

**Army Regulation 50–5**

**Nuclear and Chemical Weapons  
and Materiel**

# **Nuclear Surety**

**Headquarters  
Department of the Army  
Washington, DC  
9 November 2018**

**UNCLASSIFIED**

# ***SUMMARY of CHANGE***

AR 50-5  
Nuclear Surety

This administrative revision dated, 14 February 2019—

- o Makes administrative changes (throughout).

This major revision dated, 9 November 2018—

- o Updates responsibilities for the nuclear Personnel Reliability Program (chap 1).
- o Updates reliability standards consistent with Department of Defense instruction 5210.42, DOD Nuclear Weapons Personnel Reliability Assurance (para 1-1).
- o Revises nuclear surety concept to apply to Army activities supporting the nuclear enterprise and the research reactor facility (para 1-5).
- o Identifies other Army publications that regulate security and accountability of positive control material and publications that regulate safety, security, and accountability of special nuclear material (para 1-5*b*).
- o Consolidates information on positive control material (para 1-5*c*).
- o Removes the chapter on nuclear accident or incident response and refers to AR 525-27, for installation response planning and DA Pam 50-5, for response planning not on Army installations (1-5*d*).
- o Removes the appendix for nuclear accident or incident reporting for nuclear weapons and reactor facilities. Refers to AR 50-7 for reactor emergency planning requirements (para 1-5*d*(3)).
- o Updates policy to identify Army personnel with nuclear Personnel Reliability Program duties (para 2-3).
- o Establishes DA Form 7762-2 (Nuclear Personnel Screening and Evaluation Record), for initial screening and continuing evaluation of Personnel Reliability Program personnel (para 2-7).
- o Revises the annual Personnel Reliability Program status reporting requirements to DOD and updates DA Form 7422 (Annual Personnel Reliability Program Status Report (para 2-7)).
- o Establishes DA Form 7762-1 (Nuclear Personnel Screening and Evaluation Record Statement of Understanding), to identify conditions of employment (para 2-8).
- o Revises the chapter on nuclear surety inspections for consistency with DOD and Joint Staff policy (chap 3).
- o Incorporates policy in Army Directive 2012-17 for the nuclear Personnel Reliability Program as applicable (throughout).

**Nuclear and Chemical Weapons and Materiel**  
**Nuclear Surety**

By Order of the Secretary of the Army:

**MARK A. MILLEY**  
*General, United States Army*  
*Chief of Staff*

Official:

  
**KATHLEEN S. MILLER**  
*Administrative Assistant*  
*to the Secretary of the Army*

**History.** This publication is an administrative revision. The portions affected by this administrative revision are listed in the summary of change.

**Summary.** This publication prescribes policies, procedures, and responsibilities for the Army Nuclear Surety Program and implements DODI 5210.42. This publication implements the nuclear Personnel Reliability Program for the Army.

**Applicability.** This publication applies to the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve. It also applies to Army Civilian employees. It does not apply to contractor employees unless with express authority. This regulation also applies during full mobilization.

**Proponent and exception authority.** The proponent of this regulation is the Deputy Chief of Staff, G–3/5/7. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity

and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

**Army internal control process.** This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendix E).

**Supplementation.** Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Deputy Chief of Staff, G–3/5/7 (DAMO–SSD), 400 Army Pentagon, Washington, DC 20310–0400.

**Suggested improvements.** Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Deputy Chief of Staff, G–3/5/7 (DAMO–SSD), 400 Army Pentagon, Washington, DC 20310–0400.

**Distribution.** This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

**Contents** (Listed by paragraph and page number)

**Chapter 1**  
**Introduction, page 1**

*Section I*

*General, page 1*

Purpose • 1–1, *page 1*

References and forms • 1–2, *page 1*

Explanation of abbreviations and terms • 1–3, *page 1*

Responsibilities • 1–4, *page 1*

Nuclear surety concept • 1–5, *page 1*

Supplemental guidance • 1–6, *page 2*

*Section II*

*Responsibilities, page 2*

Administrative Assistant to the Secretary of the Army • 1–7, *page 2*

Army Chief Information Officer/Deputy Chief of Staff G–6 • 1–8, *page 2*

The Inspector General • 1–9, *page 3*

\*This regulation supersedes AR 50-5, dated 10 January 2010.

## Contents—Continued

Deputy Chief of Staff, G-1 • 1-10, *page 3*  
Deputy Chief of Staff, G-2 • 1-11, *page 3*  
Deputy Chief of Staff, G-3/5/7 • 1-12, *page 3*  
The Surgeon General • 1-13, *page 3*  
Commanding General, U.S. Army Medical Command • 1-14, *page 3*  
Commanding Generals, U.S. Army Test and Evaluation Command and U.S. Army Cyber Command • 1-15, *page 3*  
Commanding General, U.S. Army Installation Management Command • 1-16, *page 4*

### Chapter 2

#### **Nuclear Personnel Reliability Program, *page 4***

##### *Section I*

*Introduction, page 4*  
General • 2-1, *page 4*  
Nuclear Personnel Reliability Program policy • 2-2, *page 4*  
Identifying and designating nuclear Personnel Reliability Program positions • 2-3, *page 5*  
Nuclear Personnel Reliability Program roster • 2-4, *page 6*

##### *Section II*

*Reliability standards, page 6*  
General • 2-5, *page 6*  
Nuclear Personnel Reliability Program qualifying criteria • 2-6, *page 6*  
Nuclear Personnel Reliability Program mandatory disqualifying or decertifying criteria • 2-7, *page 6*

##### *Section III*

*Certifying Official's Screening, page 7*  
General • 2-8, *page 7*  
Initial interview • 2-9, *page 7*  
Personnel security investigations • 2-10, *page 8*  
Personnel records review • 2-11, *page 9*  
Medical evaluation • 2-12, *page 9*  
Drug testing • 2-13, *page 10*  
Position qualification/technical proficiency • 2-14, *page 10*  
Certifying official's evaluation and briefing • 2-15, *page 11*  
Rescreening requirements for nuclear Personnel Reliability Program-certified individuals • 2-16, *page 11*

##### *Section IV*

*Continuing Evaluation, page 12*  
General • 2-17, *page 12*  
Individual and supervisor responsibilities • 2-18, *page 12*  
Personnel security investigations/periodic reinvestigations for nuclear Personnel Reliability Program purposes • 2-19, *page 13*  
Medical evaluation • 2-20, *page 13*  
Drug testing • 2-21, *page 13*

##### *Section V*

*Temporary and permanent removal from nuclear Personnel Reliability Program duties, page 14*  
General • 2-22, *page 14*  
Disqualification • 2-23, *page 14*  
Suspension • 2-24, *page 14*  
Decertification • 2-25, *page 15*  
Administrative decertification • 2-26, *page 16*

##### *Section VI*

*Qualification and Recertification, page 16*  
Qualification or recertification of disqualified or decertified personnel • 2-27, *page 16*  
Action upon qualification or recertification • 2-28, *page 17*

## **Contents—Continued**

### *Section VII*

*Annual Personnel Reliability Program Status Report, page 17*

Information requirements • 2–29, *page 17*

Preparation guidance • 2–30, *page 18*

### **Chapter 3**

**Nuclear Surety Program Evaluations and Inspections, page 18**

General • 3–1, *page 18*

Nuclear surety inspection reports • 3–2, *page 18*

Issue resolution • 3–3, *page 19*

### **Appendixes**

**A.** References, *page 20*

**B.** Personnel Reliability Program Suitability Guidelines for Certifying Officials, *page 23*

**C.** Employment Conditions, *page 27*

**D.** Instructions for DA Forms 7762–1 and 7762–2, *page 29*

**E.** Internal Control Evaluation, *page 31*

### **Glossary**



# Chapter 1 Introduction

## Section I

### General

#### 1–1. Purpose

This regulation establishes Department of the Army (DA) policies, assigns responsibilities, and prescribes procedures for the Army Nuclear Surety Program and implements Department of Defense instruction (DODI) 5210.42. This regulation establishes the nuclear Personnel Reliability Program (PRP) for the Office of the Administrative Assistant to the Secretary of the Army (OAA), Directorate of Mission Assurance, communications security (COMSEC) account personnel and specifically identified Army Signal Battalion COMSEC account personnel who administer and distribute positive control material (PCM) in support of the nuclear enterprise. In addition, this regulation establishes the nuclear PRP for personnel supporting special nuclear material (SNM) operations at the Army reactor.

#### 1–2. References and forms

See appendix A.

#### 1–3. Explanation of abbreviations and terms

See the glossary.

#### 1–4. Responsibilities

Responsibilities are listed in section II this chapter.

#### 1–5. Nuclear surety concept

*a.* The Army Nuclear Surety Program is designed to ensure the personnel reliability, security, and accountability of PCM and the personnel reliability, safety, security, and accountability of SNM.

*b.* The Army Nuclear Surety Program is regulated through the following publications:

(1) Standards to assess the personnel reliability of personnel designated for or assigned to nuclear duty positions through the PRP are established per this regulation and Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 3263.05 (series).

(2) Standards for nuclear reactor operations, safety, security, and SNM accountability are identified in AR 50–7.

(3) Standards for obtaining, managing, and accounting for COMSEC materials and security of PCM are established per references AR 380–40 and CJCSI 3260.01 (series).

(4) Army inspection policy is established per AR 20–1.

*c.* Army Signal Battalion and OAA COMSEC account personnel may be called upon to support the joint staff, unified commands, and other Services by storing and handling PCM (such as sealed authenticators and permissive action links (PAL), used in the authentication, release, unlock, lock termination, and destruction of nuclear weapons) and transmitting/receiving nuclear release/execution orders. COMSEC personnel who receive and distribute sealed authenticators or nuclear codes fill critical nuclear duty positions. Army Signal Battalion and OAA's COMSEC account personnel will store and handle PCM in accordance with the CJCSI 3260.01(series). If Army guidance conflicts with CJCSI 3260.01, CJCSI 3260.01 takes precedence.

*d.* Emergency management planning is outside the scope of the Army Nuclear Surety Program. Army emergency management policy and guidance related to nuclear resources can be found in the following Army publications:

(1) Baseline planning requirements for Army emergency management programs are established per AR 525–27.

(2) Planning guidance for senior commanders and staffs, when preparing for, and responding to a domestic nuclear accident or incident involving U.S. nuclear weapons not on Army installations are established in DA Pam50–5.

(3) Emergency plans for responding to accidents and incidents involving the Army reactor facility are required per AR 50–7.

*e.* Surety officers or surety focal points. Army commands (ACOMs), direct reporting units (DRUs), and subordinate organizations responsible for nuclear surety programs or surety support missions will appoint surety officers or surety focal points in accordance with the size and scope of their respective programs. ACOMs/DRUs also have the option to appoint surety officers and surety focal points at the operational level to accommodate their respective missions. The OAA is not required to appoint a surety officer or surety focal point. The nuclear surety officer or surety focal point may be a part-

time or full-time duty depending on the mission. ACOMs, DRUs, and subordinate organizations responsible for nuclear surety programs and surety support missions should select surety officers or surety focal points who have technical knowledge of nuclear related missions and practical experience. Surety officers or surety focal points—

- (1) Manage day-to-day operations of the nuclear surety program.
- (2) Act as the focal point for surety matters.
- (3) Monitor the nuclear surety program, as applicable, in accordance with paragraph 1–5*b* of this regulation, to ensure the program is receiving the necessary emphasis.
- (4) Expeditiously bring any incidents or shortcomings to the attention of the commander/director.
- (5) Serve as liaison with organizations that provide external support to the nuclear surety mission.

*f.* Surety boards. ACOMs, DRUs, and subordinate organizations responsible for nuclear surety programs may establish nuclear surety boards. The composition of the board depends on the mission and the staff elements and external agencies that support it. The commander/director who establishes a board will document its composition and responsibilities (local standing operating procedure, memorandum, or charter). For activities on installations with multiple surety missions, the surety board may be consolidated at the installation level.

*g.* Nuclear surety program evaluations.

(1) ACOMs and DRUs will ensure their subordinate organizations possessing PCM or SNM receive an internal or external evaluation that includes the PRP once every fiscal year.

(2) The Department of the Army Inspector General (DAIG) conducts nuclear surety inspections of organizations possessing PCM every 2 years, to evaluate the applicable standards in paragraph 1–5*b*(1) and 1–5*b*(3) of this regulation. The DAIG conducts a PRP inspection of the Army reactor facility every 2 years to evaluate the standards in paragraph 1–5*b*(1) of this publication. DAIG inspections are conducted under the authority of AR 20–1. Nuclear surety inspection report ratings will use the adjectival rating system for major graded areas for PRP and COMSEC management and administration in accordance with CJSCI 3263.05 (see paragraph 3–2*b*).

(3) The Army Reactor Council (ARC) conducts an operational review of the Army reactor facility every year in accordance with AR 50–7.

(4) The DAIG will provide copies of final nuclear surety inspection reports in accordance with paragraph 3–2*a* of this regulation. ARC operational review reports will be distributed in accordance with AR 50–7.

## **1–6. Supplemental guidance**

*a.* Commanders/directors are authorized to deviate from policies and procedures in this regulation in emergency situations. Commanders/directors responsible for nuclear surety programs may establish procedures for implementing this regulation, but will not establish additional PRP requirements.

*b.* Commanders/directors may cite this regulation as the authority for requesting resources necessary to enhance the personnel reliability of Army operations in support of the nuclear enterprise or the Army reactor facility.

## **Section II**

### **Responsibilities**

#### **1–7. Administrative Assistant to the Secretary of the Army**

The AASA will direct the Director of Mission Assurance to—

- a.* Develop and maintain a PRP consistent with this regulation.
- b.* Develop and maintain training programs to support the PRP in accordance with paragraph 2–14*b* of this regulation.
- c.* Review and submit requests for requalification or recertification for individuals disqualified or decertified from the PRP in accordance with paragraph 2–27 of this regulation, as required.
- d.* Develop a standard format for a PRP roster as the official documentation to request access to records for individuals identified for PRP positions in accordance with paragraph 2–4 and to identify reviewing and certifying officials in accordance with paragraphs 2–2 and 2–2*d*.
- e.* Prepare an annual PRP Status Report as of 31 December of each year in accordance with section VII of chapter 2 of regulation.

