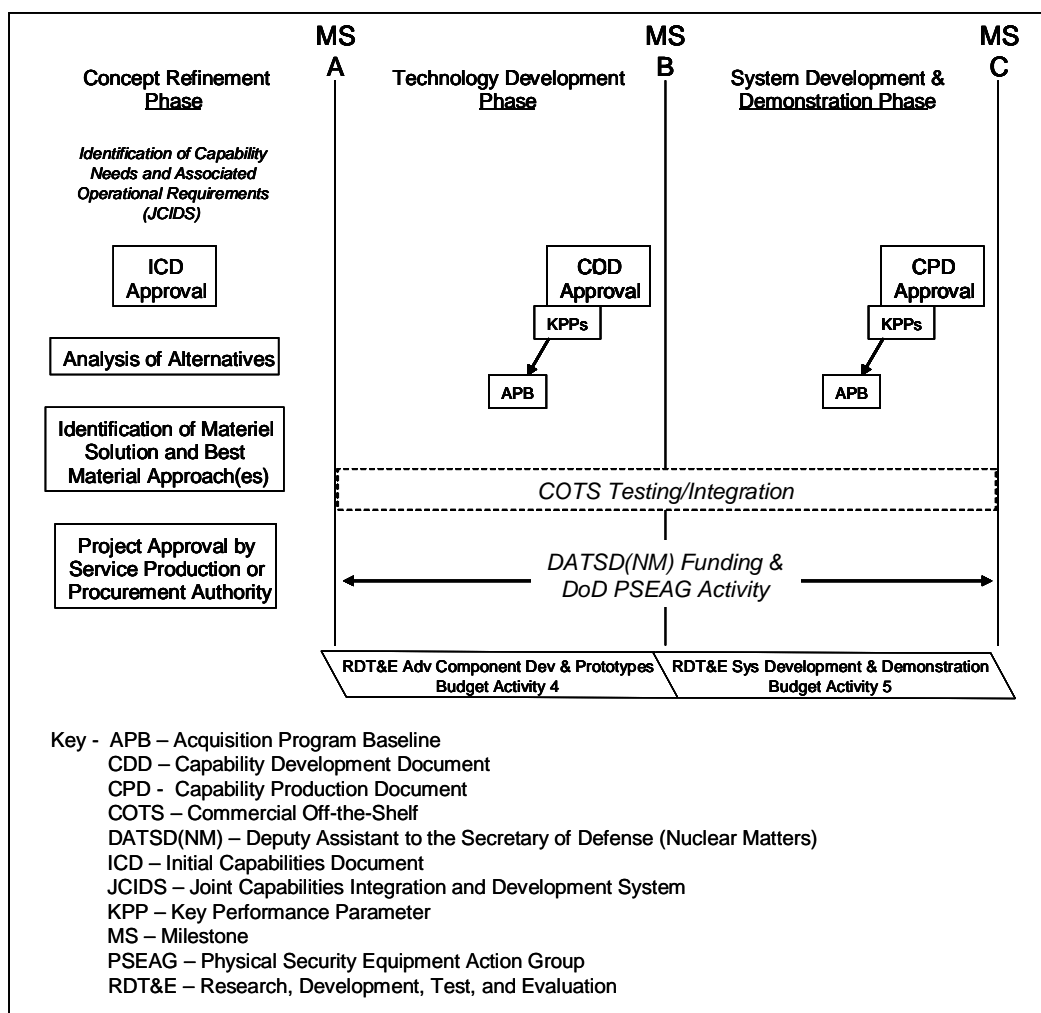
6.4.2.1.2. Develop and verify Joint Service requirements for materiel solutions.

6.4.2.1.3. Eliminate unwarranted duplication of developmental efforts.

6.4.2.1.4. Develop recommendations regarding the lead Military Service for proposed projects.

6.4.2.2. The JRWG also shall:

Figure F2. PSE RDT&amp;E (ACD&amp;P/SDD) Relationship to the DAS



6.4.2.2.1. Maintain current copies of capabilities documents for all approved and ongoing conventional PSE RDT&E (ACD&P/SDD) projects. These capabilities documents shall be used to justify the technology efforts to meet the stated required capability.

6.4.2.2.2. Verify the projects continue to meet the requirements of the Military Services and that fiscal resources are, or will be, available to support the transition to production or procurement.

6.4.2.2.3. Coordinate conventional PSE-related operational requirements and associated projects with the SPVC Technology Working Group (TWG) and other PSE RDT&E organizations to avoid duplicative efforts and to foster program collaboration, when feasible.

6.4.2.2.4. Establish and oversee the operation of the Force Protection and Physical Security Communities of Practice (FP&PSCOP) Internet portal.



6.4.2.2.5. Respond to other DoD PSEAG-assigned tasks and meet at the call of the JRWG Chairperson.

6.4.2.3. The JRWG membership shall include representatives of the Military Services and other mission-related organization representatives appointed by the DoD PSEAG Chairperson. A representative of the SPVC TWG, established by Reference (f), will participate as an advisor.

6.4.2.4. The SEIWG shall:

6.4.2.4.1. Coordinate and influence PSE system architecture, technical design, and systems integration to ensure PSE components and systems are integrated to foster interoperability of PSE within the physical security community and among the Military Services.

6.4.2.4.2. Respond to other DoD PSEAG-assigned tasks and meet at the call of the SEIWG Chairperson.

6.4.2.5. The SEIWG membership shall include representatives of the Military Services and other mission-related organization representatives appointed by the DoD PSEAG Chairman.

