UCRL-MA-133867

ESH and manual

Environment, Safety, and Health

Volume V

Part 50: Personnel Training and Qualification

50.3
Personnel Security Assurance Program

(Formerly H&SM Supplement 1.15)

Recommended for approval by the ES&H Working Group

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New document or new requirements

Approval date: November 4, 1999
Editorial Update: April 1, 2001

Revision 0

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This work performed under the auspices of the U.S. Department of Energy by University of California Lawrence Livermore National Laboratory under Contract W-7405-ENG-48.

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Personnel Security Assurance Program*

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* **Minor revision**

Definitions

Personnel Security Assurance Program (PSAP)	A Department of Energy (DOE) program to ensure that the assignment and retention of individuals in PSAP positions is consistent with the requirements of national security. This program reduces risk to national security through the close evaluation, selection, and monitoring of individuals applying for and holding PSAP authorizations.
PSAP access authorization	An administrative determination by the DOE that a Q-cleared individual is eligible for access to, or control over, significant quantities of special nuclear material (SNM) or to guard or transport such quantities.
PSAP position	Positions that involve unescorted access to category I quantities of SNM, including the protection or transport of such materials. Other positions having the potential for causing unacceptable damage to national security may be designated by LLNL as PSAP positions, subject to approval by the DOE director of Safeguards and Security (DP-34) in accordance with 10 CFR 710, Subpart B, Section 710.55 (c). At LLNL, individuals authorized to have routine unescorted access to the Building 332 Materials Management Area are required to enroll in the PSAP. Individuals occupying PSAP positions are required to obtain and hold a DOE PSAP access authorization.
Security concern	The presence of information regarding an individual who is applying for or holds a PSAP position that may be considered derogatory information under the criteria contained in 10 CFR Part 710.8.

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Personnel Security Assurance Program

1.0 Introduction

U.S. Department of Energy (DOE) Order 472.1B, Personnel Security Activities, and 10 CFR 710, "Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Significant Quantities of Special Nuclear Materials" describe the management, medical, and security review process required for access authorization to a Personnel Security Assurance Program (PSAP) position and subsequent monitoring and reporting of security concerns by PSAP supervisors. Individuals who are certified under the Personnel Assurance Program (PAP), as described in Document 50.2, "Personnel Assurance Program," inthe *ES&H Manual*, may also perform PSAP duties. However, individuals having PSAP authorization may not perform PAP (nuclear explosive) duties. Normally, an individual will not be simultaneously enrolled in both the PAP and PSAP.

2.0 Objective

The objectives of the PSAP at LLNL are to (1) ensure all individuals occupying PSAP positions meet the highest standards of reliability, and (2) reduce to an acceptable level the potential threat posed by individuals in these positions whose judgment may be impaired by physical and/or emotional disorders, the use of controlled substances, or the use of alcohol habitually to excess.

3.0 Responsibilities

All workers and organizations shall refer to Document 2.1, "Laboratory and ES&H Policies, General Worker Responsibilities, and Integrated Safety Management" in the *ES&H Manual* for a list of general responsibilities. This section describes specific responsibilities of LLNL organizations and workers who have key safety roles.

3.1 Laboratory Director

The director of LLNL has assigned administrative responsibility for the PSAP to the Livermore site manager. The Livermore site manager has appointed the Laboratory assurance manager to serve as the PSAP management official, who is responsible for implementing the program and overseeing performance of the duties described in this document.

3.2 Managers

Managers of organizations having PSAP positions are responsible for ensuring candidates for PSAP authorization are advised of the nature and purpose of the PSAP and of their responsibilities under the program; documenting the individual's agreement to participate in the PSAP; and ensuring a DOE PSAP application form is initiated and appropriate acknowledgments, releases, and waivers are executed initially and annually thereafter to maintain each affected individual's PSAP authorization. After PSAP authorization, managers are responsible for the following:

