

DOE 5631.6A
9-15-92

THIS PAGE MUST BE KEPT WITH DOE 5631.6A, PERSONNEL SECURITY ASSURANCE PROGRAM.

DOE 5631.15A, PERSONNEL SECURITY ASSURANCE PROGRAM, HAS REVISED DOE 5631.6 TO REFLECT ORGANIZATIONAL TITLE, ROUTING SYMBOL, AND OTHER EDITORIAL REVISIONS REQUIRED BY SEN-6. DUE TO THE NUMBER OF PAGES AFFECTED BY THESE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION. ANY QUESTIONS OR CONCERNS RELATING TO THE ISSUANCE OF THE REVISED ORDER SHOULD BE DIRECTED TO THE OFFICE OF SECURITY AFFAIRS.

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 5631.6A

9-15-92

SUBJECT: PERSONNEL SECURITY ASSURANCE PROGRAM

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1. PURPOSE. To establish policies, objectives, procedures, responsibilities, and authorities for a Department of Energy (DOE) Personnel Security Assurance Program. This Order describes the management, medical, and security review process required for access authorization to a Personnel Security Assurance Program (PSAP) position.
 2. CANCELLATION. DOE 5631.6, PERSONNEL SECURITY ASSURANCE PROGRAM, of 1-9-89.
 3. APPLICATION TO CONTRACTS. The provisions of this Order are to be applied to covered contractors and they will apply to the extent implemented under a contract or other agreement. A covered contractor is a seller of supplies or services that is awarded a procurement contract or subcontract involving access to classified information, special nuclear materials (SNM), unclassified sensitive information, or other security interests.
 4. REFERENCES. See Attachment 1.
 5. DEFINITIONS. See Attachment 2.
 6. POLICY.
 - a. The protection of certain of the Department's security interests, with the potential, if misused, of causing unacceptable damage to the national security, requires the implementation of a program designed to assure that individuals occupying positions affording access to certain material, facilities, and programs meet the highest standards of reliability. It is DOE policy to establish a system of continuous evaluation which identifies those individuals having access to certain material, facilities, and programs whose judgment may be impaired by physical and/or emotional disorders, the use of controlled substances, or the use of alcohol habitually to excess. The objective of the process is to reduce the risk resulting from the potential threat represented by such employees to an acceptable level.
 - b. The determination to grant initially and to continue annually the access authorization to a PSAP position shall be based upon a DOE security assessment of any information of security concern

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developed in the course of an initial and annual security review process. The criteria and procedures for determining eligibility for access to these positions are covered in Title 10 Code of Federal Regulations (CFR) 710, Subpart A.

7. RESPONSIBILITIES AND AUTHORITIES.

a. Program Secretarial Officers.

- (1) Ensure that the PSAP is implemented for all applicable operations and/or activities for which they have programmatic responsibility.
- (2) Recommend, as appropriate, additional positions at Headquarters for inclusion under the PSAP that are not identified as PSAP positions on page 8, in paragraphs 8a or b, but which fall under paragraph 8c.

b. Director of Security Affairs (SA-1) provides for the development of PSAP policy.

c. Director of Safeguards and Security (SA-10).

- (1) Develops policy and issues implementation and operational guidelines for the PSAP.
- (2) Reviews PSAP Implementation Plans (see page 15, paragraph 11) for consistency with policy.
- (3) Approves, in consultation with GC-1, recommendations from DOE Field Office Managers or Program Secretarial Officers for inclusion of other positions under the PSAP that are not identified as PSAP positions on page 8, in paragraphs 8a and b, but which do fall under paragraph 8c.
- (4) Evaluates programmatic reviews, field organization surveys, and contractor management audits of PSAP activities.
- (5) Develops and provides training curricula and materials for implementing the PSAP.
- (6) Provides research and analysis in PSAP related activities.
- (7) For purposes of this Order, the Director of Safeguards and Security shall assume the responsibilities of a DOE Field Office Manager for PSAP positions at Headquarters, as contained in subparagraphs j(1) through (5), on page 4, and coordinate PSAP Implementation Plans with appropriate Program Secretarial Officers.

(8) Approves requests for exceptions to the requirements of this Order.

d. Director of Administration and Human Resource Management (AD-1).

