



**DoD 5210.42-R**

**Department of Defense**

**Nuclear Weapon**

**Personnel Reliability Program (PRP)**

**Regulation**

**January 8, 2001**

**Assistant Secretary of Defense**  
**for**  
**Command, Control, Communication and Intelligence (C3I)**



COMMAND, CONTROL,  
COMMUNICATIONS, AND  
INTELLIGENCE

ASSISTANT SECRETARY OF DEFENSE  
6000 DEFENSE PENTAGON  
WASHINGTON, DC 20301-6000



January 8, 2001

FOREWORD

This Regulation is issued under the authority of DoD Directive 5210.42, "Nuclear Weapon Personnel Reliability Program (PRP)" January 8, 2001. It establishes requirements and procedures for the implementation of the PRP in order to select and maintain only the most reliable people to perform duties associated with nuclear weapons. Nuclear weapons require special consideration because of their policy implications and military importance, their destructive power, and the political consequences of an accident, loss of a weapon, or an unauthorized act. The safety, security, control, and effectiveness of nuclear weapons are of paramount importance to the security of the United States.

This Regulation applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the office of Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as "the DoD Components"). It also applies to DoD military and civilian personnel and contractor employees assigned to PRP positions or in training leading to assignment to PRP positions.

Heads of DoD Components may elect to issue supplementary instructions deemed essential to the accommodation of requirements peculiar to their operations. Any such instruction may not conflict with the provisions of this Regulation. Copies of Component supplementary instructions shall be forwarded to the below address for review within 60 days of the date of this Regulation.

Send recommended changes to this Regulation to:

Assistant Secretary of Defense for Command, Control, Communications and Intelligence  
(C31)  
6000 Defense Pentagon  
Washington, DC 20301-6000

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Arthur L. Money

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## REFERENCES

- (a) [DoD Directive 5210.42](#), "Nuclear Weapon Personnel Reliability Program," January 8, 2001
- (b) Section 1408 of title 8, United States Code
- (c) [DoD 5200.2-R](#), "DoD Personnel Security Program," January 1987
- (d) [DoD Directive 5210.41](#), "Security Policy for Protecting Nuclear Weapons," September 23, 1988
- (e) [DoD Directive 1010.4](#), "Alcohol and Drug Abuse by DoD Personnel," September 3, 1997
- (f) DoD Directive 1010.6, "Rehabilitation and Referral Services For Alcohol and Drug Abusers," March 13, 1985
- (g) DoD Directive S-5210.81, "United States Nuclear Command and Control (U)," June 18, 1991
- (h) DoD 5210.48-R, "Polygraph Program," January, 1985
- (i) [DoD Directive 5400.7](#), "DoD Freedom of Information Act (FOIA) Program," September 29, 1997
- (j) [DoD Directive 5400.11](#), "DoD Privacy Program," December 13, 1999
- (k) [DoD Directive 1010.1](#), "Military Personnel Drug Abuse Testing Program," December 9, 1994
- (l) [DoD Directive 1010.9](#), "DoD Civilian Employees Drug Abuse Testing Program," August 23, 1988
- (m) [DoD Instruction 1215.19](#), "Uniform Reserve, Training and Retirement Category Administration," March 14, 1997
- (n) [DoD Directive 5210.56](#), "Use of Deadly Force and the Carrying of Firearms by DoD Personnel Engaged in Law Enforcement and Security Duties," February 25, 1992
- (o) Manual for Courts Martial, 1998
- (p) USEUCOM Directive Number 60-12, "Nuclear Surety Management for the WS3 (NU)," June 1, 1996

## DL1. DEFINITIONS

DL1.1.1. Access. Opportunity to tamper with or modify a nuclear weapon, critical nuclear weapon system component or positive control/Nuclear Command and Control (NC2) material. A person is not considered to have access if escorted and/or under observation by individual(s) capable of detecting unauthorized or incorrect actions.

DL1.1.2. Active Service. For assignment to the Personnel Reliability Program (PRP), active service is: 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; service as a cadet or midshipmen in the Military, Naval, Air Force or Coast Guard academy; members of the Selected Reserve as defined in DoD Instruction 1215.19 (reference (m)). For PRP purposes, the following apply:

DL1.1.2.1. An interruption in active service of over 24 months constitutes a break in active service.

DL1.1.2.2. It is not the intent of this Regulation to allow repeated, short-term certifications into the PRP. Personnel must remain PRP certified while assigned to a PRP position in order to afford the certifying official the opportunity for longer-term, continual evaluation. Personnel must meet at the minimum, the standard outlined in section C4.2. if permanent duty assignments do not permit routine observations on a day-to-day basis.

DL1.1.2.3. Assignment as a Reserve Officers Training Corps, Merchant Marine Academy, and Maritime Academy cadet or midshipman is not considered to be active service.

DL1.1.3. Agency and Installation PRP Monitor. An individual in the military grade of E-5, or above, or a civilian in the equivalent grade for nonmilitary organizations, appointed to administer and conduct oversight of the day-to-day functions of the PRP at DoD Agencies and installations.

DL1.1.4. Alcohol Abuse. The use of alcohol to an extent that it has an adverse effect on the user's health, behavior, family, community, or the Department of Defense, or leads to unacceptable behavior as evidenced by one or more acts of alcohol-related misconduct and/or the illegal use of such substances (See DoD Directive 1010.4 (reference (e)).) Alcohol abuse may include a diagnosis of alcohol dependency or

alcohol abuser or may be an alcohol-related incident. (See Chapter 2, paragraph C2.3.1.4. for specific guidance on pre-Service alcohol-related issues.)

DL1.1.5. 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 competent medical authority (CMA) (e.g., intoxicated driving, domestic disturbances, assault, disorderly conduct, personal injury, failure to go, or voluntary consumption of alcohol by an individual previously diagnosed as alcohol dependent, underage drinking, etc.). (See Chapter 2, paragraph C2.3.1.4., for specific guidance on pre-Service alcohol-related issues.)

DL1.1.6. Access National Agency Check with Written Inquiries (ANACI). A personnel security investigation for access to classified information conducted by the Office of Personnel Management (OPM), including a NAC and written inquiries to law enforcement agencies, former employers and supervisors, references, schools and credit check.

DL1.1.7. Armed. Equipped with a loaded firearm. (See DoD Directive 5210.56, reference (n).)

DL1.1.8. Central Adjudication Facility (CAF). A single facility designated by the Head of the DoD Component to evaluate personnel security investigations and other relevant information and to render personnel security determinations.

DL1.1.9. Certifying Official. For military and DoD civilian personnel, the commander, or DoD military or civilian official, in a PRP position, responsible for nuclear weapons and/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 shall be the DoD military or civilian official designated in the contract.

DL1.1.10. Competent Medical Authority (CMA). A U.S. military privileged (licensed) healthcare provider or a US privileged (licensed) healthcare provider employed by, or under contract/sub-contract to the U.S. Government or U.S. Government contractor, specifically trained and authorized by the medical treatment facility commander who is responsible for review of healthcare services or conducting clinical evaluations for purposes of the PRP.

DL1.1.11. 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.

DL1.1.12. Controlled Position. A position whose incumbent because of assigned nuclear duties (see examples in Appendix 1):

DL1.1.12.1. Has access, but no technical knowledge; or

DL1.1.12.2. Controls access into areas containing nuclear weapons, but does not have access or technical knowledge; or

DL1.1.12.3. Is armed and/or assigned duty for nuclear weapon security that would afford the opportunity to inflict damage on the weapon or, when joined, to its delivery system; or

DL1.1.12.4. Has been designated as a "certifying official" at operational unit or staff activities with only designated controlled PRP positions.

DL1.1.13. Counter Intelligence Scope Polygraph (CSP) Examination. A polygraph examination in which the scope of the relevant questioning is restricted to specific counterintelligence topics.

DL1.1.14. Critical Position. A position whose incumbent, because of assigned nuclear duties (see examples in Appendix 1):

DL1.1.14.1. Has access and technical knowledge; or;

DL1.1.14.2. Can either directly or indirectly cause the launch or use of a nuclear weapon; or

DL1.1.14.3. Has accountability, control, or use of positive control materials or devices such as sealed authentication systems, permissive action link (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

DL1.1.14.4. Has been designated as a "certifying official" at operational unit or staff activities with designated "critical PRP" positions.