#### **1–8. Army Chief Information Officer/Deputy Chief of Staff G–6**

The Army CIO/DCS G–6 will support policy development for Army personnel supporting the nuclear enterprise in coordination with U.S. Army Cyber Command (ARCYBER) in accordance with AR 25–1.



### **1–9. The Inspector General**

TIG will conduct nuclear surety inspections in accordance with paragraph 1–5g(2) of this regulation.

### **1–10. Deputy Chief of Staff, G–1**

The DCS, G–1 will—

- a.* Provide oversight and coordination on Army personnel policies to support implementation of the PRP.
- b.* Support the development of personnel suitability screening policy to ensure certifying officials are provided appropriate information relevant to PRP qualifying and mandatory disqualifying and decertifying criteria in support of Army suitability requirements.

### **1–11. Deputy Chief of Staff, G–2**

The DCS, G–2 will—

- a.* Ensure counterintelligence agents provide support, as required, to Army personnel supporting the nuclear enterprise and reactor facility. This support should include training as required by AR 381–12.
- b.* Develop, review, and update personnel security policy for the PRP in accordance with AR 380–67 and oversee its implementation.

### **1–12. Deputy Chief of Staff, G–3/5/7**

The DCS, G–3/5/7 has overall Army Staff (ARSTAF) responsibility for the Army nuclear PRP. The DCS, G–3/5/7 will—

- a.* Develop overall policy for the Army nuclear PRP.
- b.* Review inspection reports for systemic problems related to the nuclear PRP.
- c.* Resolve PRP policy issues identified during nuclear surety program inspections conducted by TIG.
- d.* Receive, collate, and submit the Army nuclear PRP annual status report to the Deputy Assistant to the Secretary of Defense for Nuclear Matters.

### **1–13. The Surgeon General**

TSG will develop medical policies and procedures in support of the Army PRP. The TSG will—

- a.* Develop guidance for individuals performing PRP duties regarding what medical information must be reported to the competent medical authority (CMA), guidance for CMAs describing what medical information should be considered relevant for the PRP, and the required medical documentation in the health record, with respect to medical assessment and information communicated to certifying officials.
- b.* Designate a consultant to advise the ARSTAF on medical aspects of the PRP.
- c.* Ensure any and all electronic medical records used for the documentation of surety medical evaluations and/or care of personnel enrolled in a PRP support the requirements of this regulation.

### **1–14. Commanding General, U.S. Army Medical Command**

The CG, MEDCOM will—

- a.* Ensure subject matter experts in surety medicine and other disciplines conduct staff assistance visits of medical facilities supporting the PRP.
- b.* Maintain adequately trained, privileged, and resourced occupational health and industrial hygiene staff for the installation medical treatment facilities that support the PRP.
- c.* Define the clinical privileges required for the CMA delivering surety medicine services in support of the PRP.
- d.* Develop and deliver training in surety medicine for CMAs and other health care providers supporting the Army PRP.

### **1–15. Commanding Generals, U.S. Army Test and Evaluation Command and U.S. Army Cyber Command**

The CGs, ATEC and ARCYBER will—

- a.* Develop and maintain a PRP consistent with this regulation.
- b.* Develop and maintain training programs to support the PRP in accordance with 2-14b of this regulation.
- c.* Ensure subordinate organizations with personnel supporting the nuclear enterprise and the reactor facility are provided appropriate installation and external support.
- d.* Review and submit requests for requalification or recertification for individuals disqualified or decertified from the PRP in accordance with paragraph 2–27, as required.

*e.* Develop a command standard format for a PRP roster as the official documentation to request access to records for individuals identified for PRP positions in accordance with paragraph 2–4 and to identify reviewing and certifying officials in accordance with paragraphs 2–2*c* and 2–2*d*.

*f.* Prepare an annual PRP Status Report as of 31 December of each year in accordance with Section VII of chapter 2 of this regulation.

## **1–16. Commanding General, U.S. Army Installation Management Command**

The CG, IMCOM will—

*a.* Ensure oversight of garrison support to the tenant Army reactor facility and Army personnel supporting the nuclear enterprise activities on installations within its jurisdiction. Garrison support is provided to other tenant organizations on the installation.

*b.* Assist the commanders/directors of Army personnel supporting the nuclear enterprise and reactor facility in resolving issues of support from the garrison commander on installations within its jurisdiction.

*c.* Assist garrison commanders coordinating ACOM or DRU nuclear surety staff assistance visits and nuclear surety inspections.

## **Chapter 2 Nuclear Personnel Reliability Program**

### **Section I**

#### **Introduction**

#### **2–1. General**

This chapter establishes the PRP in accordance with DODI 5210.42. Army COMSEC account personnel supporting the nuclear enterprise and personnel supporting SNM operations at the Army reactor facility will be certified for the PRP when they meet the reliability standards of this chapter. The determination of reliability is accomplished through initial and continuing evaluation of individuals assigned to PRP positions. The PRP applies to U.S. citizens who are active duty military personnel and Army civilian personnel. Unless authorized by the Secretary of the Army (SECARMY), contractor employees will not be enrolled in the nuclear PRP.

#### **2–2. Nuclear Personnel Reliability Program policy**

*a.* Commanders/directors supporting the nuclear enterprise or operating the Army reactor facility will implement a PRP. Only personnel who demonstrate reliability will be certified for critical and controlled positions associated with administration and distribution of PCM in support of the nuclear enterprise and SNM operations at the Army reactor facility.

*b.* Individuals certified into the PRP will be under continuing evaluation to ensure adherence to reliability standards. Individuals who do not meet or maintain program standards will not be selected for or retained in the PRP.

*c.* Reviewing officials.

(1) A commander/director will designate certifying officials and screen and certify them in the PRP. The commander/director who designates certifying officials becomes the reviewing official for the PRP actions of those certifying officials. The commander/director serving as reviewing official will not be in a PRP position as identified in paragraph 2–3 of this regulation.

(2) The reviewing official reviews all certifying official disqualification and decertification decisions and monitors decisions to certify or retain individuals in the PRP. The reviewing official may overturn certifying official decisions to certify, retain, disqualify, or decertify individuals when procedures have been unfairly, inconsistently, or incorrectly applied.

*d.* Certifying officials.

(1) Certifying officials must be military or Army civilian personnel. The position of the certifying official is a PRP duty position per paragraph 2–3*b* of this regulation.

(2) The certifying official assesses an individual's suitability and reliability for PRP positions. The certifying official determines whether the individual is certified into or disqualified from the PRP during the initial screening. During continuing evaluation, the certifying official determines whether the individual continues to perform PRP duties, or is suspended or decertified from PRP duties. The certifying official must be able to maintain regular contact with the individuals they certify.

(3) See paragraph 2–16 of this regulation for procedures pertaining to instances where a certifying official changes or is absent and a required PRP action must be completed for personnel already in the PRP.

*e.* The Privacy Act of 1974 applies. Personally identifiable information collected, maintained, used, or disseminated in PRP execution must be safeguarded to prevent unauthorized use in accordance with AR 25–22. Additionally, all personnel requesting to be considered for assignment to the PRP must grant authority for release of information and records to allow the certifying official and other authorized personnel to review personnel security, personnel, and health records. If an individual does not grant permission for the records check and review, the individual is not eligible for the PRP.

*f.* Prior to assuming reviewing or certifying official duties, PRP training will be conducted in accordance with local procedures. Refresher PRP training will be conducted on a biennial basis. Initial PRP training will be documented and include as a minimum:

- (1) PRP purpose and applicability.
- (2) PRP roles and responsibilities.
- (3) PRP certification.
- (4) Continuing evaluation.
- (5) Decertification, removal, and recertification.

(6) Privacy Act and Health Insurance Portability and Accountability Act (HIPAA) requirements. Reviewing officials and certifying officials are only required to be aware of the Privacy Act and the requirement for health plans and healthcare providers to use and disclose protected health information (PHI) under HIPAA.

*g.* Certifying officials may appoint PRP monitors to assist in administering the day-to-day functions of the PRP. PRP monitors will receive initial PRP training in accordance with paragraphs 2–2*f*(1)–2–2*f*(6) of this regulation, prior to assuming duties and biennial refresher PRP training. PRP monitors may also be appointed at the installation or activity level to administer the consolidated day-to-day functions of multiple certifying officials. PRP monitor duties include: coordinating and disseminating PRP information, indoctrinating, and training PRP personnel on program objectives and procedures, and conducting staff assistance visits to all subordinate units with a PRP. Unless required by other PRP duties, PRP monitors are not required to be in the PRP.

*h.* The CMA and other medical personnel supporting the PRP will receive initial PRP training in accordance with paragraphs 2–2*f*(1)–2–2*f*(6) of this regulation, prior to assuming duties and the biennial refresher PRP training. CMA training should also include a discussion of assessing, documenting, and reporting PRP relevant medical factors, in accordance with MEDCOM guidance. CMAs and other medical personnel will receive Privacy Act and HIPAA training through the Military Health System.

### **2–3. Identifying and designating nuclear Personnel Reliability Program positions**

*a.* Certifying officials will identify and annually review PRP positions required to accomplish their mission, and designate each position as either critical or controlled (see glossary). PRP positions will be restricted to the minimum number required to accomplish the mission. When PRP positions become vacant, certified personnel shall be assigned as rapidly as possible.

(1) Army COMSEC account personnel who administer and distribute PCM in support of the nuclear enterprise are critical PRP positions. A single person will not be allowed the capability or opportunity to have access to PCM or devices. All positive control devices are subject to two-person control.

(2) Army personnel working with Army nuclear command and control (NC2) systems are not in PRP positions. Army NC2 systems provide backup or redundant support to primary or secondary national NC2 systems. Army NC2 systems do not represent a near single point of failure and do not meet the requirement for PRP positions in accordance with DOD Manual 5210.42.

(3) PRP positions at the Army reactor facility are controlled positions and include personnel who—

*(a)* Perform or supervise SNM operations.

*(b)* Perform inventories of, or have direct access to Category I or Category II SNM.

*(c)* Control and monitor intrusion detection systems for limited and exclusion areas containing SNM.

*(d)* Are full-time members of the security force with the authority and capability to direct physical protection activities of limited and exclusion areas containing SNM as part of their day-to-day duties and will serve as initial security response forces under emergency situations.

*(e)* Serve as armed personnel for security posts specifically assigned to protect and guard SNM as part of their day-to-day duties.

*(f)* Control entry and access to limited and exclusion areas containing SNM.

(4) Security response forces who are armed security personnel assigned to the Army reactor facility installation, but not assigned to day-to-day guard duties, are not PRP positions.

(5) Disinterested parties monitoring the SNM inventory process are not PRP positions. Disinterested parties monitoring the SNM inventory process must be escorted by two PRP certified personnel.

*b.* The certifying official will be designated as a critical or controlled PRP position commensurate with the highest category of any nuclear duty position in the unit or activity concerned. The commander/director who certifies the certifying official into the PRP does not require PRP certification and is not in a PRP position, even in cases where it is necessary for the certifying official to also perform PRP duties in paragraph 2–3*a* of this regulation. The certifying official’s additional PRP duties will be included on the PRP roster in accordance with paragraph 2–4 of this regulation.

*c.* Explosive ordnance disposal technicians conducting initial response or providing emergency support to the scene of a nuclear weapon or SNM accident or incident as part of the initial response force are not PRP positions.

#### **2–4. Nuclear Personnel Reliability Program roster**

*a.* Each certifying official will establish and maintain a PRP roster in accordance with either paragraph 1–7*d* or 1–15*e* of this regulation, as applicable. The PRP roster will be used as a management tool by the certifying official. The PRP roster identifies individuals certified and assigned by the certifying official to those PRP positions established by the certifying official. The certifying official’s signature on the PRP roster serves as the annual review of PRP positions required by DOD Manual 5210.42. The PRP roster will be distributed in accordance with local procedures to the offices supporting the PRP. The PRP roster will—

(1) Identify the minimum number of PRP positions required to accomplish the assigned nuclear mission. Vacant PRP positions will be listed.

(2) Identify individuals who are certified in the PRP and are trained and proficient in assigned nuclear duties.

*b.* The certifying official will not delete names of personnel suspended from the PRP (see para 2–24*a*(2)). The certifying official will ensure that individuals who are decertified (for cause in accordance with para 2–25 or administratively in accordance with para 2–26) are removed from the PRP roster.

## **Section II**

### **Reliability standards**

#### **2–5. General**

The certifying official will make a judgment on the reliability of an individual based on the qualifying and disqualifying, or decertifying criteria listed below and appendix B of this regulation.

#### **2–6. Nuclear Personnel Reliability Program qualifying criteria**

The following qualifying criteria are the attributes required of all PRP members.

*a.* Dependability, mental alertness, and technical proficiency commensurate with duty requirements.

*b.* Flexibility in adjusting to changes in the working environment, including ability to work in adverse or emergency situations.

*c.* Evidence of good social adjustment, emotional stability, personal integrity, ability to exercise sound judgment, and allegiance to the United States.

*d.* Positive attitude toward nuclear duties and the PRP.

*e.* U. S. citizenship.

#### **2–7. Nuclear Personnel Reliability Program mandatory disqualifying or decertifying criteria**

Any of the following conditions will result in disqualification of individuals being considered for PRP positions or decertification once the individual is enrolled in the PRP. Certifying officials will document these disqualification and decertification criteria on the DA Form 7762–2 ((Nuclear Personnel Screening and Evaluation Record) and report decertification on DA Form 7422 (Annual Personnel Reliability Program (PRP) Status Report) (RCS DDP–C3I (A) 1403), as shown below.

*a.* Any individual who is diagnosed with a mild, moderate, or severe alcohol use disorder, and does not successfully complete the prescribed treatment program, or fails to participate in a prescribed treatment program, will be disqualified (if a PRP candidate) or decertified (if currently enrolled in PRP). Document/report decertification employing the alcohol use disorder and alcohol related incident category.

*b.* An individual found to be involved in the unauthorized trafficking, cultivation, processing, manufacturing, or sale of any controlled or illegal drug, including cannabis-based products. Document/report decertification using the substance or drug misuse and drug incidents category.

*c.* An individual found to have ever used a drug that could cause flashbacks. Document/report decertification using the substance or drug misuse and drug incidents category.

