Office of Security  
U. S. Department of Energy

Human Reliability Program

ORIENTATION FOR SUPERVISORS

Center for Human Reliability Studies
Oak Ridge Institute for Science and Education
Operated by Oak Ridge Associated Universities
For the U. S. Department of Energy
Oak Ridge Associated Universities (ORAU) is a university consortium leveraging the scientific strength of major research institutions to advance science and education by partnering with national laboratories, government agencies, and private industry. ORAU manages the Oak Ridge Institute for Science and Education for the U.S. Department of Energy (DOE).

Oak Ridge Institute for Science and Education (ORISE) is a DOE facility focusing on scientific initiatives to research health risks from occupational hazards, assess environmental cleanup, respond to radiation medical emergencies, support national security and emergency preparedness, and educate the next generation of scientists. ORISE is managed by ORAU.

The Center for Human Reliability Studies (CHRS) provides a vehicle for achieving quality-oriented program support for DOE through research and analysis, technical guidance, and operational support in all areas of human reliability relating to occupational medicine, facility safety, personnel security, and the DOE Human Reliability Program. CHRS also conducts research on issues involving personnel reliability.

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Human Reliability Program

ORIENTATION FOR SUPERVISORS

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by
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INTRODUCTION

The United States Department of Energy (DOE) Human Reliability Program, or HRP, is a security and safety reliability program designed to ensure that individuals who occupy positions affording access to certain materials, nuclear explosive devices, facilities, and programs meet the highest standards of reliability and physical and mental suitability. The HRP is a consolidation of the Personnel Security Assurance Program (PSAP) and the Personnel Assurance Program (PAP), which were implemented to ensure secure and safe operation of DOE facilities.

The programs had many elements in common. The PSAP was a security program for individuals who occupied certain positions critical to the national security, and the PAP was a nuclear explosives safety program. By combining the PSAP and PAP into the HRP, the DOE has saved the cost of administering separate programs and created a stronger, more efficient, and more effective program.

The HRP includes a stringent system of continuous evaluation to identify individuals whose judgment and reliability may be impaired. By promptly identifying physical and mental/personality disorders, the use of illegal drugs or the abuse of alcohol, legal drugs, or other substances, or any other condition or circumstance that may represent a safety or security reliability concern, the HRP helps to ensure safe, reliable, and secure operations at DOE facilities.

Both DOE and the nation have a compelling interest in ensuring that individuals who hold HRP positions are functioning at their highest level of reliability. It is now more important than ever for HRP-certified individuals to be vigilant, learn their responsibilities, and safeguard the nation by performing their duties in a reliable manner. To this end, the HRP regulations stipulate that all personnel be provided a detailed explanation of their duties and responsibilities under the HRP. The HRP Orientation for Employees provides this information to HRP-certified individuals and HRP candidates.

As a supervisor of HRP workers, you have certain additional duties, including a review of all HRP candidates and HRP-certified individuals under your supervision. Although in general this manual reflects the employee manual, additional information is included in the “Supervisory

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1 10 CFR 712.17
2 Supervisor means the individual who has oversight and organizational responsibility for a person holding an HRP position, and whose duties include evaluating the behavior and performance of the HRP-certified individual.
Responsibilities” section that begins on page 9. In this additional section, the duties of supervisors are identified, the HRP requirements for supervisors delineated, and the elements of the supervisory review found in §712.13 of the rule are explained.³

The appendix provides HRP-specific definitions of terms found in the regulation. Details of the HRP are found in Title 10 of the Code of Federal Regulations, Part 712 (10 CFR Part 712).

³ 10 CFR §712.13
AN OVERVIEW OF THE HRP

Objective

The objective of the HRP is to protect the security of DOE facilities and the nation through a process of continuous evaluation of individuals assigned to, or applying for, designated positions that offer access to certain materials, facilities, and programs. The HRP identifies workers who may present safety or security reliability concerns because of impaired judgment caused by substance abuse, mental/personality or physical disorders, or other circumstances.

The HRP combines the PSAP and PAP and incorporates most elements of each into a single comprehensive regulation. The HRP saves the cost of administering two similar programs and is designed to be strong, efficient, and effective.

Scope

Individuals complete the HRP certification and recertification process if they are assigned to or apply for a position that:

- Affords access to Category I Special Nuclear Materials (SNM) or has responsibility for transporting or protecting Category I quantities of SNM.
- Involves nuclear explosive duties or has responsibility for working with, protecting, or transporting nuclear explosives, nuclear devices, or selected components.
- Affords access to information concerning vulnerabilities in protective systems when transporting nuclear explosives, nuclear devices, selected components, or Category I quantities of SNM.
- Affords the potential to significantly impact national security or cause unacceptable damage and has been approved as an HRP position.

Positions are nominated for the HRP by the Manager or the HRP management official after an analysis of the risks the position poses for the particular program. If the analysis shows that more restrictive physical, administrative, or other controls could be implemented that would prevent the position from being designated as an HRP position, those controls will be implemented, if practical.