DL1.1.15. Custodian. Refer to USEUCOM Directive 60-12 (reference p).

DL1.1.16. Custodial Agents. Refer to USEUCOM Directive 60-12 (reference p).

DL1.1.17. Decertification. An action based on the receipt of disqualifying information to remove from the PRP an individual who has been screened, determined reliable, and certified capable of performing duties involving nuclear weapons.

DL1.1.18. Disqualification. An action taken based on the receipt of disqualifying information to terminate the PRP qualification process of an individual considered for, or in training leading to the assignment to, duties involving nuclear weapons.

DL1.1.19. DoD Personnel. Active duty military personnel, members of the Selected Reserve, civilian employees of the Department of Defense or, for PRP purposes, DoD contractors and their employees.

DL1.1.20. Drug Abuse. (As defined in DoD Directive 1010.4 (reference (e)) and the Manual for Courts-Martial (reference (o)).) The wrongful use, possession, distribution or introduction onto a military installation of a controlled substance, prescription medication, over-the-counter medication, or intoxicating substance (other than alcohol). (Wrongful means without legal justification or excuse, and includes use contrary to the directions of the manufacturer or prescribing healthcare provider, and use of any intoxicating substance not intended for human ingestion.) (See Chapter 2, paragraph C2.3.2. for specific guidance concerning pre-Service drug-related issues.)

DL1.1.21. Entrance National Agency Check (ENTNAC). A Personnel Security Investigation (PSI) conducted in the same manner as a National Agency Check (NAC). An ENTNAC is started on inductees and first-term military enlistee entering military service.

DL1.1.22. Exclusion Area. A designated area immediately surrounding one or more nuclear weapons and/or systems. Normally, the boundaries of the area are the walls, floor, and ceiling of a structure, or are delineated by a permanent or temporary barrier. In the absence of positive preventive measures, entry into the exclusion area constitutes access to the nuclear weapons and/or systems.

DL1.1.23. Limited Area. A designated area immediately surrounding one or more exclusion areas and the outer or inner barrier or boundary of the perimeter security system.

DL1.1.24. National Agency Check (NAC). A PSI consisting of records reviews of certain national agencies, including a technical fingerprint search of Federal Bureau of Investigation, Identification (FBI/ID) files.

DL1.1.25. NAC Plus Written Inquiries and Credit Check (NACIC). A PSI conducted by the Office of Personnel Management (OPM) that combines a NAC with written inquiries to law enforcement agencies, former employers and supervisors, references, and schools and a credit check.

DL1.1.26. NAC with Local Agency Checks and Credit Check (NACLIC). A PSI covering the past five years and consisting of a NAC, financial review, verification of date and place of birth, and Local Agency Checks.

DL1.1.27. NC2 Materials. 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.

DL1.1.28. Nuclear Certified Computer Data (NCCD). Nuclear certified media containing nuclear mission or launch control data.

DL1.1.29. Periodic Reinvestigation (PR). An investigation conducted at specified intervals for updating a previously completed PSI.

DL1.1.30. Personnel Security Investigation (PSI). 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 Armed Forces, or assignment to, and retention in, sensitive positions.

DL1.1.31. Positive Control Materials or Devices. Sealed authentication systems, PAL, coded switch system, positive enable system, or NCCD material or devices.

DL1.1.32. Potentially Disqualifying Information (PDI). Any information regarding, but not limited to, a person's physical, mental, emotional status, conduct or character, on- and off-duty, that may cast doubt about that individual's ability or reliability to perform nuclear-related duties.

DL1.1.33. Proper Medical Authority (PMA). Any military or civilian provider authorized and/or licensed to practice medicine and to write prescriptions by Federal and/or State law; or its equivalent if the individual received treatment outside of the

United States. Treatment performed by PMAs must be reviewed by CMAs for PRP purposes.

DL1.1.34. Random Testing. A program of substance abuse testing where each member of the testing population has an equal chance of being selected. Random testing may be either testing of designated individuals occupying a specified area, element, or position, or random testing of those individuals based on a neutral criterion, such as a digit of the social security number.

DL1.1.35. Reviewing Official. The commander, or designated DoD military or civilian official, at a level immediately above that of the certifying official, who is responsible for operations involving nuclear weapons.

DL1.1.36. Sensitive Position. Any position so designated in the Department of Defense, the occupant of which could bring about, by virtue of the type of the position, a materially adverse effect on the national security. All civilian positions are either "special-sensitive," "critical-sensitive," "noncritical-sensitive," or "nonsensitive."

DL1.1.37. Single-Scope Background Investigation (SSBI). A PSI consisting of both record reviews and interviews with sources of information (DoD 5200.2.R, reference (c)).

DL1.1.38. Technical Knowledge. Knowledge that would allow an individual to perform an intentional act on a nuclear weapon, 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, launching, releasing, disablement, or detonation of a nuclear weapon or degradation of weapon performance.

DL1.1.39. U.S. Citizen (Native Born). A person born in one of the following locations is considered to be a U.S. citizen for PRP purposes; i.e., the 50 States, and the District of Columbia, Puerto Rico, Guam, American Samoa, Northern Mariana Islands, U.S. Virgin Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. Additionally, a person born to U.S. citizens living in a foreign country that a U.S. birth certificate or a Certification of Birth Abroad is issued.

DL1.1.40. U.S. National. A citizen of the United States or other person formally designated as a "U.S. national." Section 1408 of title 8, United States Code (reference (b)) provides a detailed identification of non-citizen U.S. nationals.

AL1. ABBREVIATIONS AND ACRONYMS

AL1.1.	<u>ANACI</u>	Access National Agency Check with Inquiries
AL1.2.	<u>BI</u>	Background Investigation
AL1.3.	<u>CAF</u>	Central Adjudication Facility
AL1.4.	<u>CMA</u>	Competent Medical Authority
AL1.5.	<u>CSP</u>	Counterintelligence-Scope Polygraph
AL1.6.	<u>DISCO</u>	Defense Industrial Security Clearance Office
AL1.7.	<u>DoD</u>	Department of Defense
AL1.8.	<u>DSS</u>	Defense Security Service
AL1.9.	<u>IDC</u>	Independent Duty Hospital Corpsmen
AL1.10.	<u>IDMT</u>	Independent Duty Medical Technician
AL1.11.	<u>MACOM</u>	Major Command, Army
AL1.12.	<u>MAJCOM</u>	Major Command, USAF
AL1.13.	<u>MUNSS</u>	Munitions Support Squadron
AL1.14.	<u>NACI</u>	National Agency Check with Inquiries
AL1.15.	<u>NACLCL</u>	National Agency Check with Local Agency
AL1.16.	<u>NC2</u>	Nuclear Command and Control
AL1.17.	<u>PDI</u>	Potentially Disqualifying Information
AL1.18.	<u>PMA</u>	Proper Medical Authority
AL1.19.	<u>PR</u>	Periodic Reinvestigation
AL1.20.	<u>PRP</u>	Personnel Reliability Program
AL1.21.	<u>SBI</u>	Special Background Investigation
AL1.22.	<u>SPR</u>	Secret Periodic Reinvestigation
AL1.23.	<u>SSBI</u>	Single-Scope Background Investigation
AL1.24.	<u>TAD</u>	Temporary Additional Duty
AL1.25.	<u>TDY</u>	Temporary Duty Assignment

## C1. CHAPTER 1

### GENERAL PROVISIONS

#### C1.1. PURPOSE AND APPLICABILITY

C1.1.1. Purpose. The purpose of the Personnel Reliability Program (PRP) is to ensure that each person who performs duties involving nuclear weapons meets the highest possible standards of reliability. That shall be accomplished through the initial and continual evaluation of individuals assigned to PRP duties. The management of the PRP is a function of command. However, each person assigned to PRP duties has an obligation to report any behavior or circumstance about themselves or others in the PRP that may or could be expected to result in degradation in job performance or personal reliability or an unsafe or insecure condition involving nuclear weapons and/or NC2 material. The PRP supporting agencies and supervisors of individuals performing PRP duties shall assist the reviewing and certifying officials in their initial and continuing evaluation duties by ensuring that all potentially disqualifying information (PDI) is made available for their consideration. This Regulation provides policies and procedures for the implementation of the DoD Directive 5210.42 and Section 1408 of title 8, United States Code (references (a) and (b)).