- d.* Any PRP candidate, who has been previously diagnosed with severe substance use disorder (other than alcohol use disorder), must be disqualified. Document using the substance or drug misuse and drug incidents category.
- e.* Loss of confidence by the certifying official in the reliability of the individual. Document/report decertification using the personal conduct category.
- f.* Denial or revocation of the individual's security clearance. Document/report decertification using the revocation of security clearance category.

## **Section III**

### **Certifying Official's Screening**

#### **2–8. General**

*a.* The certifying official will judge the reliability of each individual identified for PRP positions. This will be based on an initial interview, a personnel security investigation (PSI), personnel records review, a medical evaluation, drug testing, and position qualification/technical proficiency. The processes described in this section will be used by the certifying official in making that judgment.

*b.* The certifying official will confirm an individual's eligibility before that individual begins performing PRP duties. Certification and the individual's acknowledgement of their responsibilities while PRP certified, will be formally documented and maintained. In addition, the certifying official will document the individual's acknowledgement of the conditions of employment in appendix C on DA Form 7762–1 (Nuclear Personnel Screening and Evaluation Record–Statement of Understanding). Instructions for completing the DA 7762–1 are included in appendix D. The DA Form 7762–1 will be filed in the electronic official personnel folder (eOPF) for Army civilian personnel and in the Army Military Human Resource Record (AMHRR) for military members (see paras 2–23, 2–25, and 2–26 for additional information).

(1) DA Form 7762–1 must be completed and signed prior to a firm offer of employment for new Army civilian applicants. Failure to meet the conditions of employment in appendix C may result in non-selection of an applicant for Federal employment. Status DOD civilians must complete and sign the DA Form 7762–1 to be eligible for the nuclear PRP.

(2) Active duty military members must complete and sign the DA 7762–1 prior to assignment.

(3) Failure to meet the conditions of employment in appendix C while certified in the PRP will result in removal from the nuclear PRP and may result in removal from Federal service for Army civilians.

(4) Failure to meet the conditions of employment in appendix C while certified in the PRP will result in removal from the nuclear PRP for active duty military.

(5) See instructions in appendix C for personnel certified in the nuclear PRP prior to the publication of this regulation.

*c.* A DA Form 7762–2 will be completed for each individual screened for initial certification into the PRP. The sequence of screening and administrative processing may be adapted to meet the needs of the certifying official or supporting agencies. The certifying official may make a determination of unsuitability at any time during the screening process. Instructions for completing the DA 7762–2 are included in appendix D.

(1) All signatures on the original DA Form 7762–2 will be in ink or by digital signature.

(2) If administrative errors are discovered in Parts I through VI of the DA Form 7762–2 prior to initial certification, errors will be corrected by lining through and inserting the correction as appropriate, and initialing and dating the correction or by making changes to the electronic form and digitally re-signing the section.

(3) Corrections to administrative errors discovered after the individual is enrolled in the PRP should be documented in Part VIII of DA Form 7762–2 and (if necessary) by placing additional documentation in the individual's file as appropriate.

(4) Part VIII of DA Form 7762–2 can also be used to document changes in the individual's status and/or administrative data as long as the individual is certified in the PRP (for example, movement from interim-certified to fully-certified; change in job; change in grade).

(5) Any DA Form 3180 (Personnel Screening and Evaluation Record) initiated prior to publication of this regulation remains in effect and does not need to be redone. Subsequent to the publication of this regulation, the DA Form 7762 –2 will be used in place of the DA Form 3180 for enrollment in nuclear PRP positions.

#### **2–9. Initial interview**

*a.* To initiate the screening process, the certifying official will personally interview each individual identified for PRP positions. The interview will not be conducted as a part of a routine orientation briefing for new personnel. During this initial interview, the certifying official will—

(1) Inform the individual of the provisions of the Privacy Act and provide the individual with a copy of the Privacy Act statement. Inform the individual of their significance to national security, nuclear surety, PRP standards, and the need for

reliable performance. Explain the required screening process to the individual. If the individual objects to the required screening, the screening process will be discontinued.

(2) Explain the reliability standards of section II for assignment to, and retention in, a PRP position. During the interview, the certifying official will use appendix B as a guide to determine suitability.

(3) Explain the continuing evaluation aspect of the PRP, including the individual's responsibility for self-reporting and peer review of factors and situations that could adversely affect job performance or reliability.

(4) Look for evidence of the reliability standards identified in section II of this chapter.

(5) Complete Part I of DA Form 7762-2.

*b.* Should the certifying official determine from the interview that the individual is acceptable for further screening, the screening process will continue in accordance with local procedures.

*c.* Should the certifying official determine from the interview that the individual is unsuitable for the PRP, the certifying official will terminate the PRP screening process and disqualify the individual in accordance with paragraph 2-23.

## **2-10. Personnel security investigations**

*a.* Critical position. Individuals scheduled for initial assignment to critical nuclear duty positions must have Top Secret eligibility based on the required investigation (see AR 380-67) being completed within the last 5 years and favorably adjudicated by the DOD Consolidated Adjudication Facility (CAF). However, individuals who currently hold Top Secret eligibility but require a periodic reinvestigation (PR) may be certified if the PR was submitted within the 5 year anniversary since the last investigation was completed. The certifying official will review the current PSI and the completed security questionnaire to ensure there are no known risks to certify the individual. The review will be documented in accordance with local procedures. Once the PR is completed and favorably adjudicated by the DOD CAF, the certifying official will review the PR in accordance with paragraph 2-19a(3) of this regulation. After the PR is reviewed for PRP suitability, the documentation will not be retained.

*b.* Controlled position. Individuals scheduled for initial assignment to controlled nuclear duty positions must have Secret eligibility based on the required investigation per AR 380-67 being completed within the last 5 years and favorably adjudicated by the DOD CAF.

*c.* PSI review for critical and controlled positions.

(1) The locally designated personnel security representative will request a copy of the PSI from the Office of Personnel Management (OPM) on behalf of the certifying official. The request will include the individual's name, investigation type, closing date of the investigation, and a rationale for the request.

(2) The certifying official will review the PSI and determine PRP suitability based on the reliability standards identified in section II of this chapter. The certifying official may obtain assistance from the locally designated personnel security representative, but the certifying official must conduct the review and make the PRP suitability determination.

(3) The certifying official will consult with the CMA and/or the reviewing official if there is information from the PSI requiring CMA and/or reviewing official review. The certifying official will not provide any other information from PSI files to the CMA or reviewing official.

(4) The PSI will be destroyed within 90 days of the final PRP suitability determination in accordance with AR 380-5.

(5) The locally designated personnel security representative will expeditiously provide to the certifying official adverse information that is provided by or sent to the DOD CAF pursuant to the provisions in AR 380-67.

(6) The certifying official will process Part II, of DA Form 7762-2 in accordance with local procedures.

*d.* Interim certification. In exceptional circumstances where official functions must be performed prior to completion of the investigation and adjudication process, interim certification for the PRP may be granted before investigations are completed and favorably adjudicated. If it becomes necessary to consider an individual for a critical or controlled nuclear duty position and the required PSI has not been completed, interim certification may be made under the following conditions:

(1) The appropriate PSI request must be submitted and shown as opened in the DOD designated personnel security information system of record (currently Joint Personnel Adjudication System) before interim certification for critical positions and all other requirements of the PRP screening process must have been completed. The appropriate PSI request must be submitted before interim certification for controlled positions and all other requirements for the PRP screening process must have been completed.

(2) The National Agency Check portion of the investigation must have been completed and found to contain no adverse information.

(3) For interim certification to a critical nuclear duty position, the individual must have either Secret eligibility based on an investigation completed (investigation closed) within the last 5 years and favorably adjudicated or Top Secret eligibility based on an investigation completed (investigation closed) within the past 10 years and favorably adjudicated. Additionally, the individual cannot have had a break in active service or employment longer than 24 months.

(4) For interim certification to a controlled nuclear duty position, the individual must have Secret eligibility based on an investigation completed (investigation closed) within the last ten years and favorably adjudicated. Additionally, the individual cannot have had a break in active service or employment longer than 24 months.

(5) The certifying official must have documented justification of the need for interim certification.

(6) Once granted, interim certification will be valid until completion of the PSI and adjudication. However, the certifying official granting interim certification may revoke it at any time based on unfavorable information identified in the course of the investigation; or, if the certifying official has reason to suspect the individual's reliability.

*e.* Use of interim-certified personnel for the reactor facility.

(1) Individuals having only interim certification must be identified to supervisory personnel, entry controllers who directly control access to exclusion areas, and others as necessary.

(2) The PRP roster, entry authorization lists, and, if applicable, individual access badges must be specifically marked to designate interim certification status.

(3) Individuals having only interim certification will not be paired in a two-person team with another individual with interim certification.

*f.* Interim certification for COMSEC account personnel administering and distributing PCM in support of the nuclear enterprise will be in accordance with CJCSI 3260.01.

## **2-11. Personnel records review**

The certifying official will seek assistance from the supporting personnel office to review the personnel file. The certifying official will review the military member's local unit file and the AMHRR in the interactive Personnel Electronic Records Management System and complete Part III of DA Form 7762-2. The certifying official will coordinate with the local servicing personnel office to review the civilian eOPF and complete Part III, of DA Form 7762-2. The certifying official will—

*a.* Determine the individual's citizenship. If not a U.S. citizen, the individual is ineligible for the PRP.

*b.* Review the personnel records and determine PRP suitability based on the reliability standards identified in section II of this chapter.

*c.* Process the DA Form 7762-2 in accordance with local procedures.

## **2-12. Medical evaluation**

*a.* The primary responsibility of the CMA during the initial screening process is to identify to the certifying official any PRP relevant medical factors that may affect an individual's suitability for assignment to a PRP position and provide a recommendation to the certifying official.

(1) The CMA or other medical personnel specifically trained and formally designated will review the health records (see glossary) for military personnel and civilian employees as prescribed in guidance established by the CG, MEDCOM. If the health records review is conducted by medical personnel other than the CMA and questionable information about the individual's medical suitability for assignment to a PRP position is identified, the records will be referred to the CMA for further evaluation. Individuals will facilitate access to and authorize disclosure of any health information requested by the CMA for the purposes of medical screening, so that the CMA can make informed recommendations to the certifying official concerning reliability if health records are inadequate.

(2) In addition to the records review, the CMA will conduct a face-to-face interview to assess medical qualification under PRP standards. The medical interview will include a behavioral health consultation if the CMA determines that such an evaluation is prudent or if the certifying official requests it. The CMA will document each encounter in the individual's health records.

(3) The CMA will document in each health record any significant medical factors identified during the review or face-to-face interview along with the medical reasoning as to why the medical factors are or are not relevant to the PRP. The CMA will annotate the health record entry with a statement indicating that the individual and/or the individual's records have been screened under the reliability standards of this regulation.

(4) During the initial screening process, individuals who are currently experiencing personal trauma, including but not limited to such events as family illness or death and violent crime (to include sexual assault), or accidental injury, may experience psychological symptoms that impact reliability. When individuals affected by personal trauma seek medical care, the CMA will assess the potential impact upon reliability and advise the certifying official accordingly. The CMA will not disclose the personal circumstances that resulted in the trauma but is required to inform the certifying official of any specific medical/psychological PRP relevant medical factors that may potentially impact reliability.

(5) If PRP relevant medical factors were identified, the CMA will describe the medical factors in non-medical terminology and provide an assessment of the impact of the listed factors to the certifying official in sufficient detail, so they can make a sound decision concerning the individual's suitability for the PRP. The CMA will provide this information to

the certifying official in accordance with MEDCOM procedures ensuring that provisions of the Privacy Act, AR 25 –22, and HIPAA are not violated.

(6) The CMA’s recommendation will identify any limitations in duties or reasonable accommodations that might allow the individual to safely and reliably perform PRP duties (see Title 42, United States Code, Chapter 126 (42 USC Chapter 126) and implementing regulations in Title 29, Code of Federal Regulations, Part 1630). The certifying official may request a safety assessment of the reasonable accommodation, if desired. The CMA will not knowingly recommend any accommodations that could cause injury to the individual or another worker. The CMA will process Part IV of DA Form 7762–2 in accordance with local procedures.

*b.* Certifying officials and reviewing officials may review health records of individuals being screened for the PRP, or those enrolled in the PRP, for the purpose of making reliability or suitability determinations required by this regulation. This review will normally be done with the assistance of a CMA who can advise on health record information that might otherwise be misunderstood or misinterpreted. The health records will remain in the possession of the duly appointed custodian. Certifying and reviewing officials may not release or discuss the content of health records, except as provided in the preceding paragraphs or as otherwise permitted by the Privacy Act of 1974 and AR 25–22. Certifying and reviewing officials may refer questions concerning this restriction to their servicing legal office.

*c.* Certifying officials of organizations receiving medical support from non-Army medical facilities or contract CMAs will provide a copy of this regulation (and medical guidance established by the CG, MEDCOM) to the supporting medical facility CMAs for use in evaluating personnel for the PRP. Contract CMAs must meet the requirements outlined in the glossary of terms and be appointed by the contracting officer representative.

*d.* As authorized by AR 600–85, the ASAP Program Manager will make available to the certifying official information related to the participation of military personnel in ASAP evaluation and subsequent enrollment in rehabilitation. For civilian personnel, PRP positions are drug-free workplace testing designated positions as defined under Executive Order 12564, Section 7.

(1) The ASAP Program Manager will make available to the certifying official information relative to past positive drug test results or prior enrollment in the ASAP, as documented in the Drug and Alcohol Management Information System. The ASAP Program Manager will sign and date Part VI of DA Form 7762–2 in accordance with local procedures.

(2) Upon the request of the CMA, Substance Use Disorder Clinic (SUDC) providers within the supporting medical treatment facility will report back any PRP relevant information regarding the evaluation, treatment, or rehabilitation of military personnel or DA civilian employees at the SUDC, so that the CMA can provide the certifying official an informed assessment and recommendation regarding PRP enrollment or retention. SUDC disclosures to the CMA for DA civilian personnel can only be made with the employee’s written consent or in accordance with Public Law 100–71, Section 503(e). Written consent will be obtained through use of DA Form 5018–R (Alcohol and Drug Abuse Prevention and Control Program Client’s Consent Statement for Release of Treatment Information). If written consent is not obtained, the SUDC must only disclose to the CMA that the civilian employee cannot be confirmed as a client.