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4 Manager means the Manager of the Chicago, Idaho, Oak Ridge, Richland, and Savannah River Operations Offices; Manager of the Rocky Flats Office; Manager of the Pittsburgh Naval Reactors Office and the Schenectady Naval Reactors Office; Site Office Managers for Livermore, Los Alamos, Sandia, Y-12, Nevada, Pantex, Kansas City, and Savannah River; Director of the Service Center, Albuquerque; Assistant Deputy Administrator for the Office of Secure Transportation, Albuquerque; and for the Washington, D.C. area, the Director, Office of Security.
Requirements

The following general requirements apply to HRP-certified individuals and HRP candidates:

- A DOE “Q” access authorization
- Completion of HRP instruction initially and then annually thereafter
- No use of a hallucinogen or flashback from a hallucinogen during the past five years
- Signed releases, acknowledgments, and waivers on the forms provided by DOE
- Successful completion of a counterintelligence evaluation

The following requirements must be performed for certification and recertification:

- Submission of the Questionnaire for National Security Positions (QNSP), Part 2
- Testing for illegal drugs for certification; for recertification, an unannounced random test will be performed at least once every 12 months in accordance with 10 CFR 707, the “Drug-Free Federal Workplace Testing Implementation Program” for DOE employees and, for contractor employees, DOE Order 3792.3
- Alcohol testing for certification; for recertification, an unannounced random test will be conducted at least once every 12 months
- Successful completion of a supervisory review, medical assessment including a psychological evaluation, management evaluation, and DOE personnel security review

All individuals currently in the PSAP and PAP will be grandfathered into the HRP. Individuals in newly identified HRP positions must immediately sign the required releases, acknowledgments, and waivers to participate in the HRP. They must also complete initial instruction on the importance of security, reliability, and suitability. If these requirements are not met, the individual will be removed from the position immediately. All remaining requirements listed above must be completed in an expedited manner.

Process

Before being assigned to HRP duties, individuals must be certified in the HRP. After initial certification, recertification is required every 12 months. Within each DOE or contractor organization, the HRP certification and recertification process consists of supervisory review,
medical assessment, management evaluation, and DOE personnel security review. A brief description of these components follows.

**Supervisory review**

Supervisors are responsible for making sure that HRP candidates properly complete the necessary paperwork for certification. Each 12 months, the supervisor must conduct a review of each HRP-certified worker to evaluate that worker’s suitability to perform HRP tasks in a safe and reliable manner.

The “Supervisor Responsibilities” section that begins on page 9 of this manual describes the duties of supervisors and explains the supervisory review elements found in §712.13 of the rule.

The supervisor must report concerns resulting from this review (or any time such information is identified) to the appropriate HRP management official. Any time the supervisor believes an individual has demonstrated behavior that is a security or safety concern, that individual must be removed from HRP duties immediately. The supervisor also must remove an individual who fails to obtain HRP recertification.

**Medical assessment**

The medical assessment evaluates HRP candidates and HRP-certified individuals to identify possible security concerns or conditions that can hinder safe and reliable performance of HRP duties. Conditions that indicate a concern include (1) physical or medical disabilities; (2) mental/personality disorders; (3) substance abuse; (4) threats of suicide, homicide, or physical harm; and (5) certain medical conditions or the use of prescription drugs that may have an adverse affect on performing job duties safely and reliably.

Psychological evaluations are a part of the medical assessment and must be conducted for initial HRP certification and for recertification. The initial evaluation consists of a semi-structured interview and a psychological test. For recertification, a semi-structured interview will be conducted and a test may be performed if warranted. Every third year the psychological evaluation will include a psychological test. Additional psychological or psychiatric evaluations may be required by the Site Occupational Medical Director (SOMD) to resolve safety or security reliability concerns.
Medical assessments are required for workers in HRP positions once every 12 months, or more often if recommended by the SOMD. They are performed initially on individuals who are tentatively selected for HRP positions and those who are in such positions but have not yet received certification. A job task analysis must be provided to both the Designated Physician and the Designated Psychologist before a medical assessment is performed. If a physical or mental condition develops that can affect the individual’s ability to perform HRP duties, an intermediate examination may be performed. When a worker returns to work after sick leave, a written medical recommendation may be required. (See section on return to work procedures, page 8.)

**Management evaluation**

An evaluation by the HRP management official is required before an individual can be considered for initial certification or recertification. This evaluation is based on a careful review of results of the supervisory review, medical assessment, and drug and alcohol tests. The HRP management official then forwards a recommendation, including any safety or security concerns, to DOE personnel security.

**DOE personnel security review**

Upon receiving the supervisory review, medical assessment, and management evaluation and recommendation, a personnel security specialist will review the personnel security file. If the review is favorable, the information is then forwarded to the HRP certifying official. If the review reveals a security concern, or if a security concern is identified during another component of the HRP process, the HRP certifying official must be notified. The concern is evaluated according to procedures outlined in 10 CFR Part 710, Subpart A, and resolved according to those procedures.

**Instruction**

The HRP requires initial and annual instruction for HRP-certified workers that includes the following elements:

- The objectives of the HRP and the roles and responsibilities of each individual, including recognizing and reporting security concerns, prescription drug use, return to work requirements, and the continuous evaluation process
- Information about recognizing and responding to behavioral changes or unusual behavior and about how such behavior may result in a risk to national security or facility safety
- For those with nuclear explosive responsibilities, a detailed explanation of their duties and safety requirements
- For medical personnel, a detailed explanation of their HRP duties and responsibilities
The eight-hour abstinence rule

Section 712.11(c) prohibits individuals who perform nuclear explosive duties and those in certain other specified HRP positions from consuming alcohol for eight hours preceding scheduled work.

