U.S. Department of Energy
Office of Health, Safety and Security
Office of Departmental Personnel Security

Human Reliability Program Orientation for Employees

Revised
August 2007

ORISE

Center for Human Reliability Studies
Oak Ridge Institute for Science and Education
Operated by Oak Ridge Associated Universities
For the U.S. Department of Energy

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

This document was produced under contract number DE-AC05-06OR23100 between the U.S. Department of Energy and Oak Ridge Associated Universities.

Human Reliability Program Orientation for Employees

Prepared for
Office of Departmental Personnel Security
Office of Health, Safety and Security
U. S. Department of Energy
Washington, D.C.

by
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ORISE 07-NSEM-0870

Revised
August 2007

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Under contract number DE-AC05-06OR23100
Between the U. S. Department of Energy and
Oak Ridge Associated Universities

Contents of this publication are based on 10 CFR Part 712, Human Reliability Program; however, the information presented herein in no way supersedes or has precedence over the provisions of that regulation as published or amended.

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1. Overview of the HRP

Both the Department of Energy (DOE) and the nation have a compelling interest to ensure that individuals in positions that afford access to certain materials, nuclear explosive devices, facilities, and programs meet the highest standards of reliability and physical and mental suitability. The Human Reliability Program (HRP) helps to safeguard personnel, information, and operations at DOE facilities through a continuous evaluation process that includes initial and annual drug and alcohol testing, supervisory review, medical assessment, management evaluation, DOE personnel security file review, and HRP instruction. This continuous observation and awareness process identifies safety and security reliability concerns that may be caused by physical or mental/personality disorders, the use of illegal drugs or the abuse of alcohol, legal drugs, or other substances, or other conditions or circumstances.

HRP positions

HRP certification is required for individuals assigned to or applying for a position that:

- Affords access to Category I Special Nuclear Materials (SNM) or has responsibility for transporting or protecting Category I quantities of SNM.
- Involves nuclear explosive duties or has responsibility for working with, protecting, or transporting nuclear explosives, nuclear devices, or selected components.
- Affords access to information concerning vulnerabilities in protective systems when transporting nuclear explosives, nuclear devices, selected components, or Category I quantities of SNM.

A position not listed above, which affords the potential to significantly affect national security or cause unacceptable damage, can be nominated as an HRP position. Before such nomination, the Manager or the HRP management official must analyze the risks the position poses for the particular operational program. If the analysis shows that more restrictive physical, administrative, or other controls could be implemented that would prevent the position from being designated an HRP position, those controls will be implemented if practical.

All HRP nominations must be approved by the NNSA Administrator, the Chief Health, Safety and Security Officer, or the appropriate Lead Program Secretarial Officer.

HRP requirements

DOE Q security clearance

This security clearance is granted by DOE and allows an individual to have access, on a need-to-know basis, to the following levels of classified information and materials: Top Secret, Secret, and Confidential Restricted Data, National Security Information, and Formerly Restricted Data.

Questionnaire for National Security Positions (QNSP), Part 2

The annual submission of this information enables DOE Personnel Security to update the personnel security file, which is reviewed annually to ensure that security concerns are identified and addressed.

Signed releases, acknowledgments, and waivers

You must review and sign documents to facilitate the collection and dissemination of information and the performance of medical assessments and drug and alcohol testing.

Completion of HRP instruction

HRP instruction must be completed for initial certification and annual recertification. The instruction includes the following elements:

- Objectives of the HRP
- The role and responsibilities of each HRP-certified individual including:
 - Recognizing and responding to behavioral change and aberrant or unusual behavior that may result in a risk to national security or nuclear explosive safety
 - Recognizing and reporting security concerns
 - Reporting prescription drug use
- Requirements for returning to work after sick leave
- The HRP continuous evaluation process
- For those who have nuclear explosive responsibilities, a detailed explanation of duties and safety requirements

Counterintelligence (CI) evaluation

Individuals who occupy certain HRP positions may be required to successfully complete a CI evaluation; however, it is no longer a general requirement because of revisions to 10 CFR Part 709, Counterintelligence Evaluation Program. Under the revised regulation, each site will designate positions for evaluation in accordance with the regulation's criteria.

Completion of reviews, evaluations, and assessments

- *Supervisory review.* Each supervisor of an HRP candidate or HRP-certified individual must conduct an initial and annual review to evaluate information (including security concerns) relevant to that individual's suitability to perform HRP tasks in a reliable and safe manner.
- *Medical assessment.* The medical assessment is performed for initial certification and then annually for recertification. A medical assessment may be performed more often if required by the site occupational medical director (SOMD).