(3) Based on the results provided by both the ASAP Program Manager and CMA, the certifying official may or may not continue the initial PRP screening process.

## **2–13. Drug testing**

*a.* Military and civilian candidates will undergo drug testing in accordance with AR 600–85 prior to initial certification into the PRP. The drug testing coordinator (DTC) or designated management official will provide the results of all drug tests for PRP candidates to the certifying official before their certification into the PRP. Positive results indicating illegal drug use will result in their disqualification.

*b.* The DTC or Designated Management Official will record the results of the drug test and document them on Part V of DA Form 7762–2 in accordance with local procedures.

## **2–14. Position qualification/technical proficiency**

*a.* Prior to assigning an individual to perform PRP duties, the certifying official will ensure that all training and certification requirements have been met in accordance with relevant DOD manuals, instructions, CJCSI, AR, and technical bulletins and that the individual is technically proficient to perform assigned PRP duties.

*b.* Initial PRP training will be conducted prior to assigning an individual to PRP position in accordance with local procedures. Training will be documented and include as a minimum:

- (1) PRP purpose and applicability.
- (2) PRP roles and responsibilities.
- (3) PRP certification.
- (4) Continuing evaluation.
- (5) Decertification, removal, and recertification.



(6) Privacy Act and HIPAA requirements. Individuals assigned to PRP positions are only required to be aware of the requirement for health plans and healthcare providers to use and disclose PHI under HIPAA.

c. Reactor operator qualification and training requirements are outlined in AR 50–7.

d. COMSEC account personnel that administer and distribute PCM will meet the training standards established in AR 380–40 and CJCSI 3260.01.

## **2–15. Certifying official's evaluation and briefing**

After the initial screening process is completed, the certifying official will review the DA Form 7762–2 in accordance with the reliability standards identified in section II of this chapter.

a. For individuals found suitable for the PRP, the certifying official will complete a DA Form 7762–2, Part VII and brief the individual in the following areas:

(1) That the individual has been found suitable for the PRP.

(2) The duties and responsibilities of the individual's PRP position.

(3) The two-person rule, to include restrictions on interim-certified personnel.

(4) The individual's obligations under the continuing evaluation aspects of the PRP. The individual will be instructed to observe and report directly to the certifying official any factor, behavior, or condition (to include use of prescribed medication and dental treatment) that may adversely affect either the individual's duty performance or that of fellow workers. The certifying official will also emphasize that the individual must immediately report any medical evaluation or treatment received or medication prescribed by non-DOD medical or dental facilities.

b. At the close of the briefing, the individual and the certifying official will complete Part VII of the DA Form 7762–2. The individual's signature indicates that a briefing on the standards and objectives of the PRP was received and understood. The certifying official will retain the original DA Form 7762–1 and DA Form 7762–2 and ensure distribution of copies per local procedures as follows:

(1) For civilian personnel, copies will be maintained in the individual's eOPF.

(2) For military personnel, copies will be maintained in the local unit personnel file.

(3) One copy will be sent to the CMA at the supporting clinic or medical activity to be placed in the individual's electronic and paper copy health record.

c. Upon notification that an individual is in the PRP and under continuing evaluation, the supporting medical facility will identify the individual's health records (including mental health and dental) and ensure that the DA Form 4515 (Personnel Reliability Program Record Identifier), is inserted in the record in accordance with MEDCOM procedures.

d. If the certifying official determines an individual to be unsuitable for enrollment in the PRP, the certifying official will terminate the screening process, complete Part VII and Part X of DA Form 7762–2, and disqualify the individual in accordance with paragraph 2–23.

## **2–16. Rescreening requirements for nuclear Personnel Reliability Program-certified individuals**

a. When a PRP certified individual transfers to another PRP position with a different certifying official and reviewing official, the individual will be administratively decertified by the old certifying official in accordance with paragraph 2–26 of this publication and will be rescreened by the new certifying official in accordance with section III of chapter 2, also found in this publication.

b. When a certifying official is replaced but the reviewing official remains the same, a complete rescreening of the individuals on the PRP roster is not required. The new certifying official will distribute an updated PRP roster to the CMA and supporting agencies so that relevant PRP information can be appropriately addressed. In order for the new certifying official to become familiar with the individuals on the PRP roster, he or she will review all DA Forms 7762 –1 and DA Forms 7762–2 and interview each individual. If questions arise during the reviews or the interviews, the certifying official will attempt to resolve them through consultation with the CMA and/or supporting agencies. If questions remain, the certifying official will suspend the individual in accordance with paragraph 2–24 of this regulation, until the matter is resolved. The new certifying official will complete the review process within 30 days of appointment unless an extension is approved by the reviewing official. Upon completion of the reviews, interviews, and resolution of any concerns, the certifying official and the individual will document it by signing Part VIII of the DA Form 7762–2.

c. When a PRP certified individual transfers to a new PRP position or changes status, but the reviewing official remains the same (for example, a prior military member or contractor is hired on as a government employee or vice-versa), a complete rescreening of the individual is not required. The current or gaining certifying official must review the existing DA Form 7762–2 and interview the individual. The review is intended to identify any gaps in certification requirements due to the difference in job or status, all of which must be addressed prior to performing PRP duties. Upon completion of the review and interview and resolution of any concerns, the certifying official and the individual will document it by signing Part VIII of the DA Form 7762–2.

*d.* When the reviewing official is replaced, but the certifying official(s) remain the same, a rescreening of all individuals on the PRP roster is not required. In order for the new reviewing official to become familiar with their certifying official(s), the reviewing official will review all DA Forms 7762-1 and DA Forms 7762-2 and interview each certifying official. Upon completion of the reviews and interviews and resolution of any concerns, the reviewing official and the certifying official will document it by signing Part VIII of the DA Form 7762-2.

*e.* If the certifying official will be unavailable for time-sensitive actions required by this regulation, the commander/director may designate, in writing, another certifying official to act on behalf of the unavailable certifying official for the duration of the absence and will provide a copy of the designation to supervisors, CMAs, and supporting agencies. Designated certifying officials are not required to conduct the review and interviews described in 2-16*b* of this regulation or create a new PRP roster.

*f.* If the designated reviewing official is unavailable for time-sensitive actions required by this regulation, the reviewing official may designate, in writing, another reviewing official to act on behalf of the unavailable reviewing official for the duration of the absence. The designated reviewing official will be familiar with the assigned duties.

## **Section IV**

### **Continuing Evaluation**

#### **2-17. General**

*a.* Certifying officials will ensure all individuals assigned to PRP positions are subject to a continuing evaluation of their reliability. Certifying officials are responsible for ensuring that all military and civilian personnel assigned to PRP positions meet all requirements of continuing evaluation. Qualifying and mandatory disqualifying and decertifying criteria described in section II continues to apply unless modified in this section. Continuing evaluation includes:

- (1) Self-reporting.
- (2) Peer and supervisor observation and reporting.
- (3) Evaluation of medical treatment by the CMA.
- (4) PRs.
- (5) Random drug testing.
- (6) Certifying official observation and evaluation.

*b.* To ensure that continuing evaluation is effective, certifying officials will establish and maintain close working relationships with supporting activities to ensure they are fully aware of their PRP related responsibilities and that supporting activities provide required support. Certifying officials will observe the behavior and performance of PRP certified individuals on a frequent basis. The primary consideration for certifying officials will be that the sum of the observation, including personal, peer, and supervisory observation and reporting, is sufficiently detailed to allow for close evaluation of the individual.

#### **2-18. Individual and supervisor responsibilities**

*a.* Individuals assigned to PRP duties are responsible for monitoring their own reliability and the reliability of others performing PRP duties. Individuals will inform their supervisor or certifying official of any factors that could have an adverse impact on their performance, reliability, or safety while performing PRP duties. Individuals will inform support agencies of their active PRP status before treatment or consultation. Individuals will also inform their supervisor or certifying official when another individual in the PRP appears to be involved in situations that may affect reliability. The certifying official will consider failure to fulfill these reporting responsibilities when assessing the individual's reliability.

*b.* Individuals will report to the certifying official any information that may have an impact on their PRP eligibility in accordance with section II of this chapter, regardless of when the next reinvestigation process may occur.

*c.* Individuals will notify the CMA of medical and dental evaluations, conditions, and/or treatment (including medications) in accordance with guidance established by the CG, MEDCOM and as described in paragraph 2-15*a* (4), to ensure that the conditions and treatment can be evaluated by the CMA and reported to the certifying official if there is a potential effect on the individual's reliability or duty performance.

*d.* If the certifying official is not the immediate and only supervisor of the individual, the certifying official will ensure all the individual's immediate supervisors know that the individual is subject to the reliability standards in this regulation. Supervisors will monitor the reliability of their subordinates and notify the certifying official of any factors affecting reliability in accordance with section II of this chapter. The certifying official will also ensure that PRP certified individuals receive any required refresher training for currently-assigned PRP duties, and that they receive appropriate new training if additional PRP duties are assigned. Additionally, biennial refresher PRP training will be conducted and documented with individuals assigned to the nuclear enterprise or reactor facility PRP positions in accordance with paragraph 1-7 or 1-15.

e. The certifying official may at any time, through the locally designated personnel security representative, request a local records check if there are indications concerning an individual's reliability. All resulting significant derogatory information will be reported by preparing an incident report and submitting it to the DOD CAF in accordance with AR 380–67.

## **2–19. Personnel security investigations/periodic reinvestigations for nuclear Personnel Reliability Program purposes**

a. PRs.

(1) All PRP certified personnel will be subject to a PR every 5 years.

(2) PRs will be requested and submitted in accordance with AR 380–67. If the individual has not complied with the requirements for PR submission, the certifying official will suspend the individual from the PRP. Once the individual has complied with the PR submission requirements, the certifying official may return the individual to a fully-qualified status.

(3) Upon completion of a PR that has been favorably adjudicated by the DOD CAF, the locally designated personnel security representative will request a copy of the investigative file from OPM on behalf of the certifying official. The request will include the individual's name, type of investigation, the closing date of the investigation, and rationale for the request. The certifying official will review the investigative file and determine continued PRP suitability based on the reliability standards identified in section II of this chapter. The certifying official may obtain assistance from the locally designated personnel security representative, but the certifying official must conduct the review and make the suitability determination for retention in the PRP. The certifying official will consult with the CMA and/or the reviewing official if there is information from the PSI that requires CMA and/or reviewing official review. The certifying official will not provide any other information from PSI files to the CMA or reviewing official. The certifying official will ensure the investigative file is destroyed within 90 days of the final suitability determination in accordance with AR 380–5.

b. A new PSI is required if an individual has had a break in active service or employment exceeding 24 months.

c. The certifying official, in coordination with the locally-designated personnel security representative, may request a new PSI based on the discovery of significant derogatory information.

## **2–20. Medical evaluation**

a. Each time a PRP certified individual receives government medical evaluation and/or treatment (including mental health or dental), the CMA will review the health records to assess any impacts on reliability. The CMA will notify the certifying official in writing when the treatment or condition could impact the individual's reliability or duty performance. The CMA will ensure that all PRP relevant medical factors are documented in the individual's health records, in accordance with MEDCOM procedures. The CMA's primary responsibility is to provide the certifying official with PRP relevant medical factors and a recommendation to make a sound decision concerning the individual's suitability to perform PRP duties and whether a change in the individual's PRP status is warranted.

b. Each time a PRP certified individual reports non-government medical or dental evaluation and/or treatment from any source, the CMA will review and determine the effect of the reported care on the individual. When requested to do so by the CMA, the individual will facilitate access to, and authorize disclosure of, documentation of the treatment and/or evaluation. The CMA will record evaluation results in the individual's health records and notify the certifying official when the medical, mental health, dental treatment, or condition could impact the individual's reliability or duty performance.

c. A sexual assault victim certified under PRP is eligible for both the restricted and unrestricted reporting options in accordance with DODI 6495.02 and AR 600–20. If electing restricted reporting, the victim is required to advise the CMA of any factors that could have an adverse impact on the victim's performance, reliability, or safety while performing PRP duties. The CMA will not disclose the personal circumstances that resulted in the trauma, but is required to inform the certifying official of any specific medical/psychological PRP relevant medical factors that may potentially impact reliability. The CMA will not reveal that the individual is a victim of sexual assault, thus preserving the Restricted Report.

## **2–21. Drug testing**

a. PRP certified military and civilian personnel will be subject to random drug testing per AR 600–85. Positive drug test results without an authorized reason (a verified positive test, for example) will result in decertification from the PRP.

*Note:* The CMA is not required to make an annotation in the electronic health record or on the paper copy for verified positive drug test results.

b. The DTC or Designated Management Official will provide all verified positive test results to the certifying official. The certifying official will evaluate each situation and take action in accordance with paragraph 2–25, Decertification.

## Section V

### Temporary and permanent removal from nuclear Personnel Reliability Program duties

#### 2–22. General

Removal from the PRP can be temporary (suspension) or permanent (decertification). Decertification from the PRP can also be for administrative reasons in accordance with paragraph 2–26 of this regulation.

*a.* Determination of an individual's reliability and suitability rests solely with the certifying official, subject to the review of the reviewing official.

*b.* Removal from PRP duties is not an adverse personnel action. The certifying and reviewing officials' determination to remove an individual from PRP duties is based on whether the individual is suitable and reliable to perform the PRP duties. This decision is separate from legal or administrative actions that determine guilt or liability for a particular offense or whether disciplinary or adverse administrative action will be taken. However, the reason for decertification may warrant further action.

*c.* Separation from employment/service may be appropriate for a decertified individual, if PRP certification is a condition of employment/service and another position is not available for which the individual is qualified.

*d.* Local procedures will govern actions taken by supervisors to immediately restrict access when unexpected situations arise pending resolution by the certifying official.

#### 2–23. Disqualification

Disqualification is an action taken, prior to an individual's certification into the PRP, to deny PRP eligibility based on disqualifying information (as described in sect II of this regulation).

*a.* A disqualification decision is made by the certifying official. The reviewing official will review and approve or disapprove each disqualification action to ensure uniform application of the PRP qualifying standards. The reviewing official may seek additional information or explanations from the certifying official, CMA, the local personnel office, the local personnel security office, and the individual concerned, if needed.