- (1) Advises on Federal personnel management matters.
- (2) Provides policy and procedural direction to all personnel offices for Federal personnel actions related to, or necessitated by, the PSAP, and direction for resolution of all issues associated with, or resulting from, such activities.
- (3) Assists in developing education and training materials related to personnel management, industrial relations, and contract administration aspects of the PSAP.
- (4) Develops policies and procedures for, and reviews the implementation of, DOE substance abuse programs for DOE personnel.

e. Director of Procurement, Assistance and Program Management (PR-1).

- (1) Advises on contractor personnel management matters, as well as contract administration and industrial relations issues, related to the PSAP.
- (2) Develops policies and procedures for, and reviews the implementation of, DOE substance abuse programs for contractors.

f. Assistant Secretary for Environment, Safety and Health (EH-1).

- (1) Develops policies and procedures for, and reviews the implementation of, the medical aspects of DOE personnel reliability programs, including the establishment of standards for the medical evaluation, psychological assessment, and the medical aspects of substance abuse and employee rehabilitation programs.
- (2) Advises the Director of Safeguards and Security on the medical and psychological aspects of the PSAP.
- (3) Assists in developing education and training materials related to the medical, psychological, and substance abuse aspects of PSAP.
- (4) Assists in conducting periodic and special reviews of the effectiveness of the PSAP related medical and psychological policies, procedures, criteria, and standards.

- (5) Advises on the nomination, where medically indicated, of additional positions for inclusion under PSAP.
- g. Deputy Assistant Secretary for Security Evaluations (EH-4) evaluates the implementation of the PSAP to ensure an implementation that is consistent with the provisions of this Order.
- h. General Counsel (GC-1).
 - (1) Reviews PSAP policy and guidelines for legal sufficiency.
 - (2) Advises on the nomination of additional positions for inclusion under the PSAP.
- i. Director, Naval Nuclear Propulsion Program (NE-60), shall, in accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by Public Law 98-525 (42 United States Code (U. S. C.) 7158, note)) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all policy and practices pertaining to the PSAP for facilities and activities under the Director's cognizance. The Director shall maintain a safeguards and security protection program which assures compliance with applicable statutes, executive orders, national directives, and regulations.
- j. Managers of DOE Field Offices.
 - (1) Identify the positions which meet the requirements established on page 8, paragraph 8, for a PSAP-designated position.
 - (2) Recommend to SA-10 positions not identified as PSAP positions on page 8, in paragraphs 8a and b, but which do fall under paragraph 8c, for inclusion under the PSAP.
 - (3) Perform required surveys of PSAP implementation efforts at facilities for which they are responsible, in accordance with the requirements for conducting periodic onsite security surveys.
 - (4) Process requests for the PSAP positions consistent with the responsibilities contained in this Order, 10 CFR 710, and DOE 5631.2C, PERSONNEL SECURITY PROGRAM.
 - (5) Appoint a senior DOE official with direct personnel security responsibility to perform the duties of the PSAP Approving Official for PSAP activities under their cognizance.

k. PSAP Approving Official.

- (1) Reviews DOE F 5631.35, "PSAP Management, Medical, and Security Report," participates in the DOE personnel security review process for determining eligibility for a PSAP position, and takes appropriate action to resolve questions in accordance with 10 CFR 710, subpart A, and DOE 5631.2C.
- (2) Approves placement/continuation for individuals in or applying for PSAP positions and advises appropriate management.
- (3) Reviews and coordinates reports and information regarding possible security concerns regarding incumbents or applicants for PSAP positions.
- (4) Ensures implementation of PSAP education and training.
- (5) Provides immediate notification of a personnel security action which results in the suspension of access authorization of an employee in a PSAP position to the appropriate management official for the purpose of limiting access.
- (6) For purposes of this Order, the Manager, Pittsburgh Naval Reactors Office, and the Manager, Schenectady Naval Reactors Office, shall assume the responsibilities of a Manager of a DOE Field Office for PSAP positions at their respective offices.

l. Managers of DOE Organizations and Contractors Having PSAP Positions shall be required to:

- (1) Prepare a PSAP Implementation Plan consistent with this Order, including identification of PSAP positions at their facilities/sites.
- (2) Conduct a drug testing program for applicants for PSAP positions and employees holding PSAP positions in accordance with subparagraph c(1), on page 13.
- (3) Ensure that supervisory reviews and medical assessments are conducted and make recommendations on applicants for PSAP positions and PSAP-designated employees pursuant to initial and annual reviews, and at any other time, as appropriate.
- (4) Immediately notify the PSAP Approving Official of information that represents a security concern regarding a PSAP-designated employee.