Individuals reporting for unscheduled nuclear explosive duties, and those in other specified positions, will be asked before performing any type of work if they have consumed alcohol during the preceding eight-hour period. If the answer is no, they may perform their duties, but may still be tested for alcohol consumption. An individual whose confirmatory breath alcohol test result is at or above 0.02 percent will be sent home and not allowed to perform HRP duties for 24 hours.

Occurrence and reasonable suspicion drug and alcohol tests

When an HRP-certified individual is involved in, or associated with, an occurrence that requires immediate reporting to the DOE, testing for alcohol and drugs will be performed as soon as possible after the occurrence. Drug and alcohol testing will also be performed if an individual’s behavior creates the basis for a reasonable suspicion of alcohol or illegal drug use, and two or more supervisory or management officials (at least one of whom is in the individual’s direct chain of supervision or the SOMD) agree that the testing is appropriate. The basis for reasonable suspicion is a clearly expressed belief that the person possesses, or is under the influence of, alcohol or illegal drugs. This belief can be based on direct observation, a pattern of abnormal conduct or erratic behavior, or independently corroborated information provided by a reliable source. An individual who fails to appear for testing, impedes the testing process, or refuses testing will be removed from HRP duties immediately.

Transferring certification

An individual must currently be HRP-certified for certification to be transferred and must complete the site-specific instruction for the new facility. It must be verified that he or she is enrolled in the HRP and is transferring to a designated HRP position. It is also required that the individual be included in the new facility’s drug and alcohol testing program.

An HRP-certified individual who is temporarily assigned to an HRP position at another facility must complete site-specific instruction, and the home facility must verify that the individual is currently in the HRP. For recertification, the worker is required to return to the facility that maintains the HRP certification.

5 See Appendix for definition of occurrence.
**Removal from the HRP**

If a supervisor has a reasonable belief that an HRP-certified individual is not reliable based on either a safety or security concern, that individual must immediately be removed from HRP duties pending a determination of his or her reliability. Immediate removal is an interim, precautionary action and is not a determination that the individual is not fit to perform HRP duties. Removal is not in itself a cause for loss of pay or benefits, or other changes in employment status. Sections 712.19 through 712.23 of the HRP describe the process leading to reinstatement or revocation of HRP certification.

**Return to work procedures**

Some absences—such as return to work after having been on sick leave for five or more consecutive days, or an equivalent time period for those on an alternative work schedule—require a return-to-work evaluation performed by the Designated Physician, Designated Psychologist, or SOMD. A written recommendation based on the evaluation must be provided to the appropriate HRP supervisor regarding the individual’s return to work.

After an HRP-certified individual is treated for a disqualifying condition, the Designated Physician, Designated Psychologist, or SOMD may make medical recommendations for return to work and work accommodations. The following documentation is required:

- A summary of the diagnosis, treatment, current status, and prognosis to be furnished by the treatment provider to the Designated Physician
- The medical opinion of the Designated Physician advising the individual's supervisor whether the individual is able to return to work in either an HRP or non-HRP capacity
- Any periodic monitoring plan, approved by the Designated Physician or the Designated Psychologist and the SOMD, which is used to evaluate the reliability of the individual

If the disqualifying condition was a security concern, the appropriate procedure described in 10 CFR Part 710, Subpart A, will apply.

After an individual has undergone rehabilitative treatment for an alcohol use disorder, use of illegal drugs, or the abuse of legal drugs or other substances, the SOMD will order an evaluation to ensure that the treatment was successfully completed and verify that the individual is capable of performing HRP duties. The individual is subject to unannounced follow-up testing for illegal drugs or alcohol and relevant counseling for three years.
SUPERVISOR RESPONSIBILITIES

Supervisors are important to the success of the HRP at each DOE facility. It is the supervisor’s responsibility to:

• Support and reinforce the intent of the HRP.
• Ensure that each HRP candidate executes the required releases, acknowledgments, and waivers.
  ? The request for certification cannot be processed until this step is complete.
  ? If the documents are not executed, the supervisor must immediately remove the individual from the position.
• Conduct an annual review of each HRP-certified individual who is under his or her supervision.
  ? Evaluate the individual’s ability to perform HRP tasks in a safe and reliable manner.
  ? Report any safety or security concerns resulting from the review to the appropriate HRP management official.
• Immediately remove any individual who demonstrates a safety or security concern from HRP duties pending a determination of the individual’s reliability. A supervisor must also immediately remove an individual from HRP duties when requested to do so by the HRP certifying official. The actions to be taken are:
  ? Require the individual to stop performing HRP duties.
  ? Ensure the individual is denied both escorted and unescorted access to HRP work areas.
  ? Notify the individual and the HRP management official of the reasons for the action in writing within 24 hours.
• Remove any individual from HRP duties who fails to obtain recertification. The individual may be reassigned or current duties realigned.
• Continuously observe HRP-certified employees for signs of unusual behavior.
• Notify employees of random drug and alcohol testing; document the notification as required.
• Immediately remove any employee who refuses a drug or alcohol test.
• Complete initial and annual HRP instruction.
• Encourage and support employee rehabilitation.
• Immediately report to the responsible authorities any actions that change an employee’s HRP status; coordinate personnel actions with appropriate departments.
• Coordinate permanent reassignment of formerly-certified employees, if warranted.
The supervisory review

The HRP requires supervisors to complete a comprehensive annual review of each HRP-certified individual. The review, in which supervisors evaluate information (including security concerns) relevant to the individual’s suitability to perform HRP tasks in a reliable and safe manner, is an important element of the certification process. Supervisors must report any concerns that result from the review to the appropriate HRP management official.