*b.* If a DA Form 7762–2 has already been initiated for the individual, upon reviewing official approval, the certifying official will complete parts VII and X to indicate disqualification (including a summary of the rationale for disqualification).

(1) For civilian personnel, the certifying official will forward the DA Form 7762–1 and DA Form 7762–2 through the supporting personnel administration center to the permanent section of the eOPF.

(2) For military personnel, the certifying official will forward the DA Form 7762–1 and DA Form 7762–2 through the supporting personnel administration center to be permanently filed in the restricted folder of the AMHRR. The individual record brief will be annotated to note disqualification from the PRP.

#### 2–24. Suspension

Suspension is a temporary removal from PRP duties without starting decertification actions. Suspension will only be used when the problem is expected to be of short duration. Suspension is appropriate for temporary medical reasons, in cases of temporary absence, and when the certifying official needs to determine if a potentially adverse situation or incident indicates unreliability or unsuitability for the PRP.

*Note:* The use of the word "suspension" in this regulation indicates suspension from PRP duties only.

*a.* General procedures for suspension.

(1) The certifying official will temporarily remove the individual from PRP duties. The certifying official will notify the individual and the individual's immediate supervisor, in writing, of the nature and circumstances of the suspension. Medical reasons will be identified as "PRP relevant medical factors" without providing any additional information.

(2) No entry on the DA Form 7762–2 is required. Personnel suspended from PRP duties will not be deleted from the PRP roster. Personnel remain subject to the PRP standards even though some continuing evaluation processes may not be available (for example, when an individual is suspended due to absence).

(3) A suspension can initially last up to 3 months. However, the certifying official may extend the period of suspension up to 12 months in 3 month increments when there is insufficient information to either return the individual to PRP duties or to decertify the individual.

(4) When the temporary condition or situation is favorably resolved, the certifying official will notify the individual and immediate supervisor per local procedures that the individual can resume assigned PRP duties.

(5) If the condition or situation is unfavorably resolved or if the condition or situation becomes prolonged or permanent, the individual will be decertified.

*b.* Suspension for medical reasons. When performance of PRP duties may be impaired by a temporary medical condition or treatment, the certifying official will determine if the individual should be suspended from performing those PRP duties. Suspension for medical reasons is a precaution based on the possibility of self-limited, temporary duty impairment, or the possibility of a more long-term, open-ended impaired reliability or suitability for performing PRP related duties.

(1) The certifying official may suspend an individual based on information from the individual, supervisor, or the CMA. When the information did not come from the CMA, the certifying official will consult the CMA as soon as practical, but may suspend the individual from PRP duties pending that consultation. CMAs will consult the guidance provided by the CG, MEDCOM, as to the conditions, treatments, or medications that might warrant a recommendation for suspension due to medical reasons.

(2) A sexual assault victim certified in the PRP retains eligibility for restricted reporting of the assault per AR 600–20. A civilian employee not covered by the restricted reporting provisions of AR 600–20 may decide not to submit a formal report of a sexual assault. In either case, whether a military service member or civilian employee, the victim is responsible to advise the CMA of any factors that could have an adverse impact on their performance, reliability, or safety while performing PRP duties. If suspension is appropriate, due to stress, anxiety, depression, inability to concentrate, or other accompanying psychiatric conditions, the CMA will recommend to the certifying official that the person in question be suspended for medical reasons from the PRP without revealing that the person is a victim of sexual assault. The CMA will preserve the confidentiality of the victim and the restricted reporting status.

*c.* Suspension due to extended absences. When a PRP certified individual will be absent from PRP duties for a significant period of time (for example, leave of absence or temporary duty), the certifying official must decide if effective continuing evaluation can be maintained. When the ability to maintain continuing evaluation is questionable, the certifying official may suspend such individuals from PRP duties for the duration of the absence. This is not an assessment of unreliability. Before the individual can return to PRP duties after the absence, the certifying official will interview the individual to discuss any areas of relevant information (as described in section II) and to reinforce PRP standards. It is the individual's responsibility to disclose any relevant information that may have occurred during his or her absence. If the individual identifies any PRP relevant medical factors, the certifying official will refer the individual to the CMA for further evaluation.

*d.* Suspension to resolve potentially adverse situations or incidents. When an individual has been involved in a potentially adverse situation or incident but the certifying official does not have sufficient information to determine whether the individual's reliability or suitability is affected, the certifying official will suspend the individual while the matter is being resolved.

## **2–25. Decertification**

When the certifying official determines that an individual does not meet the reliability standards of this chapter, the certifying official will terminate the individual's access to nuclear reactor facilities, SNM, and PCM; remove the individual from PRP duties; and decertify the individual from the PRP. Pending review of the decertification action, decertified personnel will not conduct PRP duties. Implementation of decertification is as follows:

*a.* The certifying official will advise the individual, within 15 working days in a written notification letter, of the determination including the reasons for initiating decertification procedures and the requirement for review by the reviewing official. The notification letter will--

(1) Provide the rationale for decertification in sufficient detail so that, if required, a future reviewing official will have adequate information to act on a request for recertification. This rationale will cite specific circumstances that support the certifying official's decision to decertify the individual except for a medical condition documented in the individual's health record. Statements such as "alcohol use disorder," "drug incident," "personal conduct," or "criminal conduct" are inadequate by themselves.

(2) Advise the individual that the decertification action is subject to mandatory review by the reviewing official before any permanent entries are made in the individual's records and that the individual will be advised of the outcome of the review.

(3) Inform the individual that a written explanation or rebuttal may be submitted through the certifying official to the reviewing official within 5 working days of receipt of the notification letter.

(4) Request written acknowledgement of receipt of the notification letter. If the individual refuses to acknowledge receipt, the certifying official will attach a statement to the notification letter explaining the absence of the written acknowledgement from the individual.

*b.* Within 10 working days of the decertification action but after allowing the individual 5 working days to rebut (as described in para 2–25a(3)), the certifying official will forward to the reviewing official a copy of the notification letter, the signed acknowledgement or explanation for its absence, a written explanation or rebuttal if submitted by the individual, and any other pertinent information.

c. The reviewing official will review each decertification action to ensure uniform application of the reliability standards specified by this chapter and effective use of personnel, consistent with the purpose of the PRP. The reviewing official may seek additional information or explanations of extenuating circumstances from the certifying official, CMA, personnel, personnel security, and the individual concerned if needed.

(1) The reviewing official will review the case and, within 15 working days of receipt of the decertification documents, furnish a written decision to the individual through the certifying official.

(2) If the reviewing official approves the decertification, the certifying official will complete the remaining administrative procedures detailed in paragraphs 2–25*d* through 2–25*g* (if the individual has departed the certifying official’s organization, the certifying official will forward a reproduced copy of the approval either directly to the individual or through the individual’s new chain of command.)

(3) If the reviewing official does not approve the decertification, no entries will be made in the individual’s records. The individual’s records will continue to show the individual as PRP certified.

d. Permanent entries concerning the decertification will not be made on either the DA Form 7762–2 or in the individual’s records before final action by the reviewing official. If the reviewing official approves decertification, the certifying official will complete Part X of the original DA Form 7762–2, including checking the appropriate block(s) and providing a brief summary of the rationale for decertification. The local surety office will maintain copies of the letter of notification, the signed acknowledgement by the individual or the explanation for its absence, the written explanation or rebuttal if submitted by the individual, and a copy of the reviewing official’s approval in accordance with local procedures.

e. The certifying official will ensure that, within 10 working days of receipt of the reviewing official’s review of decertification, the DA Form 7762–1 and DA Form 7762–2 are distributed as follows:

(1) For civilian personnel, the DA Form 7762–1 and DA Form 7762–2, with the reviewing official’s approval, will be forwarded through the supporting personnel administration center to the permanent section of the eOPF.

(2) For military personnel, the DA Form 7762–1 and DA Form 7762–2, with the reviewing official’s approval, will be forwarded through the supporting personnel administration center to be permanently filed in the restricted folder of the AMHRR. The individual record brief will be annotated to note decertification from the PRP.

f. The certifying official will notify the CMA that the individual is no longer enrolled in the PRP and no longer requires continuing evaluation. If the individual is decertified for medical reasons, the physician will annotate in the electronic and paper copy health record the following or a similar statement—“Decertified (date) for assignment to PRP positions per AR 50–5” – and will annotate the medical reason for decertification.

g. When the decertification is based on credible derogatory information that may affect the individual’s security clearance eligibility, the locally-designated personnel security manager will be notified for appropriate action per AR 380–67.

## **2–26. Administrative decertification**

a. When an individual transfers from a duty position requiring PRP certification to one not requiring PRP certification, the certifying official will administratively decertify that individual. Administrative decertification establishes the date an individual was removed from a PRP position and eliminates the requirement for continuing evaluation of the individual. It does not indicate unsuitability or unreliability for the PRP. Only personnel who are administratively decertified can requalify for PRP without approval from SECARMY.

b. To implement administrative decertification, the following actions will be taken:

(1) The certifying official will notify the CMA that the individual is no longer enrolled in the PRP and no longer requires continuing evaluation.

(2) For civilian personnel, the certifying official will complete a DA Form 7762–2, Part IX. The certifying official will forward the DA Form 7762–1 and DA Form 7762–2 through the supporting personnel administration center to the permanent section of the eOPF.

(3) For military personnel, the certifying official will complete a DA Form 7762–2, Part IX. The certifying official will forward the DA Form 7762–1 and DA Form 7762–2 through the supporting personnel administration center to be permanently filed in the restricted folder of the AMHRR.

## **Section VI**

### **Requalification and Recertification**

#### **2–27. Requalification or recertification of disqualified or decertified personnel**

Unless authorized by the SECARMY, personnel disqualified or decertified (other than administrative decertification under para 2–26) from the PRP will not be considered for requalification or recertification. Organizations must coordinate with the ODCS, G–3/5/7 (DAMO–SS) prior to submitting requests to the SECARMY for requalification or recertification.

*a.* Individuals who have been disqualified or decertified from the PRP will submit a written request for requalification or recertification to his/her certifying official. This request will explain the circumstances leading to the disqualification or decertification, basis for disqualification or decertification, and the action taken to correct or eliminate the reasons for disqualification or decertification.

(1) The certifying official will consult with the reviewing official to obtain approval that the individual is a viable candidate for requalification or recertification. If the individual's request is disapproved by the reviewing official, the certifying official will return it to the individual with the rationale for disapproval.

(2) If the reviewing official approves the individual's request for requalification or recertification, the certifying official will screen and evaluate the individual for the PRP (completion of Parts I through VII of a new DA Form 7762 –2) as described in section III of this regulation. If following this process, the individual is found suitable for the PRP, the certifying official will forward the request for requalification or recertification, along with the DA Form 7762–2, to the reviewing official.

*(a)* If the reviewing official denies the forwarded request for requalification or recertification, the new DA Form 7762–2 will be destroyed and the written request will be returned to the individual. The original DA Form 7762 –2 reflecting disqualification or decertification will be retained.

*(b)* If the reviewing official approves the forwarded request for requalification or recertification, the reviewing official will forward the request through command channels to ODCS, G–3/5/7 (DAMO–SS) for review and approval through the ARSTAF to the SECARMY. If the request for requalification or recertification is approved by the SECARMY, the procedures described in 2–28 will then be followed.

*b.* Individuals disqualified or decertified for alcohol use disorder may be requalified or recertified following the procedures outlined above in paragraph 2–27*a*, after the individual has successfully completed:

(1) An initial intensive outpatient-level treatment or higher level treatment in accordance with DODI 1010.04 and AR 600–85.

(2) A 1-year period of strict compliance with aftercare program requirements in accordance with AR 600–85.

(3) A PRP qualification screening and psychological evaluation with a favorable prognosis by the CMA.

## **2–28. Action upon requalification or recertification**

When an individual's request for requalification or recertification has been approved by the SECARMY as described in 2– 27*a*(2)(*b*), the following applies:

*a.* Approval of requalification or recertification does not require assignment or reassignment to PRP duties; however, requalified and recertified personnel are eligible for certification for such duties.

*b.* The DA Form 7762–2 that reflected the disqualification or decertification will be retained in the eOPF or AMHRR. For military personnel, the individual record brief will be annotated to note requalification or recertification for the PRP. The certifying official will notify the CMA that the individual is enrolled in the PRP and requires continuing evaluation. If the individual was disqualified or decertified for medical reasons, the physician will annotate in the electronic and paper copy health record the following or a similar statement–Requalified [or Recertified] (date) for assignment to PRP positions per AR 50–5.

(1) If the requalified or recertified individual is to be assigned to PRP duties, the certifying official will complete the procedures outlined in paragraph 2–15.

(2) Recertified individuals who are not assigned to PRP duties will be administratively decertified (see paragraph 2–26).

*c.* For civilian personnel, the original version of the approved request/recommendation for requalification or recertification (less the DA Form 7762–2) will be provided to the individual. The certifying official will ensure that the DA Form 7762–2 is forwarded through the supporting personnel administration center to the permanent section of the eOPF.

*d.* For military personnel, the original version of the approved request/recommendation for requalification or recertification (less the DA Form 7762–2) will be provided to the individual. The certifying official will ensure that the DA Form 7762–2 is forwarded through the supporting personnel administration center to be permanently filed in the restricted folder of the AMHRR.

## **Section VII**

### **Annual Personnel Reliability Program Status Report**

#### **2–29. Information requirements**

ATEC, ARCYBER, and OAA will prepare an annual PRP Status Report as of 31 December of each year. This report will be sent to the Office of the DCS, G–3/5/7 (DAMO–SSD), 400 Army Pentagon, Washington, DC 20310–0400 to arrive annually no later than 1 February.