- Designating supervisory personnel who, in turn, are responsible for observing PSAP individuals.
- Ensuring these supervisors receive the required PSAP supervisor training in recognizing security concerns and unusual conduct and making appropriate reports and referrals.
- Ensuring that PSAP-authorized individuals receive periodic reorientation on the PSAP.
- Reporting immediately to the PSAP management official any security concerns or permanent or temporary removal from PSAP duties of PSAP-authorized individuals.
- Temporary removal and reassignment of PSAP-authorized individuals to non-PSAP duties pending resolution of any physical restrictions or possible security concerns.
- Obtaining approval from the DOE Oakland Operations Office (DOE-OAK) prior to returning an individual to PSAP duties after removal due to a security concern.
- Ensuring PSAP-authorized individuals report in person to the Health Services Department and obtain a written recommendation regarding the individual's return to work following personal sick leave of 5 or more consecutive workdays before being allowed to return to normal duties.

3.3 Health Services Department

The Health Services Department head, acting as the site occupational medical director, is responsible for ensuring that PSAP medical assessments and reviews of PSAP-authorized individuals are performed as specified in 10 CFR 710.58. Examinations are required prior to initial PSAP access authorization, annually during the period of PSAP access authorization, and upon return to work following 5 or more consecutive workdays of personal sick leave. The Health Services Department shall either perform or provide technical oversight of contractors and services used for medical assessments

and tests. The Health Services Department is responsible for advising the PSAP coordinator of any security concerns discovered during the medical assessments and reviews performed pursuant to 10 CFR 710.58. The Health Services Department also designates a physician to serve as the medical review officer to review the results of drug tests performed as part of the PSAP determination.

3.4 PSAP Management Official

The PSAP management official is designated by Laboratory management to direct the PSAP program. The management official is authorized to certify for the Laboratory that an individual has completed the requirements for PSAP certification. The Management Official has overall management responsibility for directing the certification process and the drug-testing program.

Some duties of the PSAP management official may be delegated to the LLNL drug testing program manager or the PSAP coordinator.

3.5 Drug Testing Program Manager.

The drug testing program manager is responsible for staffing, training, equipping, and preparing procedures for the laboratory's capability for urine and breath testing for substances of abuse on a 24-hour, 7-day-a-week basis. The drug testing program manager ensures this testing, including selection algorithms, specimen analyses, record keeping, data collection and reporting, and privacy safeguards comply with federal codes and regulations.

3.6 PSAP Coordinator

The PSAP coordinator, reporting to the PSAP management official, is responsible for the PSAP access authorization process, administering the drug testing program and maintaining a consolidated record to substantiate this process. The PSAP coordinator maintains the official authorization list of individuals who have obtained PSAP access authorization and distributes the official authorization list to affected departments and divisions.

The PSAP coordinator is responsible for ensuring that nominees for initial PSAP authorization have satisfactorily completed a preassignment drug test and PSAP-authorized individuals are enrolled in a program to test for illegal drugs annually on an unannounced selection basis. The PSAP coordinator is responsible for administering the selection and notification process and monitoring the drug testing process to ensure those who are selected and available for drug testing complete the test. The PSAP coordinator is advised of pass/fail drug test results by the medical review officer and

shall report positive results to DOE. The PSAP coordinator is responsible for promptly advising DOE-OAK of security concerns and the removal by LLNL of a PSAP-authorized individual from PSAP duty.

4.0 Program Overview

The PSAP authorization process consists of a supervisory review, medical assessment, management evaluation, DOE personnel security review, and final PSAP-access authorization determination by DOE.

Payroll supervisors perform a review of information available in personnel files and recommend individuals for PSAP certification who are candidates for occupying or continuing to occupy a PSAP-identified position. The supervisor ensures the individual has received a full explanation of the requirements of the PSAP, initiates forms identified in this document, and sends the forms to the PSAP Coordinator.

The PSAP coordinator initiates reviews with the Health Services Department and requests an informal DOE-OAK review. After internal LLNL reviews and approvals, the PSAP coordinator processes a formal request for PSAP authorization or reauthorization to DOE-OAK and advises the department or division of the outcome.