The types of behaviors and conditions that could indicate a concern are listed in the HRP at §712.13(c) subsections (1) through (12). A brief explanation of each follows. All are potentially serious safety or security concerns. As a supervisor, your duty is not to determine the reason or cause for the employee’s behavior or condition, but to refer the employee for evaluation of the concern. Your discretion and training can help you to determine if a concern should be handled routinely as part of the annual supervisory review, referred to the SOMD, Designated Physician, Designated Psychologist for evaluation, or if the employee should be removed from HRP duties. Removals must be reported immediately to the HRP management official.

(1) Psychological or physical disorders that impair performance of assigned duties. Since supervisors have daily contact with HRP-certified individuals, they are in a good position to observe the physical and psychological fitness of those they supervise. Supervisors must be alert for conditions that can adversely affect reliable performance including physical disabilities such as a lack of visual acuity, defective color vision, impaired hearing, musculoskeletal deformities, and neuromuscular impairment. Changed or unusual behavior that may indicate a psychological condition should also be noted. These physical and psychological conditions must promptly be referred to the SOMD, Designated Physician, or Designated Psychologist for evaluation.

(2) Conduct that warrants referral for a criminal investigation or results in arrest or conviction. Although a thorough background investigation is conducted before a “Q” access authorization is granted, and a reinvestigation is conducted periodically for renewal, the circumstances of individual lives may change. Again, the supervisor’s daily contact with the individual can provide information regarding arrests, convictions, or criminal activities of those they supervise. This information is a concern because a history or pattern of unlawful behavior or criminal activity raises questions about an individual’s judgment, reliability, and trustworthiness. It also may reflect an unwillingness or inability to follow work procedures and facility security and safety rules.

(3) Indications of deceitful or delinquent behavior. Deceitful or delinquent behavior is inappropriate to those in sensitive positions and may indicate a potential security and safety risk. Deceit can result from trying to conceal a variety of potentially disqualifying conditions that must be investigated and evaluated. These conditions can include disqualifying physical or psychological conditions, drug, alcohol, or financial problems, involvement with foreign interests, and criminal activity that may lead to blackmail or...
coercion. On the job, delinquent behavior can include theft of equipment and supplies, falsification of time reports, covering up safety or security infractions, and a variety of other behaviors that indicate poor judgment, untrustworthiness, and unreliability. Delinquent or deceitful behavior indicates a basic unwillingness or inability to comply with workplace safety and security rules and procedures.

(4) **Attempted or threatened destruction of property or life.** These actions indicate a lack of emotional control and questionable judgment. An attempt to destroy property or life is a serious infraction of the rules and one that immediately poses a danger to personnel and facility safety. Threats of destruction or violence are intended to manipulate another’s behavior, frighten others, or seek support from onlookers. The more specific a threatened action or target, the more likely it is that the threat will be carried out.

(5) **Suicidal tendencies or attempted suicide.** Talking about suicide or attempting suicide reflects severe psychological problems. These psychological problems can endanger the facility and personnel. Immediately refer all who talk about suicide, exhibit suicidal tendencies, or attempt suicide to the Designated Physician, Designated Psychologist, or the SOMD.

(6) **Use of illegal drugs or the abuse of alcohol, legal drugs, or other substances.** Obviously, a worker whose physical or mental condition is impaired by substance abuse is not reliable and presents both safety and security concerns. In addition to the random, annual tests for drugs and alcohol required for recertification, the HRP provides for drug and alcohol testing if an individual is involved in an incident, unsafe practice, occurrence, or based on reasonable suspicion.⁶

(7) **Alcohol use disorders.** When alcohol use adversely affects a person’s physical or mental health, has a negative affect on social, occupational, or personal functions, or becomes a prerequisite to normal functioning, that individual is said to have an alcohol use disorder. Even if these individuals are technically sober, they can be physically and mentally impaired. Short-term memory, coordination, and tremors, and convulsive disorders can also result from long-term heavy alcohol use. Behavioral effects can include moodiness, impulsiveness, irritability, and violence. In additional to being a concern in the HRP, alcohol use disorders are found in the list of security concerns found in 10 CFR §710.8(j).

(8) **Recurring financial irresponsibility.** The most obvious effect of financial irresponsibility is the possibility that the individual’s financial woes could be an inducement to espionage or sabotage. Another concern is blackmail or coercion. Underlying concerns center on the individual’s judgment, reliability, and behavior control. Financial irresponsibility may also result in reportable criminal concerns such as expense account fraud, embezzlement, check fraud, and income tax evasion.

⁶ See HRP 712.15(b) through (e) for the drug and alcohol testing protocol.
(9) **Irresponsibility in performing assigned duties.** When an individual fails to responsibly perform duties at work, it may indicate a more general pattern of irresponsible behavior that can be a significant threat to safety and security.