## 2–30. Preparation guidance

The instructions for completing the DA Form 7422 follows:

- a. Block 1.* Identify your organization.
- b. Block 2.* Indicate current calendar year.
- c. Block 3.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel certified in the PRP program (critical and/or controlled) at the beginning of the calendar year.
- d. Block 4.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel certified or added to the PRP program (critical and/or controlled) during the calendar year. If you have zero personnel in a particular category, leave that category blank.
- e. Block 5.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel disqualified prior to certification in the PRP program (critical and/or controlled) during the calendar year.
- f. Block 6.* For each category of personnel (that is, military, civilian, and contractor), indicate the total number of personnel decertified, during the calendar year, from the PRP program (critical and/or controlled) as of 31 December.
- g. Block 7.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel administratively decertified, during the calendar year, from the PRP.
- h. Block 8.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel pending investigation or adjudication for the PRP program (critical and/or controlled) as of 31 December. If you have zero personnel in a particular category, leave that category blank.
- i. Block 9.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel certified in the PRP program (critical and/or controlled) as of 31 December.
- j. Blocks 10a. through 10k.* For each category of personnel (that is, military, civilian, and contractor) indicate the total number of personnel decertified, during the calendar year, for the applicable reason.
- k. Block 11.* For each category of personnel (that is, military, civilian, and contractor), indicate the total number of personnel granted requalification or recertification, as of 31 December.
- l. Block 12.* Use this block to clarify responses in blocks 10a through 10k above, or to provide additional information, if applicable.

## Chapter 3 Nuclear Surety Program Evaluations and Inspections

### 3–1. General

- a.* Nuclear surety evaluations and inspections are conducted in accordance with paragraph 1–5g of this regulation. The scope of the inspections will include review of the elements identified in paragraph 1–5b.
- b.* ACOMs and DRUs will provide oversight to ensure subordinate organizations responsible for nuclear surety programs or surety support missions are funded and staffed appropriately, complying with requirements, and provided adequate support from external support agencies (including IMCOM managed garrison/installation support and MEDCOM managed medical support).
- c.* ACOM and DRU evaluations and DAIG inspections of the PRP will assess the overall effectiveness of the organization's implementation of the PRP using a balanced approach focused on processes and procedures through observation, scenarios, and interviews. The intent is to determine the organization's ability to properly certify and perform continuing evaluation of personnel and to assess knowledge and awareness of the PRP as well as the communication process between PRP-certified individuals, supervisors, supporting agencies, and certifying officials.
- d.* The review of health, personnel, and personnel security records will not be the focus of the inspection. Records reviews will be completed as part of scenario-based performance objectives or to examine a potential finding or discrepancy. The scenarios could include a review of personnel who were certified in to the PRP since the previous evaluation or inspection as well as a review of random individuals assigned to PRP positions that are subject to continuing evaluation in accordance with chapter 2, section IV, of this regulation.
- e.* If a potential systemic issue is identified, the ACOM, DRU, or DAIG may review additional health, personnel, and personnel security records as necessary.
- f.* PRP inspectors, who review health records, will receive Privacy Act and HIPAA training through the Military Health System. Access is limited to those health records associated with an individual's participation in the PRP.

### 3–2. Nuclear surety inspection reports

- a.* After approval by TIG, the final inspection report will be forwarded to the inspected subordinate organization and to the responsible ACOM, DRU, or OAA, with copies furnished to Headquarters, Department of the Army (HQDA)



(DAMO–SSD), Army Reactor Office (for inspections of the reactor facility) and Headquarters, IMCOM and MEDCOM (as applicable).

*b.* When the final report is distributed, the inspected subordinate organization, ACOM, DRU, or OAA will take action in accordance with the ratings system below:

(1) **OUTSTANDING:** Operations or procedures conducted strictly as prescribed in ARs with a superior degree of professionalism.

(2) **EXCELLENT:** Operations or procedures accomplished in accordance with ARs or with only minor deviations. Minor deviations will be addressed and corrected by the inspected subordinate organization.

(3) **ACCEPTABLE:** Satisfactory accomplishment of requirements but with deviations that should be addressed by the inspected subordinate organization leadership with corrective actions documented.

(4) **MARGINAL:** Significant deviation(s) from ARs. This condition requires thorough and timely ACOM, DRU, or OAA leadership attention with corrective actions documented.

(5) **UNACCEPTABLE:** Minimum standards not met. Major or critical deviation from ARs. This condition requires immediate ACOM, DRU, or OAA leadership attention. This condition requires the inspected subordinate organization to immediately secure COMSEC material or SNM, as appropriate, until corrective actions specified by ACOM, DRU, or OAA leadership are completed and documented. A rating of UNACCEPTABLE is appropriate when there is unauthorized access to COMSEC material or SNM by individuals who: are not in the PRP, are in the PRP without a security clearance (excludes properly interim-certified personnel in accordance with paragraphs 2–10*d*, 2–10*e*, and 2–10*f*.), are in the PRP with a security clearance that has been revoked, or are in the PRP but meet the criteria for mandatory disqualification/de-certification. Additionally, a rating of UNACCEPTABLE is also appropriate when there is a loss of COMSEC material (inability to locate accountable COMSEC material during an inspection).

### **3–3. Issue resolution**

*a.* Any commander/director in the chain of the inspected commands or activities, or external support agency may submit a request to resolve a PRP policy issue identified during a nuclear surety inspection. Requests will be sent through the organizational chain to HQDA, ODCS G–3/5/7(DAMO–SSD), Washington, DC, 20310–0400 for adjudication.

*b.* HQDA, ODCS G–3/5/7 (DAMO–SSD) will coordinate the request with HQDA proponent offices as appropriate and with the DAIG Technical Inspections Division. If any of the coordination offices nonconcur with the proposed resolution, the issue will be taken to the next higher level within the chain of command for adjudication; the final adjudication authority, if required, is the SECARMY.

*c.* HQDA, ODCS G–3/5/7 (DAMO–SSD) will forward final decisions to the respective ACOM, DRU, or OAA. HQDA, ODCS G–3/5/7 (DAMO–SSD) will furnish copies of final decisions to HQDA, OTIG (SAIG–TI), other staff elements as appropriate, and the Army Reactor Office.

*d.* Where an interpretation or clarification of a policy has been made during the process, the proponent will prepare a formal notification of the interpretation/clarification to all affected ACOMs, DRUs and HQDA staff agencies.

## Appendix A

### References

The following references are available on the Army Publishing Directorate website (<http://armypubs.army.mil>) unless otherwise stated. DOD directives, issuances, and forms are available from the Office of the Secretary of Defense website (<http://www.esd.whs.mil/dd/>). Technical publications are available from Logistics Support Activity website (<https://www.logsa.army.mil/>).

#### Section I

##### Required Publications

**AR 25–22**

The Army Privacy Program (Cited in para 2–2*e*.)

**AR 380–5**

Department of the Army Information Security Program (Cited in para 2–10*c*(4).)

**AR 380–67**

Personnel Security Program (Cited in para 1–11*b*.)

**AR 600–20**

Army Command Policy (Cited in para 2–20*c*.)

**AR 600–85**

The Army Substance Abuse Program (Cited in para 2–12*d*.)

**DODI 5210.42**

DOD Nuclear Weapons Personnel Reliability Assurance (Cited in the title page.)

**Executive Order 12564, Section 7**

Drug Free Federal Workplace (Cited in para 2–12*d*.) (Available at <http://www.archives.gov/federal-register/codification/executive-order/12564.html>.)

**Public Law 100–71, Section 503(e)**

Drugs and Drug Abuse. Government organization and Employees (Cited in para 2–12*d*(2).) (Available at [http://www.samhsa.gov/sites/default/files/workplace/public\\_law\\_100.pdf](http://www.samhsa.gov/sites/default/files/workplace/public_law_100.pdf).)

**29 CFR 1630**

Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act (Cited in para 2–12*a*(6).) (Available at [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/title29/29cfr1630\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/title29/29cfr1630_main_02.tpl).)

**42 USC Chapter 126**

Equal Opportunity for Individuals with Disabilities (Cited in para 2–12*a*(6).) (Available at <http://us-code.house.gov/view.xhtml?path=/prelim@title42/chapter126&edition=prelim>.)

#### Section II

##### Related Publications

A related publication is a source of additional information. The user does not have to read it to understand this regulation.

**AR 11–2**

Managers' Internal Control Program

**AR 20–1**

Inspector General Activities and Procedures

**AR 25–1**

Army Information Technology

**AR 25–30**

Army Publishing Program

**AR 50–7**

Army Reactor Program

**AR 190–54**

Security of Nuclear Reactors and Special Nuclear Materials

**AR 380–40**

Safeguarding and Controlling Communications Security Material

**AR 381–12**

Threat Awareness and Reporting Program

**AR 385–10**

The Army Safety Program

**AR 525–27**

Army Emergency Management Program

**AR 600–8–104**

Army Military Human Resource Records Management

**CJCSI 3260.01 (series)**

Joint Policy Governing Positive Control Material and Coded Control Devices

**CJCSI 3263.05 (series)**

Nuclear Weapons Technical Inspections

**DA Pam 50–5**

Nuclear Accident or Incident Response and Assistance (NAIRA) Operations

**DODD 5210.63**

Security of Nuclear Reactors and Special Nuclear Materials

**DODI 1010.04**

Problematic Substance Use by DOD Personnel

**DODI 6495.02**

Sexual Assault Prevention and Response (SAPR) Program Procedures

**DODM 5210.42**

Nuclear Weapons Personnel Reliability Program

**Section III**

**Prescribed Forms**

Unless otherwise indicated, DA forms are available on the APD website (<http://www.apd.army.mil>); DD forms are available on the Office of the Secretary of Defense website (<https://www.esd.whs.mil/dd/>); and SFs are available on GSA website (<http://www.gsa.gov>).

**DA Form 4515**

Personnel Reliability Program Record Identifier (Prescribed in para 2–15c.)

**DA Form 5018–R**

ADAPCP Client’s Consent Statement for Release of Treatment Information (Prescribed in para 2–12d(2).)

**DA Form 7422**

Annual Personnel Reliability Program (PRP) Status Report. (Prescribed in para 2–7.)

**DA Form 7762–1**

Nuclear Personnel Screening and Evaluation Record–Statement of Understanding (Prescribed in para 2–8b.)

**DA Form 7762–2**

Nuclear Personnel Screening and Evaluation Record (Prescribed in para 2–7.)

**Section IV**

**Referenced Forms**

Unless otherwise indicated, DA forms are available on the APD website (<http://armypubs.army.mil>); and SFs are available on GSA website (<http://www.gsa.gov>).

**DA Form 11-2**

Internal Control Evaluation Certification

**DA Form 2028**

Recommended Changes to Publications and Blank Forms

**DA Form 3180**

Personnel Screening and Evaluation Record

## Appendix B

### Personnel Reliability Program Suitability Guidelines for Certifying Officials

#### B–1. General

The following guidelines are established in accordance with DODI 5210.42 to assist certifying officials in determining the suitability of all personnel subject to the PRP. The ultimate determination of whether to grant or continue an individual's enrollment in PRP is based on an overall common sense judgment by the certifying official. Each case must be judged on its own merits and, above all, be consistent with the interests of U.S. national security. Sexual orientation or preference may not be used as a basis for or a disqualifying factor in determining a person's eligibility for PRP. In evaluating the relevance of an individual's conduct, certifying officials are encouraged to carefully weigh a number of variables in consideration of the whole person concept of determining suitability.

*Note:* These suitability guidelines do not mitigate the mandatory disqualifying or decertifying criteria in paragraph 2–7.

#### B–2. Suitability variables

*a. Personal conduct.* Conduct involving questionable judgment, untrustworthiness, unreliability, lack of candor, dishonesty, or unwillingness to comply with rules and regulations could indicate that the person may not be suitable for enrollment in PRP.

- (1) Conditions that the certifying official should carefully consider include:
- (a) Reliable, unfavorable information.
  - (b) Deliberate provision of false or misleading information.
  - (c) Personal conduct or concealment of information that may increase an individual's vulnerability to coercion, exploitation, or duties, such as engaging in activities which, if known, may affect the person's personal, professional, or community standing or render the person susceptible to blackmail.
  - (d) A pattern of dishonesty or rule violations.
  - (e) Known or witting association with persons involved in criminal activity.
  - (f) Loss of confidence by the certifying official in the reliability of the individual.
- (2) Conditions the certifying official might consider to mitigate reliability concerns:
- (a) The information was unsubstantiated or not pertinent to a determination of judgment, trustworthiness, or reliability.
  - (b) The individual made prompt, good faith efforts to correct the falsification before being confronted with the facts.
  - (c) Omission of material facts was caused or significantly contributed to by improper or inadequate advice of authorized personnel, and the previously omitted information was promptly and fully provided.
  - (d) The individual has taken positive steps to eliminate vulnerability to coercion, exploitation, or duress.
  - (e) The individual has ceased known or witting association with persons involved in criminal activities.
  - (f) The behavior occurred during or before adolescence and there is no evidence of subsequent conduct of a similar nature.

*b. Emotional, mental, and personality disorders.* Emotional, mental, and personality disorders can cause a significant deficit in an individual's psychological, social, and occupational functioning. These disorders present suitability concerns for individuals subject to PRP because they may indicate a defect in reliability. The certifying official will take the necessary actions to ensure that the individual is properly screened both medically and psychologically. As with all potentially disqualifying medical conditions, the certifying official must decide each case on the specific medical and other pertinent evaluations of the individual involved. Any suspected suicidal behavior will result in the individual's suspension from PRP duties pending the results of a mental health assessment.

- (1) Conditions that the certifying official should carefully consider include:
- (a) A diagnosis that the individual has a condition or treatment that may indicate a defect in judgment, reliability, or stability.
  - (b) Information that suggests that an individual has failed to follow appropriate medical advice relating to treatment of a condition (for example, failure to take prescribed medication).
  - (c) A pattern of high-risk, irresponsible, aggressive, anti-social, or emotionally unstable behavior.
  - (d) Information that suggests that the individual's current behavior indicates a defect in their judgment or reliability.
  - (e) Information that suggests the individual displays psychological symptoms that impact reliability because he or she has witnessed or experienced personal trauma in the course of their duties, including but not limited to such events as family illness or death and violent crime. When individuals affected by personal trauma seek treatment, the CMA will assess potential impact upon reliability and advise the certifying official accordingly. The CMA will not disclose the personal circumstance that resulted in trauma but is required to inform the certifying official of the specific medical or psychological diagnosis and treatment that may potentially impact reliability.