The designated physician, under the supervision of the SOMD, is responsible for the medical assessment of HRP candidates and HRP-certified individuals. In performing this responsibility, the designated physician or the SOMD must integrate the medical evaluation, available test results, the psychological evaluation, a review of current legal drug use, and any other relevant information. This information is used to determine if a safety or security reliability concern exists and if the individual is medically qualified for HRP duties.

- *Psychological evaluation.* As part of the medical assessment, a psychological evaluation must be conducted for initial HRP certification. This evaluation consists of a psychological assessment (test) and a semi-structured interview. For recertification, the evaluation consists of a semi-structured interview, but a psychological test may also be conducted if warranted. Every third year, the psychological evaluation includes a psychological test.
- *Management evaluation.* The HRP management official considers the results of the supervisory review, medical assessment, drug and alcohol test results, and any other information relating to an individual's reliability and trustworthiness, and makes a recommendation regarding certification.
- *DOE personnel security review.* A personnel security specialist will perform a personnel security file review upon receiving the individual's QNSP (Part 2) and the supervisory review, medical assessment, and management evaluation and recommendation. Security concerns identified at any stage of the certification process will be evaluated and resolved in accordance with DOE regulations for access to classified matter or special nuclear materials in 10 CFR Part 710.

Drug and alcohol testing

- *Initial.* All HRP candidates will be tested for the use of alcohol and illegal drugs before HRP certification is granted.
- *Random drug test.* HRP-certified individuals are selected randomly, at least once every 12 months from the previous test, for unscheduled and unannounced testing for the presence of illegal drugs. A confirmed positive drug test is a security concern that will result in immediate removal from HRP duties and adjudication under the criteria and guidelines found in 10 CFR Part 710.
- *Random alcohol test.* HRP-certified individuals are selected randomly, at least once every 12 months from the previous test, for unscheduled and unannounced testing for the presence of alcohol. A positive test is an alcohol concentration of 0.02 or greater on a confirmatory test. A person who tests positive will be sent home and not be allowed to perform HRP duties for 24 hours. The management official will be notified and may require the individual to be assessed by the medical department prior to performing HRP duties.

Other requirements

- No use of a hallucinogen (LSD) in the preceding five years and no experience of flashback resulting from the use of LSD more than five years before applying for certification or recertification.
- Individuals performing nuclear explosive duties, and others in designated positions, are prohibited from consuming alcohol within an eight-hour period preceding scheduled work.

HRP responsibilities

As an HRP-certified individual, you have several responsibilities. You must:

- Read, sign, and submit HRP releases, acknowledgments, and waivers to facilitate the collection and dissemination of information and the performance of medical examinations and drug and alcohol tests.
- Provide full, frank, and truthful answers to relevant and material questions and, when requested, furnish or authorize others to furnish information that DOE deems pertinent to reaching a decision on HRP certification or recertification.
- Notify the designated physician, the designated psychologist, or the SOMD immediately of a physical or mental condition that requires medication or treatment.

- Report reliability concerns, including any observed or reported behavior or condition of another HRP-certified individual, to a supervisor, the designated physician, the designated psychologist, the SOMD, or the HRP management official.
- Report any behavior or condition that may affect your ability to perform HRP duties to a supervisor, the designated physician, the designated psychologist, the SOMD, or the HRP management official.

You are also required to:

- Report in person to the designated physician, the designated psychologist, or the SOMD to obtain a written recommendation to return to work if you have been on sick leave for five or more consecutive days (or an equivalent amount of time).
- Report for drug or alcohol testing if required following involvement in an incident, unsafe practice, or an occurrence, or if there is a reasonable suspicion that you may be impaired.

The eight-hour abstinence rule

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

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

Return to work procedures

Some absences—such as return to work after having been on sick leave for five or more consecutive days, or an equivalent time period for those on an alternative work schedule—require a return-to-work evaluation performed by the designated physician, the designated psychologist, or the SOMD. A written recommendation based on the evaluation must be provided to your supervisor before you can return to HRP duties. In some cases, an HRP-certified

individual may be required to report to the designated physician, the designated psychologist, or the SOMD for written recommendation to return to normal duties after any period of sick leave.

After an HRP-certified individual receives treatment for a disqualifying condition, the designated physician, designated psychologist, or the SOMD may make a medical recommendation for return to work and work accommodations. The following documentation is required:

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

The appropriate procedure described in 10 CFR Part 710 will apply to any removal or rehabilitation for a security concern.