C1.1.2. Applicability. This Regulation applies to:

C1.1.2.1. The Office of the Secretary of Defense, the Military Departments, including the Coast Guard when it is operating as a Military Service in the Navy, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as "the DoD Components").

C1.1.2.2. DoD military (active duty and members of Selected Reserve), civilian employees of the Department of Defense, and contractor employees assigned to PRP positions or in training leading to assignment to PRP positions.

#### C1.2. PRP ADMINISTRATORS

C1.2.1 Designation of Reviewing and Certifying Officials. The Heads of the DoD Components shall establish procedures for formally designating the reviewing officials and certifying officials. The certifying officials shall be designated as

"critical" or "controlled" PRP positions commensurate with the highest category of any nuclear duty position in the unit or activity concerned.

C1.2.2. Designation of Competent Medical Authority(CMA). The Heads of the DoD Components shall establish procedures to appoint an Agency or installation CMA to act as a PRP medical consultant to provide recommendations to the reviewing and certifying officials on individuals suitability to perform PRP duties.

C1.2.3. Agency and Installation PRP Monitor. DoD Agencies, installations, and subordinate units with large PRP populations should consider appointing a PRP monitor(s) as appropriate, to administer the day-to-day functions of the PRP. The Agency or installation PRP monitor would coordinate and disseminate PRP information to the reviewing and certifying officials, unit commanders, PRP monitors, and supporting staff agencies; indoctrinate and train unit PRP personnel and administrators on program objectives and procedures; maintain the installation PRP roster; and conduct staff assistance visits to all subordinate units with a PRP.

C1.2.4. Training. Reviewing officials, certifying officials, PRP monitors, CMAs and other medical personnel (i.e., IDC, IDMT who review PRP medical issues) shall receive initial training, refresher PRP training, and be thoroughly briefed on their PRP management and oversight responsibilities. Heads of the DoD Components shall establish periodicity of refresher training.

### C1.3. PRP REVIEW AND EVALUATION

The Heads of the DoD Components shall ensure that the PRP is reviewed and evaluated during appropriate inspections and staff visits at all levels of command. The results of those inspections shall be reviewed periodically at the highest level in the DoD Component to ensure effective and consistent application of the PRP. See Appendix 2 for reporting requirements.

## C2. CHAPTER 2

### RELIABILITY STANDARDS

#### C2.1. GENERAL

The certifying official shall make a judgment on the reliability of an individual based on an investigation and evaluation of the individual's personnel security eligibility, physical and mental capability, personnel and medical records, and a personal interview. The certifying official shall consider all relevant facts applicable to the individual's performance record, the recommendations expressed in the PSIs and medical evaluations, and the opinions of other agencies and personnel, as appropriate, to make the final judgment about an individual's reliability and whether he or she can be depended on to respond in a stable manner when performing PRP duties. The following PRP qualifying and disqualifying/decertifying standards shall be used by the certifying official in making that judgment:

#### C2.2. QUALIFYING STANDARDS

C2.2.1. Criteria. The following represent the reliability standards expected of all PRP members:

C2.2.1.1. Physical competence, mental alertness, and technical proficiency commensurate with duty requirements.

C2.2.1.2. Evidence of dependability in accepting responsibilities and effectively performing in an approved manner; flexibility in adjusting to changes in the working environment.

C2.2.1.3. Evidence of good social adjustment, emotional stability, and ability to exercise sound judgment in meeting adverse or emergency situations.

C2.2.1.4. Positive attitude toward nuclear weapon duty, to include the purpose of the PRP.

C2.2.2. The Personnel Security Investigation (PSI). A favorable investigation conducted in accordance with DoD 5200.2-R (reference (c)) reflecting an affirmative finding that an individual's personnel security eligibility is consistent with the interest of national security.

C2.2.3. Medical Evaluation. The certifying official must be totally confident that the individual being certified is both capable and reliable. To accomplish that, the certifying official must be provided an evaluation of the individual's physical capability and mental reliability to perform PRP duties by a CMA. All potentially disqualifying medical information must be documented in the individual's health records. The CMA's principal responsibility is to provide the certifying official with sufficient medical information to make a sound judgment on an individual's suitability to perform PRP duties. Health records shall reflect assignment of an individual to a PRP position to ensure proper treatment review and reporting to certifying officials of potential disqualifying information.

C2.2.4. Personal Interview. A personal interview shall be conducted by the certifying official with each candidate for PRP duties. The personal interview shall not be conducted as a part of a routine orientation briefing for new personnel. PDI will be sought and, if appropriate, discussed during this interview.

C2.2.5. Position Qualification. Demonstrated and certified technical proficiency commensurate with nuclear weapon and/or NC2 duty position requirements, in accordance with DoD Directive 5210.41 (reference (d)).

### C2.3. DISQUALIFYING OR DECERTIFYING STANDARDS

Any of the following traits or conduct shall be grounds for the disqualification or decertification of individuals from the PRP. In evaluating such traits or conduct, certifying and reviewing officials shall ensure that there is no reasonable doubt of an individual's reliability and that it is in the best interest of the national security that the individual be assigned to duties involving nuclear weapons.

C2.3.1 Alcohol Abuse. Any conduct which falls within the definition of alcohol abuse (See DL1.1.4.) may be grounds for disqualification or decertification. The following, not all-inclusive, applies to the PRP:

C2.3.1.1. Individuals diagnosed as "alcohol dependent," in accordance with DoD Directive 1010.4 (reference (e)), shall be disqualified or decertified from the PRP.

C2.3.1.1.1. Individuals permanently disqualified or decertified for alcohol dependency may be reconsidered for PRP duties under the following conditions:

C2.3.1.1.1.1. The individual has successfully completed an initial intensive rehabilitation, in accordance with DoD Instruction 1010.6 (reference (f)); and

C2.3.1.1.1.2. The individual has completed a 1-year period of strict compliance with aftercare program requirements in accordance with DoD Instruction 1010.6 (reference (f)), and abstention from alcohol; and

C2.3.1.1.1.3. In all cases a PRP qualification screening including a favorable prognosis by the CMA and a psychological evaluation shall be completed before requesting reinstatement; and

C2.3.1.1.1.4. The responsible certifying official must determine that the value of the member's continued presence in the PRP outweighs the risk from potential future alcohol-related incidents and must document the fact that he or she has full trust and confidence in the member's reliability.

C2.3.1.1.2 Individuals temporarily disqualified or decertified for alcohol dependency may have their temporary decertification removed and be returned to PRP duties after successfully completing rehabilitation and a minimum of 180 days of a formal aftercare program in accordance with reference (f). A PRP qualification screening, to include a favorable prognosis by the CMA, shall be completed before rescreening or recertification.

C2.3.1.1.3. Failure to satisfactorily complete a formal aftercare program or another alcohol-related incident shall result in permanent decertification or disqualification.

C2.3.1.2. Individuals diagnosed as "alcohol abusers," but who are not alcohol dependent, as defined by DoD Directive 1010.4 (reference (e)), shall, at a minimum, be temporarily decertified. Those individuals may have their temporary decertification removed and be returned to PRP duties after successfully completing a rehabilitation program, or treatment regimen, prescribed by the CMA, when they have displayed positive changes in job reliability and lifestyle, and a favorable medical prognosis by the CMA. Failure to satisfactorily meet these requirements shall result in permanent decertification.

C2.3.1.3. Individuals involved in an alcohol-related incident shall be, at a minimum, suspended from PRP duties. The certifying official shall conduct an investigation of the circumstances and request a medical evaluation. If the individual is not returned to PRP duties within 30 days, temporary or permanent decertification

actions shall be taken, as appropriate. Individuals prescribed an alcohol awareness/training class may be returned to PRP duties (prior to completion of the class) when the certifying official determines the individual to be reliable based on the results of their investigation and the medical evaluation.

C2.3.1.4. It is not the intent of this Regulation to render automatically ineligible for PRP all individuals who have consumed alcohol underage. Experimental or infrequent underage alcohol use does not necessarily render an individual ineligible for consideration for, or retention in, a PRP position. Pre-service underage alcohol use or incidents, or alcohol-related incidents while in a non-PRP position, do not necessarily render an individual ineligible for consideration for, or retention in, a PRP position. It is incumbent on the certifying official to determine the degree to which the pre-service/pre-PRP incident(s) impacts the reliability of the individual being considered. Acts of pre-service underage drinking that led to identification of additional alcohol-related problems or other violations of the law require CMA consultation.