- (f) Poor attitude or lack of motivation.
- (2) Conditions the certifying official might consider to mitigate reliability concerns include:
  - (a) There is no indication of a current problem.
  - (b) A recent medical opinion that an individual's previous emotional, mental, or personality disorder is cured, under control, or in remission and has a low probability of recurrence or exacerbation.
  - (c) The past emotional instability was a temporary condition (for example, one caused by a death, illness, or marital breakup), the situation has been resolved, and the individual is no longer emotionally unstable.
- c. *Financial considerations.* An individual who is financially overextended is at risk of having to engage in illegal acts to generate funds. Unexplained affluence is often linked to proceeds from financially profitable criminal acts.
  - (1) Conditions that the certifying official should carefully consider include:
    - (a) A history of not meeting financial obligations.
    - (b) Deceptive or illegal financial practices such as embezzlement, employee theft, check fraud, income tax evasion, expense account fraud, filing deceptive loan statements, or other intentional financial breaches of trust.
    - (c) Inability or unwillingness to satisfy debts.
    - (d) Unexplained affluence.
    - (e) Financial problems that are linked to gambling, drug abuse, alcoholism, or other issues of security concern.
  - (2) Conditions the certifying official might consider to mitigate reliability concerns include:
    - (a) The behavior was not recent.
    - (b) It was an isolated incident.
    - (c) The conditions that resulted in the behavior were largely beyond the person's control (for example, loss of employment, a business downturn, unexpected medical emergency, or a death, divorce, or separation).
    - (d) The person has received or is receiving counseling for the problem and there are clear indications that the problem is being resolved or is under control.
    - (e) The affluence resulted from a legal source.
    - (f) The individual initiated a good faith effort to repay overdue creditors or otherwise resolve debts.
- d. *Criminal conduct.* A history or pattern of criminal activity creates doubt about a person's judgment, reliability, and trustworthiness.
  - (1) Conditions that the certifying official should carefully consider include:
    - (a) Credible allegations or admissions of criminal conduct, regardless of whether the person was formally charged.
    - (b) A single serious crime or multiple lesser offenses.
  - (2) Conditions the certifying official might consider to mitigate reliability concerns include:
    - (a) The criminal behavior was not recent.
    - (b) The crime was an isolated incident.
    - (c) The person was pressured or coerced into committing the act and those pressures are no longer present in that person's life.
    - (d) The person did not voluntarily commit the act or the factors leading to the violation are not likely to recur.
    - (e) Acquittal.
    - (f) There is clear evidence of successful rehabilitation.
- e. *Substance or drug misuse and drug incidents.* Improper or illegal involvement with drugs raises questions regarding an individual's suitability for PRP. Substance use disorder may impair social or occupational functioning, increasing the risk of an individual's inability to perform PRP duties.
  - (1) Conditions that the certifying official should carefully consider include:
    - (a) Any substance or drug misuse (see glossary).
    - (b) The diagnosis of a substance use disorder.
    - (c) Current evaluation of a substance use disorder.
    - (d) Failure to successfully complete a prescribed drug treatment program.
  - (2) Conditions the certifying official might consider to mitigate reliability concerns include:
    - (a) The substance or drug misuse was not recent.
    - (b) The substance or drug misuse was an isolated incident or aberrant event.
    - (c) The individual has displayed a demonstrated intent not to misuse any substances or drugs in the future.
    - (d) The individual has satisfactorily completed a prescribed drug treatment program, including rehabilitation and after-care requirements, without recurrence of abuse, and received a favorable prognosis by the CMA.
    - (e) Pre-enrollment use of marijuana. Any PRP candidate who admits to pre-enrollment use of marijuana, hashish, or other cannabis-based product does not necessarily have to be disqualified from PRP enrollment. The certifying official, after consultation with CMA, would determine the degree that pre-enrollment use impacts the individual's reliability.

*f. Alcohol use disorder and alcohol related incidents.* Excessive alcohol consumption often leads to the exercise of questionable judgment, unreliability, failure to control impulses, and increases the risk of an individual inability to meet their PRP responsibilities to perform PRP duties. Individuals diagnosed with mild, moderate, or severe alcohol use disorder or who have been involved in an alcohol related incident will be, at a minimum, suspended from PRP duties. The certifying official, after consultation with the CMA or conducting an investigation of the circumstances of an incident, will determine the degree to which the diagnosis affects the reliability of the individual being considered for or who is currently under PRP assignment. Those individuals may be returned to PRP duties after successfully completing a prescribed rehabilitation program or treatment regimen, when they have displayed positive changes in job reliability and lifestyle, and receive a favorable medical prognosis by the CMA.

(1) Conditions that the certifying official should carefully consider include:

(a) Alcohol related incidents away from work, such as driving while under the influence, fighting, child or spouse abuse, or other criminal incidents related to alcohol use.

(b) Alcohol related incidents at work, such as reporting for work or duty in an intoxicated or impaired condition or drinking on the job.

(c) The diagnosis of a moderate or severe alcohol use disorder.

(d) Current evaluation of a moderate or severe alcohol use disorder at a recognized alcohol treatment program.

(e) Habitual or binge consumption of alcohol to the point of impaired judgment.

(f) Consumption of alcohol, subsequent to the diagnosis of a moderate or severe alcohol use disorder, following completion of an alcohol rehabilitation program.

(2) Conditions the certifying official might consider to mitigate reliability concerns include:

(a) The alcohol related incidents do not indicate a pattern.

(b) There is no indication of a recent problem.

(c) The individual has made positive changes in behavior supportive of sobriety.

(d) Following diagnosis of a moderate or severe alcohol use disorder, the individual successfully completed inpatient or outpatient rehabilitation, along with the aftercare requirements, participates frequently in meetings with appropriate recovery support organizations, has abstained from alcohol for at least 12 months, and has received a favorable prognosis by the CMA.

*g. Sexual harassment and assault.* Sexual harassment and assault impose significant costs, such as impairing unit readiness and disrupting unit cohesion in addition to the great personal cost to the victim.

(1) Conditions that the certifying official should carefully consider include:

(a) An individual is determined to have made unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, either explicitly or implicitly.

(b) Such advances are made as a term or condition of a person's job, pay, or career.

(c) An individual's conduct has the purpose or effect of unreasonably interfering with another's work performance or creates an intimidating, hostile, or offensive working environment.

(d) The individual's conduct can be considered sexual assault as defined in AR 600–20 and the Uniform Code of Military Justice.

(2) Conditions the certifying official might consider to mitigate reliability concerns include:

(a) The behavior occurred during or before adolescence and there is no evidence of subsequent conduct of a similar nature.

(b) The behavior was not recent and there is no evidence of subsequent conduct of a similar nature.

(c) There is no other evidence of questionable judgment, irresponsibility, or emotional instability.

(d) The behavior no longer serves as a basis for coercion, exploitation, or duress.

*h. Security violations.* Noncompliance with security regulations raises doubt about an individual's trustworthiness, willingness, and ability to safeguard classified information.

(1) Conditions that the certifying official should carefully consider include:

(a) Unauthorized disclosure of classified information.

(b) Violations that are deliberate or multiple or due to negligence.

(2) Conditions the certifying official might consider to mitigate reliability concerns include:

(a) The violations were inadvertent.

(b) The violations were isolated or infrequent.

(c) The violations were due to improper or inadequate training.

(d) The individual demonstrates a positive attitude toward the discharge of PRP responsibilities.

*i. Misuse of information technology systems.* Noncompliance with rules, procedures, guidelines, or regulations pertaining to information technology systems may raise security concerns about an individual's trustworthiness, willingness, and ability to properly protect classified systems, networks, and information.

- (1) Conditions that the certifying official should carefully consider include:
  - (a) Illegal or unauthorized entry into any information technology system.
  - (b) Illegal or unauthorized modification, destruction, manipulation, or denial of access to information residing on an information technology system.
  - (c) Removal (or use) of hardware, software, or media from any information technology system without authorization, when specifically prohibited by rules, procedures, guidelines, or regulations.
  - (d) Introduction of hardware, software, or media into any information technology system without authorization, when specifically prohibited by rules, procedures, guidelines, or regulations.
- (2) Conditions the certifying official might consider to mitigate reliability concerns include:
  - (a) The conduct was unintentional or inadvertent.
  - (b) The introduction or removal of media was authorized.
  - (c) The misuse was followed by a prompt, good faith effort to correct the situation.



## Appendix C

### Employment Conditions

#### C-1. General

This appendix mandates employment statements and portions of job description requirements. DA Form 7762-1 must be completed and signed prior to a firm offer of employment for new applicants. If the applicant refuses to sign the DA Form 7762-1, the applicant will no longer be considered for the position. Currently certified nuclear PRP employees will be requested to sign the DA Form 7762-1 upon completion of the impact and implementation bargaining between the affected Civilian Personnel Advisory Centers and local union officials. If a certified nuclear PRP employee refuses to complete and sign DA Form 7762-1 the certifying official will sign the form and document that the employee was notified but refused to sign.

#### C-2. Condition of employment for prospective Department of the Army civilian Personnel Reliability Program employees

Text for the condition of employment statement for prospective PRP employees is detailed below.

##### *a. Section A Requirements.*

(1) I understand that all applicants are required to sign a condition of employment statement as part of the application process.

(2) In accordance with AR 50-5, as a prospective employee, I understand that the nuclear PRP requires the selection and retention of only those personnel who are emotionally stable and physically capable and who have demonstrated reliability and professional competence. I understand that if I do not meet or maintain program standards I will not be selected for or retained in the PRP.

(3) I understand I must undergo initial evaluation of my reliability before being assigned to a nuclear PRP position.

(4) I understand that if I meet any of the following mandatory disqualifying or decertifying criteria, I will not be selected for or retained in a nuclear PRP position:

(a) I understand that If I am diagnosed with a mild, moderate, or severe alcohol use disorder, and I do not successfully complete the prescribed treatment program, or I fail to participate in a prescribed treatment program, I will be disqualified (if a PRP candidate) or decertified (if currently enrolled in PRP).

(b) I understand that if I have ever been involved in the unauthorized trafficking, cultivation, processing, manufacturing, or sale of any controlled or illegal drug, including cannabis-based products, I will be disqualified (if a PRP candidate) or decertified (if currently enrolled in PRP).

(c) I understand that if I have ever used a drug that could cause flashbacks, I will be disqualified (if a PRP candidate) or decertified (if currently enrolled in PRP).

(d) I understand if I have ever been previously diagnosed with severe substance use disorder (other than alcohol use disorder) I will be disqualified (if a PRP candidate) or decertified (if currently enrolled in PRP).

(e) I understand if there is a loss of confidence by the certifying official in my reliability I will be decertified from the PRP.

(f) I understand that if my security clearance is revoked, I will be decertified from the PRP.

(5) I understand that the certifying official will judge my reliability based on an initial interview, a PSI, a personnel records review, a medical evaluation, a negative drug test, and my qualifications for the position. I understand that the certifying official will determine from the interview, including the suitability guidelines listed in AR 50-5, Appendix B, if I am acceptable for further screening. I understand that should the certifying official determine from the interview that I am unsuitable for the PRP, the certifying official will terminate the PRP screening process and I will be disqualified from assignment to a nuclear PRP position.

(6) Additionally, as a prospective employee, I understand I must undergo continuing evaluation of my reliability if assigned to a nuclear PRP position. This includes self-reporting, peer and supervisor observation and reporting, evaluation of medical treatment by a CMA, PR, random drug testing, and certifying official observation and evaluation.

(7) As an applicant tentatively selected for this position, I understand I will not be appointed to the position if I decline to sign the condition of employment. If I sign this statement and cannot meet any of the conditions of employment as specified in the paragraphs above, this serves as a basis for my not being appointed to the position or for proposing my removal in accordance with applicable Federal and/or agency regulations. If I sign this statement and later decline to participate in the initial screening process, my refusal may be used as a basis for proposing my removal from the Federal service in accordance with applicable Federal and/or agency regulations.

*b. Section B Agreement.* This is to certify I understand the contents of the policy described above and the reasons therefore, and I agree to adhere to the terms of this policy as a continuing condition of my employment.

**C-3. Position descriptions**

Position descriptions for nuclear PRP positions will include the conditions of employment as described in C-2.

## Appendix D

### Instructions for DA Forms 7762–1 and 7762–2

#### D–1. DA Form 7762–1 (Nuclear Personnel Screening and Evaluation Record-Statement of Understanding)

Section A. Statement of Understanding for Conditions of Employment

*Block A.* Individual's name

*Block B.* Applicable job title

*Block C.* Individual will initial items 1 to 7 to indicate the individual's understanding of each condition of employment.

Section B. Agreement

*Blocks A and B.* Individual's signature and date to reflect understanding and agreement with the conditions of employment.

#### D–2. DA Form 7762–2 (Nuclear Personnel Screening and Evaluation Record)

Part I. Initial Interview

*Blocks A through D.* The name of the individual, organization and job title for which the PRP screening is being conducted, and date of birth of the individual.

*Block E.* Individual indicates consent or objection to PRP screening requirements. If the individual objects, the individual is not eligible for screening and certification for the PRP.

*Blocks F through H.* Certifying official's name, signature, and date reflecting the conduct of the initial interview.

Part II. Personnel Security Investigation (PSI) Screening

*Block A.* As necessary, indicate whether the individual is authorized for interim certification (escorted access) based on an open investigation.

*Block B through D.* Information provided from the Security Manager or directly from the PSI report.

*Blocks E through G.* Certifying official's name, signature, and date reflecting the review of the PSI report.

Part III. Personnel Records Screening

*Blocks A. through C.* Certifying Official's name, signature, and date reflecting the review of personnel records.

Part IV. Medical Records Screening

*Block A.* Competent medical authority indicates whether or not medical information requiring CO review has been forwarded to the CO.

*Blocks B through D.* Competent medical authority's name, signature, and date.

Part V. Drug Testing

*Block A.* Date the drug test specimen was collected and the medical review official or other authorized official will check the appropriate block.

*Blocks B through D.* Provide the name, signature, and date of the official forwarding the results to the CO.

Part VI. Substance Abuse Records Screening

*Block A.* ASAP Program Manager or other authorized official will check the appropriate block.

*Blocks B through D.* Provide the name, signature, and date of the official forwarding the results to the CO.

Part VII. Certifying Official's Evaluation and Assignment Briefing

*Block A.* Certifying official's decision on whether the individual is suitable or not suitable for the PRP. If the individual is authorized for interim certification, the certifying official will complete Part VII.