(10) **Inability to deal with stress, or the appearance of being under unusual stress.** Although small amounts of stress are normal to daily life, high levels can raise reliability concerns. Physically, an individual under extreme stress loses the ability to concentrate, perform complex and coordinated actions, and incorporate sensory input. High levels of stress also affect judgment, emotional control, and self-assessment skills. HRP-certified individuals may feel stress caused by the changes involved in working shifts, attention to procedures and detail, and working with dangerous or classified materials. Other changes in the workplace, such as reorganization or procedure modification, also cause stress. Stress outside of work, such as the death of a spouse, divorce, or financial pressures will affect performance on the job. In addition, an inability to deal with stress or being under unusual stress may be a sign of serious emotional problems, substance abuse, or criminal activity.

(11) **Failure to comply with work directives, hostility or aggression toward fellow workers or authority, uncontrolled anger, violation of safety or security procedures, or repeated absenteeism.** All of the concerns listed above are a reflection of negative attitudes that present both safety and security risks. Hostile, aggressive employees and those who display anger inappropriately are likely to transfer their anger and aggression into actions that harm the facility or others. Those who fail to comply with orders, violate procedures, or are repeatedly absent are displaying negative behavior in a more passive way. These actions should be noted during the supervisory review so that they can be evaluated.

(12) **Significant behavioral changes, moodiness, depression, or other evidence of loss of emotional control.** All behavior reflects mental processes. Significant behavioral changes or emotional difficulties may indicate problems with the mental processes that control a worker’s reliability. Although it may be tempting to try to find out the cause of the worker’s difficulties, the supervisor’s duty is to make a prompt and factual report about the behavior. The worker will be evaluated by professionals to determine the cause of the behavior.

As a supervisor, you may have questions about some of these circumstances or the behavior of a particular individual. You are encouraged to consult the SOMD, Designated Physician, Designated Psychologist, HRP management official, or DOE personnel security staff for further explanation or clarification of each of the items above.

The supervisory review is the first step in the HRP certification/recertification process. Because of the supervisor’s knowledge of the employee’s normal behavior, it is a vital element of the process. Changes in employee behavior should prompt action by the supervisor. Additional observation, referral, or removing the employee from HRP duties are options that the supervisor must evaluate. It is important that supervisors call upon HRP staff resources if they have questions about the appropriate action to take.
EMPLOYEE RESPONSIBILITIES

The HRP requires HRP candidates and HRP-certified individuals to:

- Read, sign, and submit releases, acknowledgments, and waivers.
- Provide full, frank, and truthful answers to questions and supply information that DOE requires to reach a certification decision.
- Notify the Designated Physician, Designated Psychologist, or SOMD immediately of a physical or mental condition that requires medication or treatment.
- Report any behavior or condition, including those listed under the supervisory reviews section (page 5) that may affect his or her ability to perform HRP duties.
- Report unusual behavior that could indicate a reliability concern in other HRP-certified individuals.

Under general DOE personnel security policies found in DOE Order 472.1C, all HRP-certified individuals must notify the DOE personnel security office of certain events including:

- Garnishment of wages.
- Filing for bankruptcy (personal or business-related).
- Any business-related association with a foreign interest.
- Any arrest, criminal charge, or law enforcement detention other than for traffic violations resulting in a fine of $250 or less.
- Legal name change.
- Change in citizenship.
- Hospitalization or other treatment for a mental illness, treatment for drug abuse, or treatment for alcohol abuse.
- Approach or contact by anyone seeking unauthorized access to SNM or classified matter.
- Marriage to, or cohabitation with, an individual who does not hold an access authorization.
POSITIVE ASPECTS OF THE HRP

The HRP incorporates efficient and long-established DOE methods of determining eligibility for access to classified material, nuclear explosives, or significant quantities of SNM. The HRP concepts are not new or unique, but a combination of the former PSAP and PAP requirements. A number of areas are enhanced in the HRP including:

- **Security awareness.** Because HRP-certified employees perform highly specialized duties, they are normally more aware of on-the-job security concerns.

- **Personal safety.** Keeping unreliable employees out of HRP positions can enhance the personal safety of both these employees and their coworkers.

- **Personal health.** All HRP employees must undergo comprehensive medical examinations that include a psychological evaluation. Employees will receive reports of all findings even though the findings may not indicate a reliability concern.

- **Right to privacy.** The HRP ensures that employee records are strictly confidential. Normally, only DOE security officials have access to these records for resolving security concerns. A determination to release HRP records must be based on Privacy Act considerations including a need to know. DOE and contractor personnel must also maintain all HRP records in accordance with the DOE Records Management Program.

- **Equal treatment.** Both DOE and contractor employees are subject to the same basic HRP regulations and policies and all are treated in the same manner.

- **Due process.** DOE regulations prescribe formal procedures for resolving questions about an individual’s access authorization and HRP certification.

- **Checks and balances.** The HRP has a built-in system of checks and balances for the actions of both management officials and DOE security officials. Only DOE can make final access authorization determinations.

If a coworker or supervisor repeatedly, and without substantial evidence, reports another HRP employee as posing a reliability concern, the actions and motives of the person making the allegations will be examined. Evidence of deliberate falsification or dishonesty may raise a concern regarding the continued eligibility for access authorization of the person making the questionable reports.

Similar programs at other federal entities include:

- **Department of Defense.** The DoD Personnel Reliability Program evaluates and monitors individuals who have access to nuclear weapons.

- **Nuclear Regulatory Commission.** This program requires licensees to establish programs to certify that nuclear power plant personnel who have access to vital areas are fit for duty.