- (5) Temporarily reassign a PSAP-designated employee to non-PSAP duties, when appropriate, and immediately notify the appropriate PSAP Approving Official. Such reassignments for security purposes and other related personnel actions shall be executed in accordance with appropriate laws, regulations, and Departmental and/or contractor corporate policies.
- (6) Maintain appropriate data as described on page 15, paragraphs 10a, b, and c.

m. Site Occupational Medical Director.

- (1) Conducts annual medical examinations of PSAP-designated employees and initial medical examinations of applicants for PSAP positions as provided for in DOE medical standards for management.
- (2) Reviews and takes appropriate action regarding referrals for unusual conduct of PSAP-designated employees.
- (3) Recommends to the appropriate management official and PSAP Approving Official the temporary reassignment to non-PSAP duties of a PSAP-designated employee in the event that the Site Occupational Medical Director becomes aware of a condition or circumstance that may affect the employee's judgment or reliability (as stated in 10 CFR 710.11, subpart A).
- (4) Advises the appropriate management official and PSAP Approving Official of any security concern regarding a PSAP-designated employee.
- (5) Evaluates and recommends the return to work of PSAP-designated employees following periods of sick leave of five or more consecutive workdays.

n. Supervisors and Selecting Officials.

- (1) Conduct supervisory reviews in accordance with the provisions of this Order.
- (2) Ensure that a thorough preemployment check has been completed for an applicant who is being considered for a PSAP position.
- (3) Ensure that an individual seeking or occupying a PSAP position is informed of his or her responsibilities under the program and has executed the appropriate PSAP releases,

acknowledgements, and waivers. The purpose of these consent forms is to facilitate the collection and dissemination of information and the performance of drug testing and medical examinations.

- (4) Notify immediately the appropriate management official of a security concern relating to a PSAP-designated employee.
- (5) Refer PSAP-designated employees exhibiting unusual conduct to the Site Occupational Medical Director for review and appropriate action.
- (6) Approve the return to work of a PSAP-designated employee who has been on sick leave for five or more consecutive workdays upon receipt of a written recommendation to return to work from the Site Occupational Medical Director.
- (7) Determine, in consultation with the Site Occupational Medical Director, appropriate actions to be taken concerning a PSAP-designated employee who has been temporarily reassigned to non-PSAP duties.
- (8) Notify the applicant of a decision to reject the application on the basis of a confirmed positive drug test.

o. Employee Holding a PSAP-Designated Position.

- (1) Complies with the requirements of the PSAP.
- (2) Executes appropriate PSAP releases, acknowledgments, and waivers. The purpose of these consent forms is to facilitate the collection and dissemination of information and the performance of drug testing and medical examinations.
- (3) Notifies immediately the Site Occupational Medical Director of a physical or mental condition requiring prescribed medication or treatment.
- (4) Notifies immediately his or her immediate supervisor of circumstances which may require permanent or temporary reassignment to non-PSAP duties.
- (5) Reports security concerns and unusual conduct of PSAP-designated employees to an appropriate management official.
- (6) Reports in person, prior to returning to work, to the Site Occupational Medical Director following periods of sick leave of five or more consecutive workdays.