PSAP-authorized individuals are subject to LLNL's alcohol and substance abuse policies. These policies provide supervisory behavioral observation, appropriate medical testing of employees if on-the-job impairment is detected, and medical evaluations in cases of deteriorating performance where substance abuse or mental or emotional problems may be involved. Security concerns, including those described above, that are observed by PSAP supervisors are reported as described in this document.

Individuals applying for PSAP-authorized positions will be subject to preassignment drug testing, and incumbents in PSAP positions will be enrolled in a program of unannounced drug testing.

Individuals seeking PSAP positions or who will be supervising someone in a PSAP position are informed of their respective PSAP program responsibilities, including the recognition and reporting of security concerns, during a mandatory PSAP briefing. Individuals occupying PSAP positions and their supervisors receive refresher briefings on selected topics on a periodic basis or when major changes are made to the program.

5.0 PSAP Authorization, Reassignment, and Termination Processes

5.1 Supervisory Review

Payroll supervisors of individuals applying for initial PSAP authorization or annual PSAP reauthorization must ensure a thorough review of relevant information is conducted that shall include

1. Verification of the applicant's employment record, a credit check, a local agency criminal records check for the locations of interest, and contact with listed references (if applicable)
2. A review of any LLNL attendance and leave records, performance appraisals, disciplinary actions, and any available LLNL records relating to reliability or motivation.

Prior to signing Section A of form DOE F 5631.35 to recommend an individual for PSAP authorization, supervisors must ensure the individual has been briefed on the nature and purpose of the PSAP and certify that, based upon a review of available information, the supervisor has no reason to believe that the individual may represent a security concern.

Whether processing an application for initial PSAP authorization or annual reauthorization, the nominating supervisor initiates the following three forms:

- DOE F 5631.35. U.S. Department of Energy Personnel Security Assurance Program (PSAP) Management, Medical, and Security Report.
- DOE F 5631.36, Acknowledgment 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.

After the PSAP supervisor has signed Section A of form DOE F 5631.35 and both the supervisor and the individual seeking initial or continued PSAP authorization have made appropriate entries and signed forms DOE F 5631.36 and 5631.37, the originals of all three forms are sent to the PSAP Coordinator. The individual's payroll directorate should retain file copies to substantiate the supervisory review.

5.2 DOE Security Assessment

Upon request by the PSAP coordinator, DOE-OAK Safeguards and Security performs an informal assessment of the candidate's suitability for PSAP authorization or reauthorization including verifying that a 7-year prehire or preassignment check has been performed. If DOE-OAK Safeguards and Security advises the PSAP coordinator that the individual is unsuitable, PSAP processing is discontinued and the payroll manager is notified.

If no disqualifying information is found by DOE-OAK in its informal assessment of the nominee's suitability, the PSAP coordinator is informally advised by DOE-OAK, and form DOE F 5631.35, is requesting a medical assessment from the Health Services Department, is distributed by the PSAP coordinator.

5.2.1 Medical Assessment

The Health Services medical director ensures PSAP medical assessments are performed. This assessment consists of a comprehensive physical examination to assess the physical, mental, emotional, and behavioral status of the individual. The physical examination includes an evaluation of the use of illegal drug or alcohol habitually to excess. When the medical assessment is completed, the medical director, or his/her designee, signs and dates Section B of form DOE F 5631.35 and forwards it to the PSAP coordinator. The Health Services Department maintains appropriate files to substantiate each part of this medical assessment.

Applicants for PSAP positions will be administered a preassignment drug test before final assignment. The evaluation of incumbents for drug abuse consists of unannounced testing of the individual, at a frequency not to exceed one year between tests, for the use of illegal drugs.

5.2.2 PSAP Coordinator File Review

The PSAP coordinator verifies that the nominee has completed the required PSAP orientation, submitted to DOE/OAK a Questionnaire for Sensitive Position or an annual update (including a completed Part II), passed a preassignment drug test or has met the unannounced drug testing requirement, and satisfactorily completed a medical assessment.