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

Transfer and temporary assignment

An individual's HRP certification may be transferred to another site. However, before the individual is allowed to perform HRP duties at the new site, it must be verified that the individual is currently HRP certified and is transferring into a designated HRP position. Additionally, the individual must be provided site-specific instruction and incorporated into the new site's alcohol and drug testing program. It must also be ensured that the 12-month time period for HRP requirements that was established at the prior site is not exceeded.

Temporary assignment to an HRP position at another site requires verification that the individual is currently HRP-certified and has completed all site-specific instruction. The individual is required to return to the site that maintains his or her HRP certification for recertification.

2. Drug and alcohol testing in the HRP

The misuse or abuse of alcohol, illegal drugs, or other substances is incompatible with the nature of work performed by HRP-certified individuals. Therefore, tests for alcohol and illegal drug use are performed before HRP certification is granted. For recertification, unannounced random tests are performed at least once every 12-months from the previous test. Tests may also be performed if an individual is involved in an incident, unsafe practice, occurrence, or based on reasonable suspicion.

Alcohol

HRP alcohol tests are performed using an instrument that detects the amount of alcohol a person has consumed by measuring alcohol as a percentage of a volume of exhaled breath. The tests are administered by a trained breath alcohol technician using an evidential-grade device under the protocol described in 49 CFR Part 40.

A result of 0.02 percent or above on a screening test requires a confirmatory test be conducted. On the confirmatory test, a result of 0.02 or above is considered positive. Also considered a positive result is refusal to submit to testing, which is defined as failure to appear for testing within a prescribed time, failure to provide an adequate volume of breath, and conduct that obstructs testing (including failure to cooperate with instructions).

All confirmed positive alcohol tests result in the individual being removed from HRP duties, sent home, and not permitted to perform HRP duties for 24 hours. Positive alcohol tests may have repercussions beyond HRP certification. Employers typically have rules against consuming alcohol during working hours and may impose additional disciplinary actions. In addition, because a positive test is both a safety and security concern, DOE personnel security is informed and may adjudicate the concern under the guidelines at 10 CFR Part 710.

Illegal drugs

HRP drug testing is performed by urinalysis. An initial screen using an immunoassay test is first performed. If the initial screen indicates the presence of metabolites of an illegal drug, a much more precise test follows on the same sample. This test is performed using a gas chromatograph/mass spectrometer (GC/MS). All results are

submitted to a medical review officer (MRO), who considers the individual's medical history and other relevant medical information.

On a confirmed positive test, the individual is given the opportunity to report the use of prescription and over-the-counter medications. The MRO then determines whether the drug use was legitimate and certifies (a) that the tests do not meet the conditions for a determination of illegal drug use; or (b) that illegal drugs have been used. Failure to appear within the required time and refusal to cooperate in the testing process are also considered positive test results.

Use of illegal drugs or the abuse of legal drugs and other substances is a security concern requiring immediate removal from HRP duties. DOE personnel security will adjudicate the concern under the guidelines at 10 CFR Part 710.

For-cause and reasonable suspicion testing

When an HRP-certified individual is involved in, or associated with, an incident, unsafe practice, or an occurrence that requires immediate reporting to the DOE, testing for alcohol and drugs will be performed as required by regulations.

Drug and alcohol testing will also be performed if an individual's behavior creates the basis for a reasonable suspicion of alcohol or illegal drug use, and two or more supervisory or management officials (at least one of whom is in the individual's direct chain of supervision or the SOMD) agree that the testing is appropriate.

The basis for reasonable suspicion is a clearly expressed belief that the person possesses, or is under the influence of, alcohol or illegal drugs. This belief can be based on direct observation, a pattern of abnormal conduct or erratic behavior, or independently corroborated information provided by a reliable source.

3. Reliability

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

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

Supervisory review

Supervisors perform a review of HRP candidates before initial certification. For recertification every 12 months, the supervisor must review HRP-certified individuals for conditions that may affect the safe and secure performance of their HRP duties.

Reporting unusual behavior

HRP-certified individuals are required to report any observed behavior or condition of another HRP-certified individual that could indicate a reliability concern. HRP-certified individuals play an important role in identifying reliability concerns because they are familiar with their coworkers' normal behavior at work and can recognize unusual behaviors or conditions.

Self-reporting

HRP-certified individuals must report any behavior or condition that may affect the reliable performance of their own HRP duties including any physical or mental condition that requires medication or treatment. Prescription drug use and use of over-the-counter medications that carry warning labels such as "may cause drowsiness" or "do not operate machinery" should be reported to the site occupational medical office. HRP-certified individuals are also expected to report stressful, psychologically impairing, or other distressing events that may diminish their ability to perform HRP duties. The designated physician, designated psychologist, or SOMD will determine whether temporary removal from HRP duties is required. All such contacts are treated confidentially.