8. DESIGNATION OF PSAP POSITIONS. Certain positions involved in the management and operation of the Department's nuclear programs may afford the opportunity for an individual to remove or misuse SNM or damage a nuclear material production reactor, or have a significant impact on nuclear weapons production. Such actions have the potential for causing unacceptable damage to the national security. In order to ensure that the PSAP includes only positions that meet the PSAP criteria, a thorough review and analysis of the adequacy of access controls currently in place shall be conducted periodically. If it is found that more restrictive physical, administrative, or compartmented controls can be implemented such that a specific position need not be designated as a PSAP position, these controls should be implemented if cost-effective. The Manager of the DOE Field Office shall then identify PSAP positions at each site in accordance with the provisions of this Order. Critical duty positions identified under the Personnel Assurance Program in DOE 5610.11, NUCLEAR EXPLOSIVE SAFETY, Chapter I, are specifically exempt from the Personnel Security Assurance Program. PSAP positions include positions:
- a. That afford direct access to Category I quantities of SNM or have direct responsibility for transportation or protection of Category I quantities of SNM; or
 - b. That are identified as nuclear material production reactor operators; or
 - c. That have the potential for causing unacceptable damage to national security, but which are not included in paragraphs 8a and b above. Such positions may be recommended for inclusion under the PSAP by Managers of DOE Field Offices or Program Secretarial Officers, subject to approval by SA-10 in consultation with GC-1.
9. PROGRAM PROCESS. The PSAP involves four components: supervisory review, medical assessment, management evaluation, and security determination. In order for an individual to be placed or continued in a PSAP position, he or she must successfully complete all required reviews. A determination to grant initially and to continue annually the PSAP-designation is based upon a DOE assessment of the supervisory review, medical assessment, management evaluation, and security review. In the event of a question regarding eligibility for a PSAP-designated position, the procedures contained in 10 CFR 710, subpart A, shall be used.
- a. Supervisory Review. The supervisory review addresses both individuals tentatively selected for, or already occupying, a PSAP position. The supervisor (or selecting official) shall ensure that the initial Standard Form (SF) 86 (OMB Control No. 3206-007), "Questionnaire for Sensitive Positions," and an annual update to the "Questionnaire for Sensitive Positions," including a-completed

Part II, are promptly forwarded to the appropriate PSAP Approving Official by the applicant (i.e., new hire), candidate (i.e., internal transfer), or PSAP designated employee.

- (1) Applicants. During the interview and selection process for a PSAP position, the selecting official shall review the individual's application and explain the requirements of the PSAP.
 - (a) The selecting official shall ensure that the applicant for a PSAP position is informed of his or her responsibilities under the program and the extent of the requirements associated with its components.
 - (b) The selecting official shall ensure that each applicant being considered for a PSAP position has executed DOE F 5631.36, "Acknowledgement and Agreement to Participate in the Personnel Security Assurance Program (PSAP)," DOE F 5631.37, "Authorization and Consent to Release Personnel Security Assurance Program (PSAP) Records in Connection With PSAP," or DOE F 5631.38, "Refusal of Consent."
 - (c) The tentatively selected applicant shall undergo testing for the use of illegal drugs in accordance with the provisions of subparagraph c(1), on page 13. A determination of the use of illegal drugs based on a drug test shall result in the termination of consideration of the applicant for a PSAP position.
 - (d) The selecting official shall ensure that a thorough preemployment check covering the past 10 years is performed, which includes a validation of the applicant's educational history; a verification of the applicant's employment record; a credit check; a local agency criminal records check for the location of interest, as permitted by State or local laws; and a contact with listed references.
 - (e) The selecting official shall complete Section A of DOE F 5631.35 for the applicant tentatively selected for a PSAP position.
- (2) Candidates. When individuals currently employed by the organization apply for a PSAP position within their organization, the selecting official shall perform the activities contained in paragraphs 9a(1)(a) through (e), above, for each such candidate.

- (a) In addition, the selecting official shall review the individual's personnel and payroll records for relevant information of security interest in accordance with the criteria contained in 10 CFR 710.11, subpart A.
 - (b) If a security concern is discovered as a result of the supervisory review, the information shall be reported immediately to the PSAP Approving Official who shall determine the required action in accordance with the provisions of 10 CFR 710, subpart A, and DOE 5631.2C.
- (3) Individuals in PSAP Positions Upon implementation of the PSAP, the following applies to individuals in identified PSAP positions:
- (a) Supervisors shall ensure that employees in PSAP positions are informed of their responsibilities under the program and the extent of the requirements associated with its components.
 - (b) Supervisors shall ensure that employees have executed DOE F 5631.36, DOE F 5631.37, or DOE F 5631.38. For purposes of this paragraph and all subsequent paragraphs of this Order that relate to the reassignment from PSAP duties, any Federal employee will be immediately removed, or the supervisor may reassign the employee, or the supervisor may realign the employee's current duties; however, if these actions are not feasible, the supervisor must contact his or her servicing personnel office for guidance.
 - (c) Employees shall undergo testing for the use of illegal drugs in accordance with the provisions of subparagraph c(1), on page 13. If an employee is determined to be a user of illegal drugs based on a drug test, the immediate supervisor shall be notified. The employee shall be immediately reassigned to non-PSAP duties and processed under the provisions of 10 CFR 710, subpart A.
 - (d) The supervisor shall complete Section A of DOE F 5631.35.
- (4) PSAP-Designated Employees.
- (a) Annual Review.
 - 1 During the annual supervisory review, the supervisor shall evaluate any relevant information of security interest concerning the PSAP-designated employee.