- **Federal Aviation Administration.** Medical standards certify that pilots and air traffic controllers are mentally and physically reliable.
Insider Risk??
Which of these photos indicate someone who could be an insider risk?
Circle your choices.
Answer

Because there is no clear way to identify individuals who pose a threat to the safety and security of their coworkers and DOE facilities, there is no correct response to the question in the exercise. The HRP requires that instruction be provided initially, and then annually, to both supervisors and employees to help them identify potential safety and security risks.

It is not the intent of the HRP to cause undue alarm or suspicion in the workplace. Recent events have proven, however, that it is easy for supervisors and employees to become complacent about security and safety. Because of continuing terrorist threats and recent breaches of security, the HRP is designed to be a focal point to help ensure a safe and secure work environment that protects individual employee rights while maintaining national security and facility safety.
MINIMIZING INSIDER RISK

An insider is a person who has knowledge of operations or security systems characteristics because of his or her official duties, or who holds a position that could enhance the likelihood of bypassing or defeating such systems. Through the HRP evaluation process, the DOE seeks to reduce the insider risk. Theft, removal, or misuse of Category I quantities of SNM or detonation of nuclear explosives would probably be impossible without the participation of an insider, such as an HRP-certified individual, who has both unescorted access to the material and knowledge of safeguards and security systems.

The HRP focuses on insider risks resulting from behaviors or circumstances that can compromise an individual’s judgment or reliability. One example is the use of illegal drugs. At a minimum, the illegality of this behavior raises doubts about an individual’s willingness to follow security rules. Use of illegal drugs or misuse of prescription drugs can impair judgment and degrade compliance with security and safety regulations.

The habitual excessive use of alcohol is another example of a behavior that can impair an individual’s judgment and reliability. Alcohol abuse or dependence also weakens judgment and affects compliance with rules and procedures. Both alcohol and drug abuse often lead to financial problems, which can make an individual susceptible to outside influences.

Psychological disorders can also affect judgment and reliability. For example, an emotionally disturbed employee may develop problems that could lead to:

- Failure to comply with safety and security procedures.
- Hostility or aggression towards coworkers or authority.
- Substance abuse.
- Financial problems.

For those in HRP positions, these are insider risk issues.

A system of continuous evaluation is in place to identify insider risks posed by HRP-certified individuals. This system includes random alcohol and drug testing, supervisory reviews, medical assessments including a psychological evaluation, management evaluations, and DOE personnel security reviews. Each element of the evaluation is performed at least once every 12 months.
RELIABILITY CONCERNS

HRP-certified individuals may, in the normal course of their jobs, carry weapons, guard or work with Category I quantities of SNM or high explosives, have control or access to information about those materials or devices, have access to sensitive security areas, or various combinations of these. Individuals with such responsibilities have a potential to present special safety and security risks to coworkers, the public, and the nation. Any condition that is unusual or out of the ordinary, which could affect an individual’s ability to adhere to safety and security regulations, is a potential reliability concern.

The HRP establishes a multi-tiered system to identify and evaluate reliability concerns.

- Supervisors must review HRP-certified individuals every 12 months for conditions that may affect the safety and reliability of their job performance.\(^7\)
- HRP-certified individuals are required to report any observed behavior or condition of another HRP-certified individual that could indicate a reliability concern.
- HRP-certified individuals must report any behavior or condition that may affect their reliable performance of their HRP duties.

In addition to the review they perform for HRP certification and annual recertification, supervisors are required to continuously observe HRP-certified individuals to identify changes in behavior that may indicate a security or reliability concern. Because they are familiar with the employee’s normal behavior at work, supervisors of HRP-certified individuals play an important role in identifying workers whose judgment may be impaired by physical problems and/or mental/personality disorders, the use of controlled substances or alcohol, or any other condition that may represent a concern.

**Recognizing unusual behavior**

Good security and safety practices depend on regular and ongoing awareness and observation to identify unusual behavior. This is because, as shown in the illustration above, a person’s behavior is a direct reflection of his or her mental state. The mental functions of attention and concentration, reality testing, behavior control, and emotional control—all essential to reliable performance—can be impaired by alcohol, use of illegal drugs or other substances, a medical

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\(^7\) Those conditions are found in 10 CFR §712.13(c) and listed on page 5 under supervisory review.
condition, a psychological condition, stress, depression, prescription drugs, or over-the-counter remedies. Supervisors can identify workers whose mental functions are impaired by observing their behavior.

**Reporting and referral procedures**

Supervisors of HRP-certified employees have a clear understanding of what constitutes unacceptable behavior, and the parameters of acceptable behavior should be clear to all employees. If a supervisor observes unusual behavior in an HRP-certified employee and has reasonable belief that the behavior raises a safety or security concern, the supervisor must immediately remove that individual from HRP duties pending a determination of the individual’s reliability. If the removal is based on a security concern, the HRP management official must notify the HRP certifying official and the applicable DOE personnel security office for resolution of the concern under the criteria and procedures in 10 CFR 710, Subpart A.

Immediately and obviously unacceptable or dangerous behavior—an employee improperly removing classified documents from a secure area, brandishing a weapon, making threats, or being under the influence of alcohol or drugs—requires prompt action. Notify facility security at once.

Unusual behavior or unexplained changes in lifestyle or affluence that do not pose an immediate threat should be observed and documented. A written report stressing facts and emphasizing the worker’s day-to-day behavior and how it has changed is valuable. Those responsible will evaluate the report, identify and gather additional information if needed, and determine a course of action.