Reliability concerns

The HRP describes conditions and circumstances that may constitute a safety or security reliability concern. They include:

- Mental/personality or physical disorder that impairs performance
- Conduct that warrants referral for a criminal investigation or results in arrest or conviction
- Indication of deceitful or delinquent behavior
 - Attempted or threatened destruction of property or life
 - Suicidal tendencies or attempted suicide
 - Use of illegal drugs; abuse of legal drugs or other substances
 - Alcohol use disorder
 - Recurring financial irresponsibility
 - Irresponsibility in performing assigned duties
 - Inability to deal with stress, or the appearance of being under unusual stress
 - Failure to comply with work directives; violation of safety or security procedures
- Hostility or aggression toward fellow workers or authority; uncontrolled anger
- Repeated absenteeism
- Significant behavioral changes, moodiness, depression

REMEMBER TO:
REPORT
anything suspicious
BE ALERT
to unusual behaviors or
conditions
BE CONCERNED
for the safety of your
coworkers and the
environment and for the
security of the nation

This list is not intended to be all-inclusive. If a behavior is not in character for a person, or if the behavior could be a result of drug or alcohol abuse, stress, or serious personal problems/issues, it should be reported as a concern.

Procedures for reporting and referral

HRP-certified employees have a clear understanding of what constitutes unacceptable behavior, and the parameters of acceptable behavior should be clear to all employees. If a supervisor observes unusual behavior in an HRP-certified employee and has reasonable belief that the behavior raises a safety or security concern, the supervisor must immediately remove that individual from HRP duties pending a determination of the individual's reliability. If the removal is based on a security concern, the HRP management official must

notify the HRP certifying official and the applicable DOE personnel security office for resolution of the concern under the criteria and procedures in 10 CFR Part 710.

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

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

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

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

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4. Security concerns

The HRP evaluation process is designed to detect security concerns involving HRP candidates and HRP-certified individuals and reduce the possibility of unreliable persons performing HRP duties. As part of the continuous evaluation system, a DOE personnel security specialist will perform a personnel security review after receiving the supervisory

review, medical assessment, and management evaluation and recommendation. If the review is favorable, the information is forwarded to the HRP certifying official. Should the review reveal a security concern, or if a security concern is identified during another component of the HRP certification and recertification process, the HRP certifying official is notified and the security concern is evaluated in accordance with the criteria in 10 CFR Part 710.

Insider risk

DOE seeks to reduce insider* risk through the HRP evaluation process. Theft, removal, or misuse of Category I quantities of SNM or detonation of nuclear explosives would probably be impossible without the

participation of someone who has both unescorted access to the material and knowledge of safeguards and security systems. The HRP focuses on insider risks resulting from behaviors or circumstances that can compromise an individual's judgment or reliability. For example, the use of illegal drugs or misuse of prescription drugs or other substances raises doubts about an individual's willingness to follow security rules; it also can impair judgment and degrade compliance with security and safety regulations. Similarly, alcohol abuse or dependence impairs performance, weakens judgment, and affects compliance with rules and procedures. In addition, both alcohol and drug abuse may lead to financial problems, which can make an individual susceptible to outside influences.

Psychological disorders can also affect safety and security reliability. An emotionally disturbed employee may develop problems that could manifest as:

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

*An *insider* is a person who has knowledge of operations or security systems characteristics because of his or her official duties, or who holds a position that could enhance the likelihood of bypassing or defeating such systems.

Many security concerns arise from actual security violations such as:

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

Other concerns may be:

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

5. Removal from HRP

If a reasonable belief or credible evidence exists that an HRP-certified individual is not reliable, his or her supervisor must immediately do the following:

- Require the individual to stop performing HRP duties
- Ensure the individual is denied both escorted and unescorted access to HRP work areas

Within 24 hours after taking the above actions, the supervisor must provide written notification to both the individual and the HRP management official of the reason for the actions.

Immediate removal from HRP duties is an interim, precautionary action and does not constitute a determination that the individual is not fit to perform his or her required duties. Removal is not, in itself, a cause for loss of pay, benefits, or other changes in employment status.

If removal is due to a **security** concern:

- The HRP management official must notify the HRP certifying official and the applicable DOE personnel security office. The concern is investigated and adjudicated by DOE personnel security under the criteria and procedures in 10 CFR Part 710.