- 2 The supervisor shall ensure that all PSAP-designated employees receive annual reorientation sessions on the PSAP.
- 3 The supervisor shall complete Section A of the DOE F 5631. 35.

(b) Recognition of Security Concerns and Unusual Conduct.

- 1 Supervisors of PSAP-designated employees who have knowledge of possible security concerns shall report this information immediately to the appropriate management official who in turn shall report it immediately to the PSAP Approving Official for review and appropriate action.
- 2 Supervisors who observe unusual conduct should immediately consult with the Site Occupational Medical Director, who may arrange for the PSAP-designated employee to be examined by the appropriate medical staff.
- 3 PSAP-designated employees and their supervisors shall receive training in the recognition of security concerns and unusual conduct, and in making appropriate reports and referrals.

(c) Temporary Reassignment to Non-PSAP Duties.

- 1 Based on the recommendation of the Site Occupational Medical Director or the PSAP Approving Official, or at the request of the individual employee, the appropriate management official may temporarily reassign a PSAP-designated employee to non-PSAP duties for a period of up to 30 days.
- 2 In the event that a PSAP-designated employee is temporarily reassigned to non-PSAP duties, the supervisor, jointly with the Site Occupational Medical Director and/or the PSAP Approving Official, as appropriate, may determine the temporary restrictions to be placed on the employee. The PSAP Approving Official shall be notified immediately upon the decision to temporarily reassign the employee to non-PSAP duties and the reasons for such action.

- 3 If the reason for the temporary reassignment was based on a security concern, the PSAP Approving Official must approve a request for reinstatement. If the reason for temporary reassignment was not based upon a security concern, the PSAP Approving Official shall be notified upon reinstatement.

- b. Medical Assessment. The medical assessment is performed initially upon application for a PSAP position, annually thereafter for each employee holding a PSAP-designated position, and as may be required by the Site Occupational Medical Director. The assessment includes: a comprehensive medical examination in accordance with DOE 3790.1A, FEDERAL EMPLOYEES OCCUPATIONAL SAFETY AND HEALTH PROGRAM, DOE 5480.1B, ENVIRONMENT, SAFETY AND HEALTH PROGRAM FOR DEPARTMENT OF ENERGY OPERATIONS, and DOE 5480.8A, CONTRACTOR OCCUPATIONAL MEDICAL PROGRAM, to include the physical, mental, emotional, and behavioral status of the individual, and the diagnosis of substance abuse; an examination for the use of alcohol habitually to excess; a psychological assessment and/or psychiatric evaluation, as provided for below and as permitted by applicable Federal regulations; and an evaluation for the cause of any reported unusual-conduct. The Site Occupational Medical Director shall complete Section B of DOE F 5631.35.
 - (1) Medical Examination. The purpose of the medical examination is to ensure that an applicant for, or incumbent in, a PSAP position does not represent a security concern or have a condition which may prevent the individual from displaying sound judgment or performing PSAP duties in a reliable manner. The examination shall include an evaluation to determine the presence of any physical or mental condition that causes, or may cause, a significant defect in the judgment or reliability of the individual (as stated in 10 CFR 710.11, subpart A), including that which may result from the use of illegal drugs or the use of alcohol habitually to excess.
 - (2) Examination for Use of Alcohol Habitually to Excess. The use of alcohol habitually to excess represents a potential threat to national security and is inconsistent with access to a PSAP position.
 - (a) Diagnosis. Individuals in, or applying for, a PSAP position shall be examined for the use of alcohol habitually to excess. Such individuals diagnosed to use alcohol habitually to excess shall be temporarily reassigned to non-PSAP duties and the PSAP Approving Official shall be notified immediately.