C2.3.2. Drug Abuse. Any conduct which falls within the definition of drug abuse (See DL1.1.20.) may be grounds for disqualification or decertification. The following, not all-inclusive, applies to the PRP:

C2.3.2.1. Except as indicated in this Regulation, any drug abuse, admitted or otherwise discovered, shall render an individual ineligible for admission to or retention in the PRP. Any individual found to have abused drugs will not be certified into the program or will be permanently decertified, and those actions will be made a matter of permanent record such that the person cannot be transferred to another location/unit and become PRP certified.

C2.3.2.2. Pre-service marijuana, hashish, or other cannabis-based product use on an experimental or infrequent basis does not necessarily render an individual ineligible for consideration for, or retention in, a PRP position. It is incumbent on the certifying official, with CMA consultation, to determine the degree that the pre-service use impacts the reliability of the individual being considered.

C2.3.2.3. It is not the intention of this Regulation to render automatically ineligible for the PRP all individuals who are or have been in the program after disclosing pre-service or in-service cannabis use and who, before May 25, 1993, were certified in accordance with the PRP certification rules of their Service that were in effect at the time of their first certification in which this use was considered during the PRP certification process. Further, if individuals were certified at a time when the

Services did not require disclosure of cannabis use, and they subsequently made such disclosure, this disclosure will not be the sole reason for decertification.

C2.3.2.4. If the pre-service cannabis use is discovered after an individual is already certified, and there is no other information that would cause doubt about the individual's reliability, the certifying official, with CMA consultation, may retain the individual in the PRP. If the certifying official has any reason to doubt or suspect the individual's reliability for PRP duties the following actions will be taken:

C2.3.2.4.1. The individual concerned shall be immediately temporarily decertified.

C2.3.2.4.2. A complete evaluation shall be conducted of the individual's drug abuse involvement and current and past duty performance.

C2.3.2.4.3. A PRP qualification re-screening including a complete medical evaluation shall be started.

C2.3.2.4.4. Removal of the temporary decertification and recertification into the PRP shall require thorough justification and documentation for recommendation for retention in PRP duties, a determination that recertification is in the best interest of the service and national security, and statements by the reviewing and certifying official that the individual's reliability is not in doubt.

C2.3.2.4.5. Individuals determined to be ineligible for recertification to PRP duties shall be permanently decertified, and that action shall be made a matter of permanent record, where applicable, such that the person cannot move to another location/unit and seek PRP certification.

C2.3.2.5. Any individual found to have been involved in the unauthorized trafficking, cultivating, processing, manufacturing, or sale of any controlled or illegal drug, to include cannabis-based products, shall be ineligible for PRP duties.

C2.3.2.6. Any individual who abuses drugs while in the PRP shall be immediately and permanently decertified.

C2.3.2.7. Any individual who has ever used a drug that could cause flashbacks (i.e. hallucinogens such as LSD, Mescaline, etc.) is ineligible for PRP duties. In addition, any individual who has ever used peyote for sacramental purposes (or otherwise), is ineligible for PRP duties, including but not limited to those

individuals otherwise protected under Public Law 103-344 (42 United States Code 1996a).

C2.3.2.8. It is not the intent of this Regulation to automatically disqualify or decertify any individual from PRP who, in an effort to self medicate, inadvertently or deliberately exceeds the recommended safe dosage on the medication's packaging of over the counter substances or who improperly uses prescribed medications. If the certifying official suspects or the individual who admits to such improper usage, the individual must be suspended from PRP duties and CMA consulted. If after CMA evaluation, the certifying official concludes drug abuse has occurred, the certifying official must permanently decertify the individual.

C2.3.2.9. Any individual, who uses while in the PRP a Food and Drug Administration (FDA) Schedule II, III, or IV anabolic steroid not prescribed by a physician shall be immediately and permanently decertified.

C2.3.2.10. The inappropriate use by any individual of other substances to alter perceptions or mental faculties, such as sniffing glue or aerosol fumes shall be immediately and permanently decertified.

C2.3.3. Negligence or Delinquency in Performance of Duty. If the certifying official's review of the PRP candidate's job or duty history reveals a lack of dependability, flexibility, good attitude or good judgment, the member should not be certified, or should be decertified. In determining reliability, the certifying official must evaluate all aspects of an individual's actions.

C2.3.4. Conviction of, or Involvement in, a Serious Incident. Conviction by a military or civil court of a serious offense, including both felonies and misdemeanors, or involvement in a serious incident, or a pattern of behavior or conduct that is reasonably indicative of a contemptuous attitude toward the law or other duly constituted authority. Serious incidents include, but are not limited to, any criminal or petty offense, assault, sexual misconduct, financial irresponsibility, an inordinate number of traffic offenses, and child or spouse abuse.

C2.3.5. Medical Condition. Any significant physical or mental condition substantiated by the CMA to be prejudicial to reliable performance of the duties of a particular critical or controlled position.

C2.3.6. Serious Progressive Illnesses. Diagnosis, substantiated by the CMA, with a serious progressive illness, for example, amyotrophic lateral sclerosis (ALS),

multiple sclerosis (MS), active Acquired-Immune Deficiency Syndrome (AIDS) or testing positive for the Human Immunodeficiency Virus (HIV). The certifying official shall take the necessary actions to ensure that the individual is properly screened both medically and psychologically. Individuals with AIDS or who are HIV positive shall not be treated differently than other individuals with a serious progressive illness solely on the basis of being diagnosed with AIDS or testing HIV positive. 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. The primary consideration in all determinations must be in the best interest of national security.

C2.3.7. Poor Attitude or Lack of Motivation. Any display of poor attitude or lack of motivation as evidenced by aberrant attitude or irrational behavior (e.g., arrogance, inflexibility, or suspiciousness), inappropriate behavior (e.g., impulsiveness, destructiveness), or mood (e.g., unusual happiness, sadness, or agitation) may be grounds for decertification.

C2.3.8. Suicide Attempt and/or Threats. Any suicide attempt and/or threat may be grounds for disqualification or decertification. In determining reliability, the certifying official must evaluate all aspects of the individual's action. Any suspected attempt and/or threat of suicide should result in the individual's suspension from PRP duties pending the results of a mental health assessment/evaluation.

C2.3.9. Loss of Confidence. If for any reason the certifying official loses trust or confidence in a member's ability to perform PRP duties, the certifying official may decertify the member.

C.2.3.10. Termination of Bonus Entitlement. A member shall be considered technically unqualified in the bonus specialty when the member is no longer classified in that specialty; the specialty designator is removed from the member's record; and current and future assignments in the military specialty is precluded. Recoupment action should be initiated IAW DoD Instruction 1304.22, D.5.

### C3. CHAPTER 3

#### PRP SCREENING PROCEDURES

Determination of initial acceptability for assignment to PRP positions shall be made by the certifying official on the basis of the following:

#### C3.1. INITIAL SCREENING

##### C3.1.1. Security Investigation and Security Clearance

C3.1.1.1. Critical Position. A SSBI or SSBI-PR favorably adjudicated within the last five years and conducted in accordance with Appendix 2, DoD 5200.2-R (reference (c)) and a current security clearance at a level commensurate with the security classification of information required for the position. If appropriate, a review of the results of the investigation shall be conducted by the certifying official. No such review is required if the agency that conducted the investigation and the Central Adjudication Facility (CAF) have discovered neither derogatory nor potentially disqualifying information. Additionally, personnel selected for designated NC2 PRP positions, in accordance with DoD Directive S-5210.81 (reference (g)) shall be subject to a periodic counterintelligence-scope polygraph (CSP) examination administered in accordance with DoD 5210.48-R (reference (h)). CSP examinations should be conducted by the respective Service and/or Agency investigative organization. If it becomes necessary to consider an individual for a critical position and the required investigation has not been completed, interim certification may be made under the following carefully controlled conditions:

C3.1.1.1.1. For interim certification the individual must have had a NAC, ENTNAC or NACI favorably adjudicated prior to January 1999, but no older than 5 years and/or ANACI, NACLIC or SPR favorably adjudicated within the last 5 years without a break in active Federal service or employment longer than 2 years; or have had a favorable SSBI, SBI, PR or Background Investigation (BI) conducted, more than 5 years old, and without a break in active Federal service or employment longer than 2 years. Service as a cadet at any of the four Service academies may be considered "active service."