*Blocks B, C, and D.* Certifying official's name, signature, and date.

*Blocks E through G.* Individual's signature and date, reflecting the individual's understanding of the standards and objectives of the PRP. Leave blank if the individual was found unsuitable for the PRP.

Part VIII. Continuing Evaluation. Optional use per local procedures.

*Block A and B.* Certifying official's and individual's signatures. Use as necessary per local procedures.

*Block C.* Identify the reason for the update.

*Block D.* Date of the update.

**Part IX. Administrative Decertification**

The certifying official will complete the effective date of the administrative decertification.

**Part X. Disqualification or Decertification**

*Block A.* Identify the individual's status at the time of the disqualification or decertification.

*Block B.* Identify if the individual was military, civilian, or contractor at the time of the disqualification or decertification.

*Block C.* Identify the reason(s) for disqualification or decertification based on the PRP disqualification or decertification criteria. Select the reason(s) for disqualification or decertification; if there were additional applicable reasons, note that in Block D.

*Block D.* Identify the rationale or details for the disqualification or decertification. For Block C, items 5 (Substance or drug misuse and drug incidents) and 6 (Alcohol use disorder and alcohol-related incidents), identify by paragraph the specific drug or alcohol disqualification or decertification criteria used. For Block C items 2 (Emotional, mental, or personality disorders) and 11 (Medical conditions), do not provide further details; use "See individual's medical records."

*Block E.* Identify how and when the individual was notified of the disqualification or decertification.

*Blocks F through H.* Certifying official name, signature, and date.

*Blocks I through K.* Reviewing official name, signature and date for the disqualification or decertification.

**Part VIII. Continuing Evaluation Continuation Sheet.** Reproduce and use as necessary.

## Appendix E

### Internal Control Evaluation

#### E-1. Function

The function covered by this evaluation is nuclear surety.

#### E-2. Purpose

The purpose of this evaluation is to assist users in evaluating the key internal controls listed. It is not intended to cover all controls.

#### E-3. Instructions

Answers must be based on the actual testing of key internal controls (for example, document analysis, direct observation, sampling, simulation, other). Answers that indicate deficiencies must be explained and the corrective action identified in supporting documentation. These internal controls must be evaluated at least once every 5 years. Certification that the evaluation has been conducted must be accomplished on DA Form 11-2 (Internal Control Evaluation Certification).

#### E-4. Test questions

- a.* (HQDA G-3/5/7) Is this regulation reviewed at least once every 3 years and updated as necessary?
- b.* (TIG) Are nuclear surety evaluations and inspections conducted in accordance with this regulation?
- c.* (Army activities) Are nuclear surety officers or surety focal points appointed in writing?
- d.* (Army activities) Are personnel screened in accordance with the procedures in this regulation and is this process documented on DA Form 7762-1 and DA Form 7762-2 for appropriate personnel?
- e.* (Army activities) Are personnel removed from access/duty in accordance with this regulation?
- f.* (Army activities) Are nuclear surety evaluations and inspections performed and any deficiencies found corrected?
- g.* (Army activities) Are PRP status reports submitted in accordance with this regulation?

#### E-5. Comments

Help make this a better tool for evaluating internal controls. Submit comments to HQDA, ODCS G-3/5/7 (DAMO-SSD), 400 Army Pentagon, Washington, DC, 20310-0400.

## **Glossary**

### **Section I**

#### **Abbreviations**

**ACOM**

Army Command

**AMHRR**

Army Military Human Resource Record

**AR**

Army Regulation

**ARC**

Army Reactor Council

**ARCYBER**

U.S Army Cyber Command

**ARSTAF**

Army Staff

**ASAP**

Army Substance Abuse Program

**ATEC**

U.S. Army Test and Evaluation Command

**CAF**

Consolidated Adjudication Facility

**CG**

commanding general

**CIO**

Chief information officer

**CJCSI**

Chairman of the Joint Chiefs of Staff Instruction

**CMA**

Competent Medical Authority

**COMSEC**

Communications security

**DA**

Department of the Army

**DAIG**

Department of the Army Inspector general

**DCS**

Deputy Chief of Staff

**DOD**

Department of Defense

**DODI**

Department of Defense instruction

**DRU**

direct reporting unit

**DSM**

Diagnostic and Statistical Manual

**DTC**  
drug testing coordinator

**eOPF**  
electronic official personnel folder

**HIPAA**  
Health Insurance Portability and Accountability Act

**HQDA**  
Headquarters, Department of the Army

**IMCOM**  
U.S. Army Installation Management Command

**MEDCOM**  
U.S. Army Medical Command

**NC2**  
Nuclear command and control

**NCCD**  
Nuclear certified computer data

**OAA**  
Office of the Administrative Assistance to the Secretary of the Army

**OPM**  
Office of Personnel Management

**PAL**  
permissive action links

**PAM**  
Pamphlet

**PCM**  
Positive control material

**PHI**  
protected health information

**PR**  
periodic reinvestigation

**PRP**  
Personnel Reliability Program

**PSI**  
personnel security investigation

**SECARMY**  
Secretary of the Army

**SNM**  
special nuclear material

**SUDC**  
Substance Use Disorder Clinic

**TIG**  
The Inspector General

**TSG**  
The Surgeon General

**USC**  
United States Code

## **Section II**

### **Terms**

#### **Access**

- a. The opportunity to tamper with or modify a critical nuclear weapon system component or positive control NC2 material. A person who is escorted by or under observation of PRP-certified individual(s) capable of detecting unauthorized actions is not considered to have access.
- b. Close physical proximity to nuclear reactors and/or SNM in such a manner as to allow the opportunity to tamper with or damage such items. A person who is escorted by or under observation of PRP-certified individual(s) capable of detecting unauthorized actions is not considered to have access.

#### **Active service**

For assignment to PRP: active duty in the U.S. military; employment in the federal civil service; employment by a U.S. Government contractor involving access to classified information under the National Industrial Security Program; continuous federal service by National Guard members; service as a cadet or midshipmen in the Military, Naval, Air Force, or Coast Guard academies; members of the Selected Reserve, as defined in DOD Instruction 1215.06. For PRP purposes, the following apply:

- a. An interruption in active service of over 24 months constitutes a break inactive service.
- b. Assignment as a Reserve Officers Training Corps, Merchant Marine Academy, and Maritime Academy cadet or midshipman is not considered active service.

#### **Administrative decertification**

An action taken to remove an individual from the PRP when the individual transfers from a duty position requiring PRP certification to one that does not.

#### **Alcohol use disorder**

A problematic pattern of alcohol use leading to clinically significant impairment or distress, as defined by symptoms in the Diagnostic and Statistical Manual (DSM) of Mental Disorders. Alcohol use disorder levels of severity (that is, mild, moderate, or severe) are determined through the evaluation of symptoms described in the DSM.

#### **Alcohol-related incident**

Any substandard behavior or performance in which the consumption of alcohol by the individual is a contributing factor as determined by the certifying official with consultation from the CMA.

#### **Army suitability**

The term "Army Suitability" specifically encompasses all suitability, fitness, and Homeland Security Presidential Directive-12 Common Access Card Credentialing functions, PRPs, information technology vetting of privileged users, health care personnel, DA civilian police and security guards, continued reliability of positions having duties with Arms, Ammunition, and Explosives and other access to credentials or as subsequently defined by the DCS, G-1.

#### **Certification**

A determination by a certifying official that an individual meets the PRP criteria established for assignment to a PRP position.

#### **Certifying official**

DOD military or civilian official, in a PRP position, responsible for SNM or NC2 operations having sufficient personal contact with all subordinate PRP personnel to permit continual evaluation of their performance and reliability. For DOD contractor personnel, the certifying official will be the DOD military or civilian official identified for that purpose in the contract.

#### **Competent medical authority**

- A U.S. military healthcare provider or a U.S. healthcare provider employed by or under contract or subcontract to the U.S. Government or U.S. Government contractor. Nurse practitioners and physician assistants may be CMAs. CMAs must be:
- a. Awarded regular clinical privileges for independent practice according to Military Service regulations by the healthcare facility responsible for the provider's place of duty, or if not privileged for independent practice, then be supervised by a physician who is privileged to practice independently.
  - b. Specifically trained as a CMA and be appointed in accordance with procedures established by MEDCOM.

#### **Consolidated adjudication facility**

A single facility designated by the DOD Component head to evaluate PSI and other relevant information and to render personnel security determinations.



**Continuing evaluation**

The process by which a PRP-certified individual is observed for compliance with reliability standards. This is an on-going process that considers duty performance, and on and off-duty behavior, and reliability on a continuing and frequent basis.

**Controlled nuclear duty position**

A position in which an individual is assigned nuclear duties where he or she:

- a. Has access, but not technical knowledge
- b. Controls access into areas containing SNM, but does not have access or technical knowledge; or
- c. Is armed and assigned duties to protect or guard SNM; or
- d. Has been designated as a certifying official at an operational unit or staff activities with only designated controlled PRP positions.

**Critical nuclear duty position**

A position in which an individual is assigned nuclear duties where he or she:

- a. Has access and technical knowledge; or
- b. Can either directly or indirectly cause the launch or use of a nuclear weapon; or
- c. Has accountability, control, or use of PCM or devices such as sealed authentication systems, PAL materials and related codes, strategic and tactical nuclear certified computer data (NCCD), nuclear targeting tapes or materials, emergency action messages, or release procedures for nuclear weapons; or
- d. Has been designated as a certifying official at an operational unit or staff activities with designated critical PRP positions.

**Decertification**

An action based on the receipt of adverse information leading to removal from PRP of an individual who has been screened, determined reliable, and certified capable of performing duties involving nuclear enterprise and equipment or specified quantities of SNM.

**Disqualification**

Before certification, an action taken based on the receipt of disqualifying information to deny PRP eligibility of an individual considered for, or in training leading to the assignment to, duties involving nuclear enterprise and equipment, or specified quantities of SNM.

**Drug incident**

The wrongful use, possession, distribution, or introduction onto a military installation (or other property or facility under military supervision) of any illegal substances or the intentional use of substances to alter perceptions or mental faculties, including, but not limited to, illegal narcotics, sniffing glue or aerosol fumes, and intentional misuse of prescription or over-the-counter medication. Positive drug test results, regardless of where the individual was located at the time of drug use or testing, without an authorized reason for use of prohibited substances are also considered drug incidents.

**Health records**

Documents that include medical, mental health, and dental records.

**Healthcare provider**

Any member of the Military Services, civilian employee of the DOD, or personal services contractor in accordance with Section 10 USC 1091, authorized by the DOD to perform health care functions. The term does not include any contract provider that is not a personal services contractor. Treatment performed by healthcare providers must be reviewed by CMAs or other medical personnel specifically trained and formally designated to perform these duties for PRP purposes.

**Information technology systems**

Systems that include all related equipment used for the communication, transmission, processing, manipulation, and storage of classified or sensitive information.

**Interim certification**

Same as "certification," except performance of duty is subject to the restrictions of paragraph 2-10d, pending receipt of the results of a new PSI.

**Nuclear command and control**

Materials and devices used in the coding and authentication processing and communication medium necessary to transmit release, execution, or termination orders; and nuclear weapons targeting tapes or media containing nuclear weapons targeting data.

**Nuclear-certified computer data**

Nuclear certified media containing nuclear mission or launch control data.

**Periodic reinvestigation**

An investigation conducted at specified intervals for updating a previously completed PSI.

**Permissive action link**

A device in or attached to a nuclear weapon system to preclude arming or launching until a prescribed discrete code or combination is inserted into the PAL. Such devices can be mechanical, electronic, or electromechanical.

**Personnel Reliability Program monitor**

An individual appointed by the certifying official to assist in the day-to-day administrative functions of the PRP.

**Personnel security investigation**

Any investigation required for determining the eligibility of DOD military or civilian personnel and contractor employees for access to classified information, acceptance, or retention in the Military Services, or assignment to, and retention in, sensitive positions.

**Positive control materials or devices**

Sealed authentication systems, PAL, coded switch system, positive enable system or NCCD material or devices.

**Reliability**

A combination of traits of integrity, trustworthiness, emotional stability, professional competence, and unquestioned loyalty and allegiance to the United States.

**Reviewing official**

The commander, or designated DOD military or civilian official, at a level above that of the certifying official, who is responsible for operations involving SNM, PCM or NC2 operations. Reviewing officials who have no PRP duties other than to appoint and certify a certifying official need not be designated as a PRP position.

**Screening**

A review of medical and dental records, personnel records, PSI, other pertinent documents or information, and a personal interview for the purpose of validating an individual's reliability to be considered for the PRP.

**Sexual assault**

See definition in AR 600-20.

**Sexual harassment**

See definition in AR 600-20.

**Special nuclear material**

As defined under Section 2011 of Title 42, USC, also known as the "Atomic Energy Act of 1954," as amended. SNM is plutonium, uranium, enriched with the isotope uranium-233 or in the isotope uranium-235. SNM does not include source material such as natural uranium or thorium.

**Substance or drug misuse**

The use of any substance with or without a prescription with the primary goal to alter one's mental state (for example, to alter mood, emotion, or state of consciousness) outside of its medically prescribed purpose. May include medications, illicit drugs, or use of a commercial product outside its intended purpose (such as inhalants or synthetic cannabinoids).

**Substance use disorder**

A problematic pattern of substance use leading to clinically significant impairment or distress, as defined by symptoms in the DSM. Substance use disorder levels of severity (that is, mild, moderate, or severe) are determined through the evaluation of symptoms described in DSM.

**Suspension**

Suspension is a temporary removal from PRP duties without starting decertification actions. Suspension will only be used when the problem is expected to be of short duration.

**Technical knowledge**

Knowledge that would allow an individual to perform an intentional act on a critical nuclear weapon system component or positive control NC2 material in a manner that could go undetected during normal monitoring or operations and could cause the unauthorized pre-arming, arming, releasing, disablement, or detonation of a nuclear weapon or degradation of weapon performance. It also includes knowledge that would allow an individual to tamper with a nuclear reactor or SNM in a manner that such tampering would not be detectable during normal operations/surveillance and could cause unsafe operations at the reactor or potential radiological hazards.

### **Section III**

#### **Special Abbreviations and Terms**

This section contains no entries.



**UNCLASSIFIED**

**PIN 002264-000**