6.4.3. The DoD PSEAG shall meet four times per year. Figure F3. depicts the major DoD PSEAG-related activities and the DoD PSE RDT&E (ACD&P/SDD) requirements supporting the Planning, Programming, Budgeting, and Execution (PPBE) process.

6.5. All groups prioritizing nuclear weapon security projects shall use the following criteria:

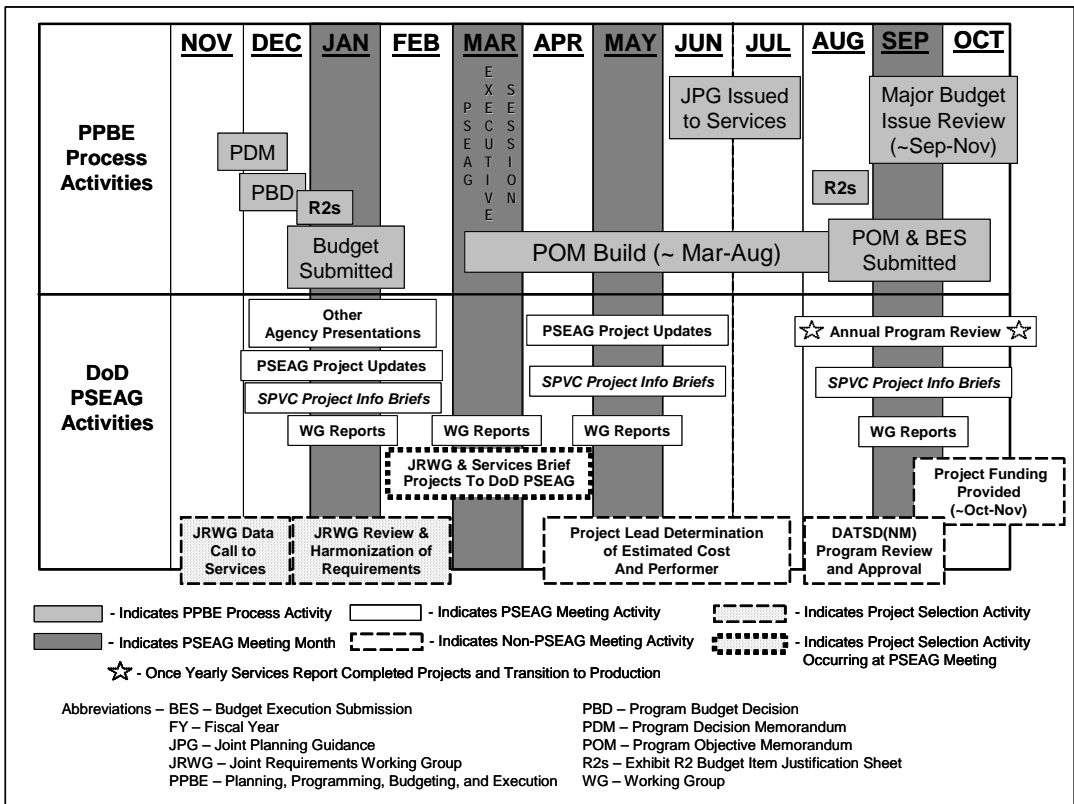
6.5.1. The project's direct contribution to the Nuclear Weapon Security Standard contained in Reference (f).

6.5.2. The project's intended reduction of risk by mitigating factors such as emerging adversary capabilities, improving the current security system, or reducing the magnitude of the consequence of a successful adversary attack.

6.5.3. The project's added value to other tenants of physical security that improve security system effectiveness by increasing efficiency or saving resources.

6.6. Due to the breadth and depth of many PSE-related issues, the DoD PSE RDT&E (ACD&P/SDD) community shall participate in technology information exchanges with other PSE-related agencies and collaborate on projects of common interest, when feasible. The DoD PSEAG shall support technology initiatives identified by multi-agency forums at the direction of the DATSD(NM).

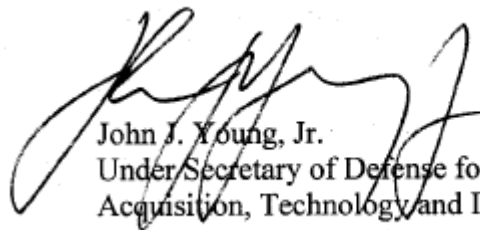
Figure F3. The PPBE Process and Representative DoD PSEAG Activities



6.7. The DoD PSE RDT&E (ACD&P/SDD) community is encouraged to use the DoD FP&PSCOP Internet portal and other information exchange forums to identify PSE projects, products, and capabilities available to the DoD user community and other U.S. Government agencies.

7. EFFECTIVE DATE

This Instruction is effective immediately.

  
 John J. Young, Jr.  
 Under Secretary of Defense for  
 Acquisition, Technology and Logistics, Acting

Enclosure – 1

E1. References, continued

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Instruction 5000.2, "Operation of the Defense Acquisition System," May 12, 2003
- (f) DoD Directive O-5210.41, "Security Policy for Protecting Nuclear Weapons," November 1, 2004
- (g) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I)),", November 23, 2005
- (h) Part 12 of the Federal Acquisition Regulation, current edition
- (i) Deputy Secretary of Defense Memorandum, "Implementation Guidance on the Realignment of Nuclear Weapons Physical Security Responsibilities to the USD(AT&L)," July 19, 2004 (hereby canceled)
- (j) Deputy Secretary of Defense Memorandum, "Implementation Guidance on the Realignment of Non-Nuclear Physical Security Responsibilities to the DATSD(NM)," October 10, 2005 (hereby canceled)
- (k) DoD 5200.08-R, "Physical Security Program," April 9, 2007