- (b) Rehabilitation or Reformation. Individuals reinstated to PSAP duties following treatment leading to rehabilitation or reformation from the use of alcohol habitually to excess shall be required to undergo evaluation as prescribed by the Site Occupational Medical Director in order to ensure continued rehabilitation or reformation. Such evaluation shall be consistent with appropriate Departmental substance abuse programs.
 - (3) Evaluation for the Cause of Reported Unusual Conduct. Upon referral of a PSAP-designated employee by a supervisor for unusual conduct, the Site Occupational Medical Director may arrange for the employee to be-examined by appropriate specialists.
 - (4) Temporary Restrictions on a PSAP Position. In the event that a condition or circumstance develops that may affect the judgment or reliability (as stated in 10 CFR 710.11, subpart A) of a PSAP-designated employee, the Site Occupational Medical Director may recommend restrictions. The Site Occupational Medical Director shall report immediately these restrictions in writing to the appropriate management official, who in turn shall notify the appropriate PSAP Approving Official. Removal of the restrictions requires notification in writing by the Site Occupational Medical Director to the appropriate management official, who in turn shall notify the appropriate PSAP Approving Official.
 - (5) Sick Leave from a PSAP Position. PSAP-designated employees who have been on sick leave for five or more consecutive work days are required to report in person to the Site Occupational Medical Director before being allowed to return to normal duties. The Site Occupational Medical Director shall provide a recommendation to the appropriate management official regarding the employee's return to work. A PSAP-designated employee may also be required to report for written approval to return to normal duties after any period of sick leave.
- c. Management Evaluation. A management evaluation review of the results of the supervisory review, medical assessment, and drug testing of an individual in, or applying for, a PSAP position is required before that individual can be considered for initial or continuing employment in a PSAP-designated position.
 - (1) Drug Testing. Individuals in, or applying for, a PSAP position shall be tested for the use of illegal drugs in accordance with the DOE drug testing program. Federal employees will be tested in accordance with DOE 3792.3,

DRUG-FREE FEDERAL WORKPLACE TESTING IMPLEMENTATION PROGRAM. This program shall include unannounced drug testing and testing for occurrence or reasonable suspicion for all individuals in PSAP positions. An incumbent in a PSAP position who has been determined to be a user of illegal drugs, based upon a drug test, shall be reassigned immediately from his or her PSAP duties and the PSAP Approving Official shall be notified immediately. Notification following determination of illegal drug use by a Federal employee shall be in accordance with DOE 3792.3.

(2) Rehabilitation or Reformation. Individuals reinstated to PSAP duties following treatment leading to rehabilitation or reformation from use of illegal drugs shall be required to undergo evaluation and testing as prescribed by the Site Occupational Medical Director (for Federal employees, see DOE 3792.3) in order to ensure continued rehabilitation or reformation.

(3) Management Recommendations. The appropriate management official shall complete Section C of DOE F 5631.35.

d. DOE Security Review and Clearance Determination An individual in, or applying for, a PSAP position must undergo a security review and clearance determination. Access to PSAP positions shall not be allowed until DOE F 5631.35 with Sections A, B, and C completed is received.

(1) Initial PSAP Position Authorization.

(a) PSAP position access requires the applicant or employee to have a Q access authorization before assuming the duties of that position.

(b) The adjudication and determination for a PSAP-designated position shall be based on a review of security information, including the results of the background investigation and the information contained in DOE F 5631.35, on the individual, in accordance with the criteria and procedures contained in 10 CFR 710, subpart A and DOE 5631.2C.

(2) Annual PSAP-Designated Position Continuance.

(a) PSAP-designated employees shall undergo an annual security evaluation, including a credit and criminal records check where available; review of the individual's DOE personnel security file; and an updated SF-86, "Questionnaire for Sensitive Positions," Part II.

- (b) PSAP-designated employees shall undergo periodic reinvestigation as required to maintain a Q access authorization.
- (c) The determination to continue the employee's access to a PSAP-designated position shall be based upon a review and any necessary adjudication of the information resulting from the annual security evaluation, and that contained in DOE F 5631.35 in accordance with the criteria and procedures contained in 10 CFR 710, subpart A and DOE 5631.2C.

(3) Termination of PSAP Position Access. When a PSAP-designated employee is no longer assigned to a PSAP position, management shall immediately notify the PSAP Approving Official. If a DOE access authorization is still needed, management shall advise the appropriate DOE personnel security official of the type of access authorization required.

10. PROGRAM ADMINISTRATION. The employer shall organize PSAP training, conduct quality assurance activities, and establish a system for records management.