C3.1.1.1.2. The SSBI shall have been requested before interim certification and all other requirements of the PRP screening process shall have been fulfilled.

C3.1.1.1.3. Individuals with interim certification shall be identified to supervisory personnel, entry controllers who directly control access to exclusion areas, and others as necessary, as having only interim certification and entry authorization lists and individual access media shall be specifically marked to designate interim certification status.

C3.1.1.1.4. An individual with interim certification shall not be paired in a two-person team with another individual also having only an interim PRP certification.

C3.1.1.1.5. Should the SSBI not be completed within 180 days of the date requested, the certifying official, through the command security manager to the appropriate DoD Component CAF, shall ascertain from the Defense Security Service (DSS) the reason for delay in completion. The certifying official shall then determine whether to continue or withdraw the interim certification.

C3.1.1.2. Controlled Position. A NACLIC or NACI/ANACI or SPR favorably adjudicated within the last 5 years, conducted in accordance with DoD 5200.2-R (reference (c)) and a current security clearance at a level commensurate with the security classification of information required in the position or a NAC, ENTNAC, or NACI favorably adjudicated prior to January 1999, but no older than 5 years. If appropriate, a review of the results of the investigation shall be conducted by the certifying official. No such review is required if the agency that conducted the investigation and the CAF have discovered neither derogatory nor potentially disqualifying information. If it becomes necessary to consider an individual for a controlled position and the required investigation has not been completed, interim certification may be made under the following conditions:

C3.1.1.2.1 Interim certification is authorized for an individual under the following conditions: the individual has a favorably adjudicated NAC, ENTNAC, NACI after January 1999 or has been the subject of a favorably adjudicated SPR, BI, SBI, SSBI, SSBI-PR older than 5 years provided there is no break in active Federal service or employment more than 2 years. Service as a cadet at any of the four Service academies may be considered active service.

C3.1.1.2.2. A new NACLIC and/or ANACI shall have been requested and all other requirements of the PRP screening processing shall have been fulfilled.

C3.1.1.2.3. Individuals with interim certification shall be identified to supervisory personnel, entry controllers who directly control access to exclusion areas, or areas requiring a two-person team, and others as necessary, as having only interim certification. Entry authorization lists and individual access media shall be specifically marked to designate interim certification status.

C3.1.1.2.4. An individual shall not be paired in a two-person team with another individual also having an interim PRP certification.

C3.1.1.2.5. Should the NACLIC and/or the ANACI (to include a credit check) not be completed within 90 days of the date requested, the certifying official, through the command security manager to the appropriate CAF, shall ascertain from the DSS/OPM the reason for delay in completion. The certifying official shall then determine whether to continue or withdraw the interim certification.

C3.1.2. Fulfilling Investigative Requirements. The investigative requirements in paragraph C3.1.1., above, are fulfilled when the required security investigation was completed within 5 years of the date of initial assignment to a PRP position and no break in active Federal service or employment longer than 2 years occurred between completion of the investigation and initial assignment. In cases where the investigation ended more than 5 years before initial assignment or where a break in active Federal service or employment exceeded 2 years after completion of the investigation, a new investigation is required.

C3.1.2.1. The Services may establish procedures to facilitate the timely screening of individuals required to support their wartime missions. Cost effectiveness should be considered in the implementation of Service programs.

### C3.1.3. Medical Evaluation

C3.1.3.1. As part of the required screening process, medical histories and records, if they are sufficiently comprehensive and current for the purpose, shall be evaluated to determine the candidate's physical and mental qualifications under the standards for the PRP. Personnel considered for or holding PRP positions shall make all medical records available to the certifying official for initial and subsequent screening requirements and for inspection.

C3.1.3.1.1. Screening of medical records must be performed by a CMA or other medical personnel specifically trained and formally designated to perform that

function. When the review is accomplished by other than the CMA and raises a question or identifies potentially disqualifying information about an individual's physical capability or mental suitability for assignment to a PRP position, the records shall be referred to the CMA for further evaluation or medical examination. The results of that review by the CMA and all PDI shall be provided to the certifying official who shall make the determination on the individual's eligibility to perform PRP duties.

C3.1.3.1.2. If available medical records are inadequate, the CMA shall conduct a medical examination to determine medical qualification under PRP standards. That medical evaluation shall include a mental health consultation when indicated. All PDI of a medical nature shall be documented in the individual's medical records.

C3.1.3.2. The CMA shall advise the certifying official and, when appropriate, the reviewing official, on all aspects of any condition that may reflect on an individual's suitability for assignment to a PRP position. The CMA shall notify the certifying official immediately of any condition classified in paragraph C2.3.6. The certifying official shall also be advised of any medical condition, prescribed medication, or treatment that could detract from the ability of an individual in the PRP to perform assigned duties.

C3.1.3.2.1. PRP certifying and reviewing officials are authorized to review medical records of candidates and members of the PRP to make determinations required by this Regulation. In accordance with DoD Directive 5400.11 (reference (j)), DoD medical records may be disclosed to reviewing and certifying officials for this purpose without either a request from, or the consent of, the individuals to whom those records pertain. All PDI of a medical nature shall be documented in the individual's medical records.

C3.1.3.2.2. Because of the sensitive and confidential nature of the records, review authority shall extend only to the reviewing and certifying officials and designated inspectors. When appropriate, such review shall be conducted with the assistance of a physician who can advise on medical record data that might otherwise be misinterpreted.

C3.1.3.3. The Heads of the DoD Components shall ensure that all medical personnel have been instructed in the purpose of the PRP and have been advised of their reporting responsibilities.

C3.1.4. Personnel File Review. The individual's personnel file, other official records, and information locally available on behavior or conduct about the individual's reliability shall be reviewed in detail. Look for evidence of the individual's acceptance of responsibility, exercise of sound judgment, effective performance, and ability to adjust to changes in the working environment.

C3.1.5. Personal Interview. A personal interview by the certifying official shall inform the individual of the significance of the assignment, PRP standards, the need for reliable performance, the individual's responsibility for self-reporting and peer review of factors and situations that could adversely affect job performance or reliability. The certifying official will also provide the individual the opportunity to disclose any PDI.

C3.1.6. Proficiency Qualification. It shall be certified, in accordance with DoD Directive 5210.41 (reference (d)) that the individual has had the formal course of instruction and/or possesses the minimum level of experience required for assignment to a particular critical or controlled PRP position and is proficient in the duties, to include on-the-job training under supervision, to be performed.

## C3.2. SUBSEQUENT SCREENING

C3.2.1. General. When a PRP-certified individual is transferred to another PRP position, he or she must be interviewed by the new certifying official. A rescreening of medical and personnel records shall be conducted. The rescreening of records shall ensure that the new certifying official has current and complete information about the individual's job performance and reliability before the interview.

C3.2.2. Personnel Security Investigation. A new PSI shall be required under the following conditions:

C3.2.2.1. Personnel assigned to serve in PRP duties will have a PSI PR every 5 years, regardless of when they were last certified into the PRP; or

C3.2.2.2. A break in active Federal service or Government employment exceeding 2 years, and for contractor employees a break in status exceeding 2 years; or

C3.2.2.3. If the certifying official requests a new PSI based on significant derogatory information or allegations.

C3.2.3. PDI. PDI previously addressed by a previous CMA need not be re-addressed or documented if the certifying official and CMA concur with the previous CMA's evaluation of the PDI.

### C3.3. CERTIFICATION

The certifying official shall confirm an individual's eligibility, subject to the reliability standards in Chapter 2 before that individual begins performing PRP duties. Certification and the individual's acknowledgment of understanding of his/her responsibilities while PRP certified shall be formally documented and maintained while the individual is performing PRP duties.

### C3.4. POTENTIALLY DISQUALIFYING INFORMATION (PDI)

Central Adjudication Facilities (for military and DoD civilians) or the Defense Industrial Security Clearance Office (DISCO) (for contractor personnel), will forward all PDI, as defined by this Regulation, on PRP individuals to the appropriate certifying official/security manager. The certifying official will review this information and determine if the individual's reliability is affected and take appropriate actions.