When an employee is referred for exhibiting unusual behavior, the Designated Physician, Designated Psychologist, or the SOMD will conduct a medical assessment that may include examinations by other specialists if appropriate. If the medical assessment reveals a condition or circumstance that can affect an HRP-certified employee’s reliability or judgment, the Designated Physician, Designated Psychologist, or the SOMD may recommend temporary restriction on the employee’s HRP duties or temporary reassignment to non-HRP duties. A report is then forwarded to the HRP management official who will immediately notify the HRP certifying official regarding:

- Security concerns reported by the supervisor or the Designated Physician, Designated Psychologist, or SOMD.
• Temporary medical restrictions or lifting of temporary medical restrictions.
• Temporary reassignment to non-HRP duties or the proposed return of a temporarily reassigned employee to HRP duties.

**Self reporting**

Under the HRP, workers must notify the SOMD immediately if they have a physical or mental condition that requires medication or treatment. They are also expected to refer themselves when they experience stressful, psychologically impairing, or other distressing events that may diminish their ability to perform HRP duties safely and reliably. The Designated Physician, Designated Psychologist, or SOMD will determine whether temporary removal of a worker from HRP duties is required. All such contacts are treated confidentially.
SECURITY CONCERNS

The HRP consists of an initial and a continuing evaluation process designed to detect security concerns involving HRP candidates and HRP-certified individuals and reduce the possibility of unreliable persons performing HRP duties. A DOE personnel security specialist will perform a personnel security review after receiving the supervisory review, medical assessment, and management evaluation and recommendation. If the review is favorable, the information is forwarded to the HRP certifying official. If the review reveals a security concern, or if a security concern is identified during another component of the HRP process, the HRP certifying official is notified and the security concern is evaluated in accordance with the criteria in 10 CFR Part 710, Subpart A.

Many security concerns arise from actual security violations such as:

- Failing to protect classified matter.
- Failing to safeguard SNM.
- Disclosing classified information without authorization.
- Violating other security regulations.

Other concerns may be:

- Criminal arrests or convictions.
- Involvement with illegal drugs.
- Alcohol abuse.
- Financial problems resulting in garnishments or bankruptcy.
- Manifestations of mental/personality disorders.
- Associations with foreign interests.

The HRP incorporates many elements to protect the national security and the safety of you, your coworkers, and the public at large. The success of the HRP, however, depends on the commitment of individuals in the program. As a supervisor of HRP-certified individuals, you are a critical element in ensuring the safe and secure operation of DOE programs and facilities.
APPENDIX

Definitions

The following definitions are from 10 CFR §712.3.

Accelerated Access Authorization Program means the DOE program for granting interim access to classified matter and special nuclear material based on a drug test, a National Agency Check, a psychological assessment, a counterintelligence-scope polygraph examination in accordance with 10 CFR Part 709, and a review of the applicant’s completed “Questionnaire for National Security Positions” (Standard Form 86).

Access means: (1) a situation that may provide an individual proximity to or control over Category I special nuclear material (SNM); or (2) the proximity to a nuclear explosive and/or Category I SNM that allows the opportunity to divert, steal, tamper with, and/or damage the nuclear explosive or material in spite of any controls that have been established to prevent such unauthorized actions.

Alcohol means the intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohol.

Alcohol abuse means consumption of any beverage, mixture, or preparation, including any medication containing alcohol, that results in impaired social or occupational functioning.

Alcohol concentration means the alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath as indicated by a breath test.

Alcohol use disorder means a maladaptive pattern in which a person’s intake of alcohol is great enough to damage or adversely affect physical or mental health or personal, social, or occupational function; or when alcohol has become a prerequisite to normal function.

Certification means the formal action the HRP certifying official takes that permits an individual to perform HRP duties after it is determined that the individual meets the requirements for certification.

Contractor means subcontractors at all tiers and any industrial, educational, commercial, or other entity, grantee, or licensee, including an employee, that has executed an agreement with the Federal government for the purpose of performing under a contract, license, or other arrangement.

Deputy Assistant Secretary for Health Studies means the DOE individual with responsibility for policy and quality assurance for DOE occupational medical programs.

Designated Physician means a licensed doctor of medicine or osteopathy who has been nominated by the Site Occupational Medical Director (SOMD) and approved by the Manager or designee, with the concurrence of the Deputy Assistant Secretary for Health Studies, to provide professional expertise in occupational medicine for the HRP.

Designated Psychologist means a licensed Ph.D., or Psy.D., in clinical psychology who has been nominated by the SOMD and approved by the Manager or designee, with the concurrence of the Deputy Assistant Secretary for Health, to provide professional expertise in the area of psychological assessment for the HRP.

Diagnostic and Statistical Manual of Mental Disorders means the current version of the American Psychiatric Association’s manual containing definitions of psychiatric terms and diagnostic criteria of mental disorders.

Drug abuse means use of an illegal drug or misuse of legal drugs.

Evidential-grade breath alcohol device means a device that conforms to the model standards for an evidential breath-testing device as listed on the Conforming Products List of Evidential Breath Measurement.
Devices published by the National Highway Traffic Safety Administration (NHTSA).

**Flashback** means an involuntary, spontaneous recurrence of some aspect of a hallucinatory experience or perceptual distortion that occurs long after taking the hallucinogen that produced the original effect; also referred to as *hallucinogen persisting perception disorder*.