- a. Education and Training. SA-10, with the assistance of PSAP Approving Officials, shall develop and ensure that an education and training program is conducted that will provide PSAP awareness education, recognizing unusual conduct and security concerns, training, and guidance for supervisory and medical responsibilities for all individuals affected by the PSAP.
- b. Quality Assurance Program. SA-10 shall develop and ensure that a quality assurance program is conducted to evaluate programmatic reviews, DOE Field Office surveys (as performed under DOE 5634.1B, FACILITY APPROVALS, SECURITY SURVEYS, AND NUCLEAR MATERIALS SURVEYS), and contractor management audits in order to maintain consistency of PSAP implementation and operation.
- c. Records Management. All relevant systems of personal records shall be protected in accordance with the Privacy Act of 1974, as amended, 10 CFR 1008, and DOE 1800.1A, PRIVACY ACT. All records created as a result of the PSAP shall be maintained and disposed of in accordance with DOE 1324.5A, RECORDS MANAGEMENT PROGRAM.

11. IMPLEMENTATION.

- a. Implementation Guidance. The need for specific technical guidance to implement and maintain the integrity of the PSAP is recognized. To meet this need, a number of documents containing standards, criteria, and guidelines, and related training material shall be provided prior to implementation of the associated PSAP component. These standards, criteria, and guidelines shall be issued by SA-10.

- b. DOE Field Offices shall implement the PSAP as follows:
- (1) After a site/facility has been identified as having PSAP positions, the site/facility must prepare a "PSAP Implementation Plan" for each site/facility, containing details on the type and number of PSAP positions, the conditions under which the management review and medical assessment will be carried out, how the PSAP will be administered, and how both education and training and quality assurance will be conducted. The DOE Field Office Manager shall forward the plan to SA-10 for review.
 - (2) Implement a site/facility PSAP within 30 days of approval by the DOE Field Office Manager of the site/facility's plan.
- c. Conditions may arise that require changes to the approved PSAP Implementation Plan. Such changes shall be submitted to the Manager of the DOE Field Office for approval. The Manager shall then forward the approved changes to SA-10 who shall cause a review for consistency with policy.
- d. PSAP related activities (such as, psychological assessment and drug testing) established as a result of corporate policy may be acceptable in meeting the requirements of the Order provided that they meet the minimum standards of any guidelines issued by DOE or issued by another Federal agency and adopted by DOE. In no way does this preclude the application by DOE contractors of more stringent standards than those issued by or adopted by DOE for the purpose of this Order.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI
Director of Administration
and Human Resource Management

REFERENCES

1. Atomic Energy Act of 1954, as amended, section 11, "Definitions"; section 141, "Policy"; section 143, "Department of Defense Participation"; section 145, "Restrictions"; and section 161.b, "General Provisions" which provide statutory authority for establishing and implementing a DOE security program for controlling access to Restricted Data and special nuclear material.
2. Controlled Substances Act of 1970, section 202 (21 U.S.C. 802), which defines illegal drugs.
3. Privacy Act of 1974 (5 U.S.C. 552a) which establishes the legal requirements for collecting and retaining information on individuals.
4. Title 10 CFR 710:
 - a. Subpart A, "Criteria and Procedures for Determining Eligibility for" Access to Classified Matter or Significant Quantities of Special Nuclear Material," which is used in those cases in which there are questions of eligibility for DOE access.
 - b. Subpart B, "Criteria and Procedures for Establishment of the Personnel Security Assurance Program and Determinations of an Individual's Eligibility for Access to a Personnel Security Assurance Program Position."
5. Title 10 CFR 1008, subpart B, Privacy Act, "Records Maintained on Individuals," which establishes the procedures to implement the Privacy Act of 1974 within the DOE.
6. Executive Order 10450, "Security Requirements for Government Employees," of 4-29-53, as amended, which establishes the requirement for determining that all Federal employees be loyal, reliable, trustworthy, and of good conduct and character.
7. Executive Order 10865, "Safeguarding Classified Information Within Industry," of 2-20-65, as amended, which establishes the basis for the Industrial Security Program for civilian personnel.
8. Executive Order 12564, "Drug-Free Federal Workplace," of 9-15-86, which establishes the requirement to conduct drug testing of Federal employees in sensitive positions.
9. Title 53 CFR 11970, "Department of Health and Human Services: Mandatory Guidelines for Federal Workplace Drug Testing Programs," of 4-11-88, which contains requirements for conducting drug testing.

DOE 1324. 5A, RECORDS MANAGEMENT PROGRAM, of 4-30-92, which sets forth the scope, objectives, and general authority for the DOE Records Management Program.