If removal is due to a **safety** concern, the HRP management official:

- Evaluates the circumstances or information that led to the removal of the individual from HRP duties.
- Prepares a written report of the evaluation that includes a determination of the individual's reliability for continuing HRP certification.

If the HRP management official determines that an individual who has been temporarily removed continues to meet the requirements for certification, he or she must notify:

- The individual's supervisor, directing that the individual be allowed to return to HRP duties.
- The individual.
- The HRP certifying official.

When an individual has been temporarily removed, the Manager* takes one of the following three actions:

1. Reinstates, and provides a written explanation of the factual basis for the action.
2. Continues temporary removal and directs action to resolve concerns (for example, rehabilitation). After completion of intervention, the matter will be reevaluated.
3. Revokes certification, sending a written decision, which includes rationale for the action and the procedures for reconsideration/appeal, to the affected individual by certified mail.

If your HRP certification is revoked, you may choose one of the following three options:

1. Take no action.
2. Submit a written request for reconsideration, which addresses the information or situation that initiated the concern, to the Manager. The written request must be sent by certified mail within 20 working days of receiving notice of the revocation. The Manager's decision on the request for reconsideration is final.
3. Submit a written request for a certification review hearing to the Manager. The request must be sent by certified mail within 20 working days of receiving notice of the revocation. The Manager forwards the request to the Office of Hearings and Appeals, which will conduct a review hearing. The individual requesting the hearing has a right to appear personally, to present evidence through witnesses or by documents, and, at his or her own expense, to be represented and accompanied by counsel or any other person of his or her choosing. A transcript of the proceedings will be made. The hearing officer's decision to either recertify or revoke HRP certification is final.

* In some facilities the Manager may serve as the certifying official.

6. Conclusion

The HRP certification process is designed to evaluate the reliability of individuals in positions that afford access to certain materials, nuclear explosive devices, facilities, and programs to ensure that they meet the highest standards of reliability and physical and

mental suitability. The HRP helps to safeguard personnel, information, and operations at DOE facilities through:

- Supervisory review
- Medical assessment
- Management evaluation
- Personnel security file review
- Education
- Initial, annual, and for-cause drug and alcohol testing

This continuous observation and awareness process identifies safety and security reliability concerns that may be caused by physical and mental/personality disorders, the use of illegal drugs or the abuse of alcohol, legal drugs, or other substances, or other

conditions or circumstances. Although the HRP incorporates many elements to protect the national security and the safety of you, your coworkers, and the public at large, the success of the HRP depends on the commitment of HRP-certified individuals. ***As an HRP-certified individual, you are the most critical element in ensuring the safe and secure operation of DOE programs and facilities.***

7. Resources

The Human Reliability Program

- 10 CFR Part 712: Human Reliability Program (HRP)

Testing for alcohol

- 49 CFR Part 40: Procedures for Transportation Workplace Drug and Alcohol Testing Programs (subparts J through N regulate the alcohol testing process)

Testing for illegal drugs

- 10 CFR Part 707: Workplace Substance Abuse Programs at DOE Sites (contractor employees)
- DOE Order 3792.3: Drug-Free Federal Workplace Testing Implementation Program (federal employees)

Counterintelligence evaluation

- 10 CFR Part 709: Counterintelligence Evaluation Program

Security concerns and security clearance

- 10 CFR Part 710: General Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Special Nuclear Material

8. Glossary

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

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

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

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

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

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

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

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

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

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

Director, Office of Health and Safety means the DOE individual with responsibility for policy and quality assurance for DOE occupational medical programs.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Medical assessment means an evaluation of an HRP candidate and HRP-certified individual's present health status and health risk factors by means of medical history review, job task analysis, physical examination, appropriate laboratory tests and measurements, and appropriate psychological and psychiatric evaluations.

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

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

Occurrence means any event or incident that is a deviation from the planned or expected behavior or course of events in connection with any DOE or DOE-controlled operation if the deviation has environmental, public health and safety, or national security protection significance, including (but not limited to) incidents involving:

- (1) Injury or fatality to any person involving actions of a DOE employee or contractor employee;
- (2) An explosion, fire, spread of radioactive material, personal injury or death, or damage to property that involves nuclear explosives under DOE jurisdiction;
- (3) Accidental release of pollutants that results from, or could result in, a significant effect on the public or environment; or
- (4) Accidental release of radioactive material above regulatory limits.

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

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

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

Reasonable suspicion means a suspicion based on an articulable belief that an individual uses illegal drugs or is under the influence of alcohol, drawn from reasonable inferences from particular facts, as detailed further in 10 CFR Part 707.

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

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

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

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

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

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

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

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

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

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

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