## C4. CHAPTER 4

### CONTINUING EVALUATION

#### C4.1. GENERAL

Certifying officials must possess the capability to observe the behavior and performance of members certified under the PRP on a frequent and consistent basis and are responsible for ensuring that all military, civilian, and contractor personnel assigned to PRP positions meet all of the requirements of the continuing evaluation process. The primary consideration for certifying officials should be that the sum of the observation, both personal and through peer observation and reporting, is sufficiently detailed to allow for close evaluation of the individual. Observation of performance and behavior need not be limited to duty in a single capacity. While observation within the PRP environment should be primary, additional observation during duty as a Government civilian employee, a private contractor to the Government, a Military Service member or a combination of these can also serve to add to the certifying official's evaluation.

#### C4.2. MINIMUM STANDARDS

Members whose permanent duty assignments do not permit routine observation/peer reporting on a day-to-day basis must be monitored with particular diligence. For those personnel whose normal duties or assignments do not provide for routine observation of at least 12-working days per month with no more than 14 days between observations (excluding periods of administrative absence (leave/pass/temporary duty, TDY, or TAD)) certifying officials must demonstrate an ability to maintain an equivalent level of confidence in the reliability of those members as would be available through routine, day-to-day contact and peer reporting. Individuals certified under PRP must be aware and agree that certain information/materials concerning their activities (medical, mental health, police, and employment records, credit reports, etc.) both on- and off-duty, are to be provided for review voluntarily to certifying officials, CMAs, and inspectors and that failure to provide the requested materials may result in suspension or decertification.

C4.2.1. Certification for personnel who do not meet the 12 days/month minimum, no more than 14 days between observations, but who the certifying official believes should be certified, requires evaluation and approval by the Commander of Combatant

Command or the respective Chief of the Military Service. The approval authority may be delegated in writing to a single official of at least O-7/SES grade on the staff. All exceptions will be submitted for review on a quarterly basis to OSD(C3I). The certifying official will submit a specific plan outlining the application of the tools outlined in paragraph C4.2.2., below, tailored to the circumstances of the individual being considered, that provides for the equivalent level of confidence mentioned above. This provision does not apply to the certification of certifying officials, who must meet the minimum standards for continuing evaluation in paragraph C4.2., above.

C4.2.2. For periods in which a PRP-certified individual was not subject to the minimum continuing evaluation, the certifying official must ensure the individual's reliability during these times meets the requirements of this Regulation. The certifying official will employ additional means and methods sufficient to assist in that determination, e.g., an additional personal interview, periodic medical records review, additional drug screening, contact with civilian employer of reserve personnel or previous supervisor, service/personnel records review, periodic criminal records/history checks, credit checks, etc. When selected randomly for drug screening, personnel will be required to submit to testing upon return to duty.

#### C4.3. PSI

All civilian, contractor, active duty military, and selected reserve personnel assigned to PRP positions shall be subject to a PR every 5 years, in accordance with DoD 5200.2-R (reference (c)). Additionally, personnel selected for designated NC2 PRP positions, in accordance with DoD Directive S-5210.81 (reference (g)), shall be subject to a periodic CSP examinations administered in accordance with DoD 5210.48-R (reference (h)).

#### C4.4. MEDICAL EVALUATION

Each time a PRP-certified individual receives treatment from a healthcare provider, which could impact performance or reliability, the CMA must determine PRP reliability effects and, if warranted, make recommendations to the certifying official. Independent Duty Hospital Corpsmen (IDC) on submarines that are underway will ensure the certifying official is appraised of any medical treatment that might affect PRP performance. Upon return of the submarine to port, the CMA will review all treatment for compliance. Additionally, the Services are authorized to establish protocols that may be applied by Independent Duty Medical Technician (IDMTs) at Munitions Support Squadrons and by IDCs on submarines that do not require CMA

review. When an individual's duty performance may be impaired by medical care or the use of prescribed medication, as determined by the CMA, the certifying official shall be notified to decide if the individual shall be suspended from duty involving nuclear weapons for the period of medical care or use of medication. It is not the intent of the PRP to automatically decertify an individual who has an illness, injury, or disease that requires hospitalization, placement on quarters, or extended leave of absence unless the condition is diagnosed to be of a long-term or permanent nature or affects performance of PRP duties.

C4.4.1. As a part of the required screening process, medical histories and records, if they are sufficiently comprehensive and current for the purpose, shall be evaluated to determine the candidate's physical and mental condition and qualifications under the standards of the PRP. Screening of medical records shall be performed by CMA or other personnel specifically trained and designated to perform that function. If the review is accomplished by other than CMA, and such review raises a question of the individual's physical or mental suitability for assignment to a PRP position, the case shall be referred to CMA for evaluation or additional medical examination. If available medical records are inadequate, CMA shall conduct a medical examination to determine medical qualification under PRP standards. That medical evaluation shall include psychological aspects of the case, involving mental health consultation when indicated.

C4.4.2. The certifying official shall be notified immediately by the CMA when a significant effect on the individual's physical or mental abilities is expected or if an individual's behavior indicates emotional instability, drug or alcohol abuse, or the need for treatment with narcotics, sedatives, tranquilizers or other drugs that could impair perception or performance. If an individual's reliability is not in question, the certifying official shall assess the individual's condition, obtain a medical evaluation of the potential effects of any medication or treatment that may have been prescribed or purchased over-the-counter, discuss with the individual the previous effects of such medication or treatment, if appropriate, and then decide if either suspension, decertification, or return to PRP duties is appropriate. If there is a doubt or disagreement among healthcare providers about an individual's reliability, the Certifying Official shall be notified and provided sufficient information to make the final PRP determination.

C4.4.3. When a PRP-certified individual has received PMA, non-military medical or dental treatment (including TRICARE and Civilian Health and Medical Program of the Uniformed Services referrals), the individual will report treatment to the certifying official. The certifying official shall refer performance and reliability issues to the

CMA. The CMA shall review and determine the effect of the care on the individual. The results of that CMA evaluation shall be recorded in the individual's medical records and the certifying official shall be notified to decide if a suspension or decertification action is warranted.

C4.4.4. When PMA physicians or facilities provide medical support, the responsible CMA shall ensure that medical information about personnel in the PRP is reported to the certifying official. Individuals in the PRP who obtain medical treatment by PMA physicians or facilities shall be instructed to notify the certifying official.

C4.4.5. Hypnosis shall not be administered to individuals certified under the PRP without the knowledge and consent of the individual's certifying official. When screening an individual for PRP duties who has been administered hypnosis, the certifying official shall determine, in coordination with the CMA, if any potential for degraded job performance or diminished reliability exists.

C4.4.6. Because of the danger to public health and safety or to U.S. national security that might result from the failure of an individual performing PRP duties to perform reliably, mandatory substance abuse testing of all military, civilian, and contractor personnel assigned to PRP duties shall be conducted in accordance with DoD Directives 1010.1 and 1010.9 (references (k) and (l)). The Heads of the DoD Components shall ensure that a substance abuse testing program is established for all personnel assigned to PRP positions. The extent to which PRP personnel shall be tested and the criteria for testing shall be determined by the Heads of the DoD Components.

#### C4.5. INDIVIDUAL AND SUPERVISOR RESPONSIBILITIES

Individuals assigned to PRP duties are responsible for monitoring their own reliability and the reliability of others performing PRP duties. This is a 24 hours per day, 7 days per week responsibility. The failure to discharge those responsibilities may cast doubt on an individual's reliability. Individuals shall be aware of how problems, concerns, and circumstances may reduce individual effectiveness and impair capability or reliability. Individuals shall advise their supervisors or certifying official of any factors that could have an adverse impact on their performance, reliability, or safety while performing PRP duties. Individuals shall inform support agencies of their active PRP status before treatment or consultation and shall inform their supervisor or certifying official when another individual in the PRP appears to be involved in

situations that may affect reliability. Supervisors are responsible for monitoring the reliability of their subordinates and shall notify the certifying official of any PDI. An individual whose assignment is subject to the standards in section C.4.2., above, shall be identified to all supervisors so information that raises questions about that individual's judgment or reliability can be reported and acted on without delay.

#### C4.6. CRIMINAL INVESTIGATION OF PRP CERTIFIED INDIVIDUALS

The Heads of the DoD Components shall ensure that DoD criminal investigative agencies immediately notify the certifying official of an individual in the PRP who is under investigation and the circumstances of the investigation. The certifying official is not required to immediately suspend or decertify an individual solely because an investigation has been started. Any actions taken shall depend on the nature of the allegations and the sensitivity of the individual's PRP duties. After careful review of all the information, the certifying official may suspend, decertify, or allow the individual under investigation to continue in PRP duties. In making that determination, nuclear surety shall be the primary consideration and shall not be compromised to aid an investigation. Regardless of the status of the investigation, when nuclear surety is determined to be in jeopardy, the certifying official shall immediately remove the individual from the PRP.