11. DOE 1800.1A, PRIVACY ACT, of 8-31-84, which establishes the guidelines and procedures for implementing the Privacy Act of 1974 in DOE.
12. DOE 3790.1A, FEDERAL EMPLOYEES OCCUPATIONAL SAFETY AND HEALTH PROGRAM, of 10-22-84; which establishes the occupational medical program for Federal employees.
13. DOE 3792.3, DRUG-FREE FEDERAL WORKPLACE TESTING IMPLEMENTATION PROGRAM, of 7-29-88, which establishes guidance and policy for a program to test for the use of illegal drugs by DOE Federal employees.
14. DOE 5480.1B, ENVIRONMENT, SAFETY, AND HEALTH PROGRAM FOR DEPARTMENT OF ENERGY OPERATIONS, of 9-23-86, which establishes the responsibilities and authorities for the occupational medical program for DOE contractor employees.
15. DOE 5480.8A, CONTRACTOR OCCUPATIONAL MEDICAL PROGRAM, of 6-26-92, which establishes the minimum occupational medical program requirements for Departmental contractor employees.
16. DOE 5610.11, NUCLEAR EXPLOSIVE SAFETY, of 10-10-90, which establishes policy, criteria, and procedures for the selection of individuals in Personnel Assurance Program positions.
17. DOE 5631.2C, PERSONNEL SECURITY PROGRAM. of 9-15-92, which establishes the policy, responsibilities, and authorities for implementing the DOE Personnel Security Program.
18. DOE 5633.3, CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS, of 2-3-88, which defines Category I quantities of special nuclear material.
19. DOE 5634.1B, FACILITY APPROVAL, SECURITY SURVEYS, AND NUCLEAR MATERIAL SURVEYS, of 9-15-92, which establishes DOE requirements for the conduct of periodic onsite security surveys of classified facilities under DOE's jurisdiction.

DEFINITIONS

1. DIRECT ACCESS. Access to Category I quantities of SNM which would permit an individual to remove or misuse that material in spite of any controls that have been established to prevent such unauthorized actions. Category I quantities of SNM are defined in DOE 5633.3, CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS.
2. ILLEGAL DRUGS. Drugs listed in the Schedule of Controlled Substances established pursuant to Section 202 of the Controlled Substance Act of 1970, except where such possession or use is administered or prescribed by a physician licensed to dispense drugs in the practice of medicine.
3. NUCLEAR MATERIAL PRODUCTION REACTOR OPERATOR. An individual certified by DOE contractor management to operate (manipulate the controls of) a DOE-owned nuclear material production reactor.
4. PERSONNEL SECURITY SPECIALIST. For the purposes of this Order, a DOE employee with the responsibility for reviewing the results of the security investigation and other information of a security interest, and recommending disposition of a request for a PSAP-designated position.
5. PSAP ACCESS AUTHORIZATION. The designation of a security clearance determination that is reserved for individuals who occupy PSAP positions (sometimes referred to as a PSAP access authorization).
6. PSAP APPROVING OFFICIAL. A senior DOE official with direct personnel security responsibilities appointed by a DOE Field Office Manager to review all relevant information as part of the PSAP security review process, and who is responsible for granting or continuing an individual's placement in a PSAP position or determining that an individual be processed under the provisions of 10 CFR 710.
7. PSAP POSITION. A position that: affords the incumbent direct access to Category I quantities of special nuclear material; is defined as a nuclear material production operator; or has the potential to cause unacceptable damage to national security.
8. PERSONNEL SECURITY ASSURANCE PROGRAM. A program of continuous evaluation to ensure that the employment and retention of individuals in designated positions is consistent with the requirements of national security.
9. SECURITY CONCERN. The presence of information regarding an individual applying for or holding a DOE access authorization that may be considered derogatory under the criteria contained in 10 CFR 710.
10. SELECTING OFFICIAL. The management official responsible for making the final employment decision regarding an individual seeking a PSAP position.

11. SITE OCCUPATIONAL MEDICAL DIRECTOR. A physician responsible for the overall direction and operation of the occupational medical program at a particular site.
12. UNACCEPTABLE DAMAGE. An incident that could result in a nuclear explosive detonation, a major environmental release from a nuclear material production reactor or the interruption of nuclear weapons production, with a significant impact on national security.