**Hallucinogen** means a drug or substance that produces hallucinations, distortions in perception of sights and sounds, and disturbances in emotion, judgment, and memory.

**HRP candidate** means an individual being considered for assignment to an HRP position.

**HRP-certified individual** means an individual who has successfully completed the HRP requirements.

**HRP certifying official** means the Manager or the Manager’s designee who certifies, recertifies, temporarily removes, reviews the circumstances of an individual’s removal from an HRP position, and directs reinstatement.

**HRP management official** means an individual designated by the DOE or a DOE contractor, as appropriate, who has programmatic responsibility for HRP positions.

**Illegal drug** means a controlled substance, as specified in Schedules I through V of the Controlled Substances Act, 21 U.S.C. 811 and 812; the term does not apply to the use of a controlled substance in accordance with the terms of a valid prescription, or other uses authorized by Federal law.

**Impaired or impairment** means a decrease in functional capacity of a person that is caused by a physical, mental, emotional, substance abuse, or behavioral disorder.

**Incident** means an unplanned, undesired event that interrupts the completion of an activity and that may include property damage or injury.

**Job task analysis** means the formal process of defining the requirements of a position and identifying the knowledge, skills, and abilities necessary to effectively perform the duties of the position.

**Manager** means the Manager of the Chicago, Idaho, Oak Ridge, Richland, and Savannah River Operations Offices; Manager of the Rocky Flats Office; Manager of the Pittsburgh Naval Reactors Office and the Schenectady Naval Reactors Office; Site Office Managers for Livermore, Los Alamos, Sandia, Y-12, Nevada, Pantex, Kansas City, and Savannah River; Director of the Service Center, Albuquerque; Assistant Deputy Administrator for the Office of Secure Transportation, Albuquerque; and for the Washington, D.C. area, the Director, Office of Security.

**Material access area** means a type of Security Area that is authorized to contain a Category I quantity of special nuclear material and that has specifically defined physical barriers, is located within a Protected Area, and is subject to specific access controls.

**Medical assessment** means an evaluation of an HRP candidate and HRP-certified individual’s present health status and health risk factors by means of: (1) medical history review; (2) job task analysis; (3) physical examination; (4) appropriate laboratory tests and measurements; and (5) appropriate psychological and psychiatric evaluations.

**Nuclear explosive** means an assembly of fissionable and/or fusible materials and main charge high explosive parts or propellants that is capable of producing a nuclear detonation.

**Nuclear explosive duties** means work assignments that allow custody of a nuclear explosive or access to a nuclear explosive device or area.

**Occurrence** means any event or incident that is a deviation from the planned or expected behavior or course of events in connection with any DOE or DOE-controlled operation if the deviation has environmental, public health and safety, or national security protection significance, including (but not limited to) incidents involving: (1) injury or fatality to any person involving actions of a DOE employee or contractor employee; (2) an explosion, fire, spread of radioactive material, personal injury or death, or damage to property that involves nuclear explosives under DOE jurisdiction; (3) accidental release of pollutants that results from, or could result in, a significant effect on the public or
environment; or (4) accidental release of radioactive material above regulatory limits.

**Psychological assessment or test** means a scientifically validated instrument designed to detect psychiatric, personality, and behavioral tendencies that would indicate problems with reliability and judgment.

**Random alcohol testing** means the unscheduled, unannounced alcohol testing of randomly selected employees by a process designed to ensure that selections are made in a nondiscriminatory manner.

**Random drug testing** means the unscheduled, unannounced drug testing of randomly selected employees by a process designed to ensure that selections are made in a nondiscriminatory manner.

**Reasonable suspicion** means a suspicion based on an articulable belief that an individual uses illegal drugs or is under the influence of alcohol, drawn from reasonable inferences from particular facts, that an individual is in possession of, or under the influence of, alcohol or an illegal drug.

**Recertification** means the formal action the HRP certifying official takes annually, not to exceed 12 months, that permits an employee to remain in the HRP and perform HRP duties.

**Reinstatement** means the action the HRP certifying official takes after it has been determined that an employee who has been temporarily removed from the HRP meets the certification requirements of this part and can be returned to HRP duties.

**Reliability** means an individual’s ability to adhere to security and safety rules and regulations.

**Safety concern** means any condition, practice, or violation that causes a substantial probability of physical harm, property loss, and/or environmental impact.

**Security concern** means the presence of information regarding an individual applying for or holding an HRP position that may be considered derogatory under the criteria listed in 10 CFR Part 710, Subpart A.

**Semi-structured interview** means an interview by a Designated Psychologist, or a psychologist under his or her supervision, who has the latitude to vary the focus and content of the questions depending on the interviewee’s responses.

**Site Occupational Medical Director (SOMD)** means the physician responsible for the overall direction and operation of the occupational medical program at a particular site.

**Supervisor** means the individual who has oversight and organizational responsibility for a person holding an HRP position, and whose duties include evaluating the behavior and performance of the HRP-certified individual.

**Transfer** means an HRP-certified individual moving from one site to another site.

**Unacceptable damage** means an incident that could result in a nuclear detonation; high-explosive detonation or deflagration from a nuclear explosive; the diversion, misuse, or removal of Category I special nuclear material; or an interruption of nuclear explosive operations with a significant impact on national security.

**Unsafe practice** means either a human action departing from prescribed hazard controls or job procedures or practices, or an action causing a person unnecessary exposure to a hazard.