#### C4.7. CONTRACTOR PRP CONTINUING EVALUATION

Contractor employees who have been determined eligible, by the contract monitor, and have been assigned to PRP positions shall be identified to the Defense Industrial Security Clearance Office (DISCO), P.O. Box 2499, Columbus, Ohio 43216-5006. On receipt of any information that may affect the reliability and trustworthiness of a contractor employee under the PRP, the DISCO shall forward that information to the appropriate certifying official.

C5. CHAPTER 5  
DECERTIFICATION

C5.1. GENERAL

Any individual who fails to meet the reliability standards specified in this Regulation shall not be assigned to, or continued in, duties of a PRP position. A certification of PRP acceptability shall be revoked immediately on a certifying official's determination that an individual no longer meets the standards in this Regulation. The certification shall terminate administratively when an individual transfers from a PRP position to one not requiring certification.

C5.2. SUSPENSION

Suspension is used to remove immediately a member from PRP duties without starting a decertification action. Although a recommendation to suspend an individual from PRP duties may come from many sources, the certifying official must evaluate the situation and determine whether suspension is appropriate. When suspended, a member is still considered to be reliable for the PRP, but because of the circumstances, is not authorized to perform PRP duties.

C5.2.1. Suspension shall be used only when the individual's reliability is not in question, when the problem is expected to be of short duration, and while conducting an investigation or medical evaluation to determine if a situation or incident could have an adverse effect on an individual's reliability.

C5.2.2. A suspension requires that the certifying official remove the individual from duties requiring PRP certification, notify the individual and his or her supervisor of the nature and circumstances about the suspension, and resolve the issue within 30 days. If the issue cannot be resolved, or if the cause of the suspension lasts longer than 30 days, the individual shall be temporarily decertified until the issue is resolved and the individual is either returned to PRP duties or permanently decertified.

C5.3. TEMPORARY DECERTIFICATION

Temporary decertification from PRP duties shall occur immediately on receipt of information that is, or appears to be, a reason for decertification from the PRP. That

action shall be taken when the certifying official has information that could be expected to affect an individual's job performance or reliability and suspension is not appropriate. Temporary decertification shall not be used if the facts dictate permanent decertification. When temporarily decertified, the individual may not perform PRP duties. Within 15 workdays of the temporary decertification, the certifying official shall provide the individual in writing the reason(s) for temporary decertification unless the individual is returned earlier to PRP duties. Individuals temporarily decertified will remain under continuous evaluation for PRP purposes until permanently decertified or returned to the program.

C5.3.1. The certifying official shall investigate all information essential to a decision about revoking the temporary decertification or invoking a permanent decertification. During suspected alcohol or drug abuse, the investigation shall include a medical evaluation by the CMA.

C5.3.2. Temporary decertification shall not normally exceed 180 days. However, the certifying official may extend the period of temporary decertification up to 270 days in 30-day increments, when there is not sufficient information to either remove the temporary decertification and return the individual to PRP duties or to permanently decertify the member. Extensions shall be documented.

#### C5.4. PERMANENT DECERTIFICATION

Individuals who the certifying official determines to no longer meet the reliability standards specified in this Regulation shall be permanently decertified. Within 15 workdays of the determination, the certifying official shall advise the individual, in writing, of the reasons for decertification and of the requirement for review by the reviewing official.

C5.4.1. To ensure uniform application of the reliability standards specified by this Regulation and effective use of personnel, consistent with the purpose of the PRP, a reviewing official shall review each case involving a permanent decertification decision. The reviewing official may seek additional information or explanations of extenuating circumstances from the certifying official, the CMA, personnel officials, and the individual concerned, if appropriate.

C5.4.2. Following the review of the permanent decertification action, the reviewing official shall notify the individual and the certifying official of the findings and conclusion within 15 days. In the case of a DoD contractor employee, the contractor shall be told only that the employee has been decertified and must be reassigned to non-PRP duties in compliance with contractual requirements.

C5.4.3. If the reviewing official approves the permanent decertification, the individual shall be removed from positions requiring PRP certification and the action shall be made a matter of permanent record.

C6. CHAPTER 6  
CONTRACTOR PRP REQUIREMENTS

C6.1. PROCEDURES

Certifying officials for contractors whose duties are subject to the PRP shall ensure that contracts require that contractor employees performing duties in PRP positions under this Regulation shall meet the reliability standards of the PRP. Specifically, the contractor shall:

C6.1.1. Instruct managerial, supervisory and medical personnel, and other support agencies and offices on the purpose, standards, and procedures of the PRP.

C6.1.2. Inform and instruct each employee of the significance of the assignment, PRP standards, the need for reliable performance, and the individual's responsibility for self-reporting and peer review of factors and situations that could adversely affect job performance or reliability. The contractor shall ensure that the individual presents a positive attitude toward the PRP and performing nuclear weapon duties and understands that maintaining PRP standards is a condition of continued employment.

C6.1.3. Ensure that employees to be assigned to a PRP position are subjected to a PSI, medical record evaluation, substance abuse testing, personal interview, proficiency certification, and continuing evaluation, according to the certifying official, under the reliability standards of the PRP. Contractor personnel assigned to designated NC2 PRP positions shall be subject to a periodic CSP testing.

C6.1.4. Provide the certifying official with results of a PSI, CSP (if required), medical record evaluation, and substance abuse testing of any contractor employee assigned, or proposed to be assigned, to a PRP position. Immediately report any other information about an employee maintaining the reliability standards of the PRP.

C6.1.5. Provide for the continuing evaluation of employees assigned to PRP positions by contractor supervisory personnel, except when such employees are assigned to a DoD Component under the direct oversight of DoD personnel where the certifying official shall be responsible for that function.

C6.1.6. Remove an employee from a PRP position on notification by the certifying official that the employee has been suspended or decertified and notify the certifying official immediately of the removal action, and follow-up in writing within

15 days. Suspension or temporary decertification from PRP duties requires that the employee shall be:

C6.1.6.1. Instructed to cease performance of PRP duties. Removal from PRP duties does not constitute a determination that the employee lacks necessary emotional or mental stability or physical capability to perform duties properly. It does indicate that there is a question about the employee's suitability that warrants the restriction from PRP duties until the question is resolved.

C6.1.6.2. Prevented from entering any facility that would allow the individual access to areas containing nuclear weapons, and the employee's entry credentials shall be confiscated or deleted from the system.

C6.1.6.3. Removed from a PRP position on notification by the certifying official that the employee has failed to meet PRP reliability standards and has been permanently decertified. That action shall be reported to DISCO (See section C6.2., below) and made a matter of permanent record by DISCO.

## C6.2. NOTIFICATION

Provide to the Defense Industrial Security Clearance Office (DISCO), P.O. Box 2499, Columbus, OH 43216-5006, a current list of all contractor employees assigned to PRP positions. The list shall include full name and social security account number, name, and address of the employing contractor facility, and the name, address, and telephone number of the certifying official.

## AP1. APPENDIX 1

### PRP POSITIONS

#### AP1.1. GENERAL

The reliability standards established in Chapter 2 shall be used to determine an individual's eligibility for a PRP position. All PRP positions shall be formally designated as either "critical" or "controlled" and shall be restricted to the minimum number required to accomplish the mission. Only certified personnel shall be assigned to designated PRP positions and when PRP positions become vacant, certified personnel shall be assigned as rapidly as possible. Examples of typical PRP positions are shown in Table AP1.T1., below.

#### AP1.2. REVIEW OF PRP POSITIONS

Certifying officials shall reevaluate designated PRP positions annually to determine the need for additional positions or the cancellation of unnecessary positions.

#### AP1.3. PRP POSITION ELIGIBILITY

Eligibility for assignment to PRP positions, subject to the reliability standards in Chapter 2, shall be confirmed in writing by a certifying official. Before an individual is assigned to PRP duties, it shall be certified that the individual has had the required PSI and clearance, been screened in accordance with the reliability standards, been personally interviewed by the certifying official, and been found eligible and qualified for assignment to a PRP position.

**Table AP1.T1. PRP Positions**  
(This matrix is provided to assist in identifying PRP positions.)

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
1. Commanders of delivery units	Navy submarine Air Force wing - group, and squadron; persons delegated to act for the above on nuclear weapon operations.	Critical
2. Pilots and crew delivery aircraft; missile crew	Pilots, navigators, and bombardiers; weapon system officers; electronic system officers; missile crew members.	Critical
3. Delivery Unit Personnel and supervisors		
a. With access and technical knowledge	Persons who by the nature of their assigned duties could cause the unauthorized launch, release or firing of a nuclear weapon	Critical
b. With access, no technical knowledge	Handling, transporting, and launch personnel.	Controlled
c. Without access	Support such as clerks, cooks.	None
4. Commanders, nuclear support units	Navy weapons division officer; Strategic Weapons Facilities Air Force munitions or missile maintenance squadron.	Critical
5. Nuclear support unit personnel and supervisors		
a. With access and technical knowledge	Persons who perform modifications, retrofits, limited life component changes, and similar tasks.	Critical
b. With access, no technical knowledge	Handling, transporting, and launch personnel.	Controlled
c. Without access	Support personnel such as clerks, cooks.	None
6. Personnel in command and control line	Persons who control or use authenticators and/or emergency action messages; permissive action link teams and; PAL and other coded control devices teams; staff officers, contractor and other personnel who control or use strategic or tactical NCCD.	Critical (May also be specially designated personnel- (see position example 16 below.)
7. Handling and transport personnel	Storage and supply personnel, supply clerks, vehicle operator, crane operators.	Controlled

Table AP1.T1. PRP Positions--Continued  
(This matrix is provided to assist in identifying PRP positions.)

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
8. Pilots and crew, transport aircraft		
a. With access	Self-explanatory.	Controlled
b. Without access	Self-explanatory.	None
9. Explosive ordnance disposal (EOD)		
a. With access and technical knowledge	EOD technicians.	Critical
b. Without access	EOD technicians not assigned to PRP billets; EOD support such as clerks and mechanics.	None
10. Command disablement management team		
a. With access and technical knowledge	Personnel tasked with coding and/or recoding and/or checking built-in CDS and external controlled CD	Critical
b. With access, no technical knowledge	Command Disablement Team	Controlled
11. Security guards		
a. Internal and inside of perimeter	Persons who control entry into an exclusion area or a limited area; includes permanently assigned guards in any such area.	Controlled
b. Alarm monitors	Persons who control primary and redundant intrusion detection systems annunciation equipment.	Controlled
c. External to perimeter	Persons permanently assigned to nuclear weapon security duties who are armed and could inflict damage on a nuclear weapon or, when joined, to the delivery system.	Controlled

Table AP1.T1. PRP Positions--Continued  
 (This matrix is provided to assist in identifying PRP positions.)

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
d. Escort	Persons controlling access to weapons during transport.	Controlled
e. For Nuclear Command & Control (NC2) aircraft	Persons controlling access to occupied or locked NC2 aircraft with PCM present.	Controlled (See Note 1, below)
f. Augmenters		
(1) Armed	Persons routinely assigned to duties directly for nuclear weapon security who are armed or could inflict damage on a nuclear weapon or, when joined, to the delivery system.	Controlled
	Persons assigned to the augmentation response force.	None
(2) Not armed	Persons routinely assigned to nuclear weapon security duty who are not armed or could not inflict damage on a nuclear weapon or, when joined, its delivery system.	None
12. Delivery system maintenance personnel and supervisors	Persons who could cause the unauthorized launch, release, or firing of a nuclear weapon.	
a. With access and technical knowledge		Critical
b. With access, no technical knowledge		Controlled
c. Without access		None
13. Nuclear weapon inspectors	Position equal to that being inspected.	
a. With access		Critical or controlled
b. Without access		None

Table AP1.T1. PRP Positions--Continued  
 (This matrix is provided to assist in identifying PRP positions.)

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
14. Custodial unit personnel		
a. Custodians		Critical
b. Custodial agents		Controlled
15. Communications security personnel	Persons who receive, and distribute sealed authenticators, PAL material, or related codes	Critical
16. Designated NC2 personnel	Personnel with access to NC2 coding and authentication processes and a communications medium necessary to transmit release, execution, or termination orders; personnel involved in the preparation and production of NC2 coding and authentication documents and equipment; personnel involved in preparation and production of nuclear weapons targeting tapes and materials; and other personnel who could have an adverse impact on system performance for nodes and equipment that represent near-single-point-failure elements for the NC2 system.	Critical
Note 1: Pending final disposition completed coordination of Nuclear Weapon System Safety Group, Operational Safety Review (OSR) of the Airborne Launch Control System (ALCS).		

AP2. APPENDIX 2

PRP ANNUAL STATUS REPORT

Each DoD Component maintaining a PRP shall provide an annual program status report to the ASD(C3I) by February 15 of the following year. The annual status report shall include, for the preceding calendar year ending December 31, PRP certification and permanent decertification statistics by Component and category of personnel (e.g., Air Force (military); Federal and/or DoD civilian; and active duty, Reserves, or defense contractor). A recommended format is provided below.

DoD NUCLEAR WEAPON PERSONNEL RELIABILITY PROGRAM  
ANNUAL STATUS REPORT

For  
Calendar Year Ending December 31, 2XXX

DoD Component: \_\_\_\_\_ Category of Personnel:  
\_\_\_\_\_

	U.S.		Europe		Pacific		TOTAL	
	Critical	Controlled	Critical	Controlled	Critical	Controlled	Critical	Controlled
<b>TOTAL number of certified personnel in the PRP</b>								
Active Duty								
Reserves								
DoD Civilian								
Contractors								
<b>TOTAL</b>								
<b>Certified under the waiver process</b>								
Active Duty								
Reserves								
<b>TOTAL</b>								
<b>TOTAL number of permanent PRP decertifications</b>								
Active Duty								
Reserves								
DoD Civilian								
Contractors								
<b>TOTAL</b>								

	U.S.		Europe		Pacific		TOTAL	
	Critical	Controlled	Critical	Controlled	Critical	Controlled	Critical	Controlled
<b>Alcohol Abuse</b>								
Active Duty								
Reserves								
DoD Civilian								
Contractors								
<b>TOTAL</b>								
<b>Drug Abuse</b>								
Active Duty								
Reserves								
DoD Civilian								
Contractors								
<b>TOTAL</b>								
<b>Negligence or delinquency in performance of duty</b>								
Active Duty								
Reserves								
DoD Civilian								
Contractors								
<b>TOTAL</b>								
<b>Conviction by military or civilian court of a serious offense; a pattern of behavior indicative of a contemptuous attitude toward the law or other duly constituted authority</b>								
Active Duty								
Reserves								
DoD Civilian								
Contractors								
<b>TOTAL</b>								
<b>Any significant physical or mental condition substantiated by a competent medical authority; aberrant behavior considered by the certifying official as prejudicial to reliable duty performance in a PRP critical or controlled position</b>								
Active Duty								
Reserves								
Contractors								
<b>TOTAL</b>								
<b>Poor attitude or lack of motivation</b>								
Active Duty								
Reserves								
Contractors								
<b>TOTAL</b>								

		U.S.		Europe		Pacific		TOTAL	
		Critical	Controlled	Critical	Controlled	Critical	Controlled	Critical	Controlled
<b>Drug abuse decertifications by type</b>									
	<b>Narcotics</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Depressants</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Stimulants</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Hallucinogens</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Cannabis</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Anabolic Steroids</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								

		U.S.		Europe		Pacific		TOTAL	
		Critical	Controlled	Critical	Controlled	Critical	Controlled	Critical	Controlled
<b>Serious offense decertifications by type</b>									
	<b>Military conviction</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Civilian conviction</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Behavior pattern</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Other</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								

		U.S.		Europe		Pacific		TOTAL	
		Critical	Controlled	Critical	Controlled	Critical	Controlled	Critical	Controlled
<b>Physical and/or mental decertifications</b>									
	<b>Physical condition</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Mental condition</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Aberrant behavior</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Other</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								

		U.S.		Europe		Pacific		TOTAL	
		Critical	Controlled	Critical	Controlled	Critical	Controlled	Critical	Controlled
<b>Poor attitude, lack of motivation, decertification by type</b>									
	<b>Attitude</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Behavior or activity</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Mood or feeling</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								
	<b>Other</b>								
	Active Duty								
	Reserves								
	Contractors								
	<b>TOTAL</b>								