5.2.3 Management Assessment

Upon satisfactory completion of all required LLNL briefings, reviews and assessments (including the results of drug testing) the PSAP management official, or his/her designee, signs Section C of form DOE F 5631.35 and routes the form to DOE-OAK. The PSAP coordinator notifies the payroll manager involved when PSAP authorization is

received from the DOE-OAK approving official. The PSAP coordinator periodically distributes an official list of PSAP-authorized individuals to affected LLNL departments or divisions.

5.3 Temporary Reassignment

In the event that the Health Services Department becomes aware of a condition or circumstance that may affect the judgment or reliability of an individual in a PSAP position (see "security concerns" in Section 2.0) or other factors limiting the individual's ability to perform PSAP duties, the Health Services Department will notify the PSAP management official with a recommendation for temporary or permanent reassignment from PSAP duties. The reassignment will be consistent with the conditions that caused the reassignment. At a minimum, Protective Force individuals will be removed from access to the west portal of the Superblock. Other workers will be removed from access to the Materials Management Area of Building 332.

After consultation with the individual's supervisor, the PSAP management official will notify the DOE-OAK PSAP approving official of the decision and the reasons for such action. If the reasons for the restriction meet one or more of the criteria for a security concern, removal of these restrictions requires notification in writing from the Health Services medical director to the PSAP management official who in turn requests approval from the DOE-OAK PSAP approving official. If the reason for the restriction is not based upon a verified security concern, the DOE-OAK PSAP approving official will be notified by the PSAP management official after reinstatement to the PSAP position; DOE approval is not required.

5.4 Termination of PSAP Authorization

5.4.1 Conclusion of PSAP Assignment

When an individual is no longer assigned to a PSAP position, the payroll manager must notify the PSAP coordinator, who then notifies LLNL Safeguards and Security, the Health Services Department, and DOE-OAK so that the individual's name can be removed from the PSAP authorization list.

5.4.2 Review of Potentially Disqualifying Information

If potentially disqualifying information comes to the attention of the Health Services Department, LLNL Safeguards and Security, or the individual's division prior to processing a PSAP authorization or reauthorization request to DOE, the matter is referred to the PSAP management official. The PSAP management official convenes a panel consisting of the Health Services Department, LLNL Safeguards and Security,

Staff Relations, and the individual's payroll management. The panel reviews the facts in the case, using whatever resources are deemed necessary to resolve the matter, including interviewing the affected individual, and then determines whether to recommend PSAP authorization to DOE.

5.4.3 Removal From PSAP Assignment

If an individual is removed from PSAP duties "for cause" the DOE-OAK approving official will be notified immediately via telephone with a written follow-up. The PSAP management official or designee will implement the PSAP Immediate Removal Procedure to remove the individual from access and to prevent any return to a PSAP required work area unless approved by DOE.

5.5 Reporting of Medical Conditions and Sick Leave

LLNL employees assigned to a PSAP-designated position will:

1. Notify the LLNL Health Services Department upon returning to work or immediately upon receiving notification if at work of a physical or mental condition requiring medication or treatment, unless the employee has been advised by the prescribing licensed practitioner that the medication or treatment will not adversely affect the individual's ability to perform his or her safety or security-sensitive duties.
2. Notify supervision or the LLNL Health Services Department of any over-the-counter medication that the employee has reason to believe may result in unsafe working conditions for themselves or others or cause a security concern.
3. Report to the LLNL Health Services Department following a personal sick leave absence of 5 or more working days.

The Health Service Department will determine appropriate work restrictions including temporary reassignment from PSAP duties, if required, through the Laboratory's normal work restriction process. PSAP employees shall obtain their supervisor's approval of the return-to-work recommendation prior to resuming PSAP duties.

5.6 Recognition and Reporting of Security Concerns

PSAP-authorized individuals are subject to LLNL's policy guidelines on substance abuse, which are designed to identify those individuals whose judgment may be impaired by physical and/or emotional disorders, use of controlled substances, or use of alcohol habitually to excess.

PSAP supervisors are required to promptly report unusual conduct, possibly signifying a security concern, as described in 10 CFR 710.8, to the PSAP management official. PSAP supervisors are required to report any formal disciplinary action, i.e. action where a record is made of the action, to the PSAP management official. The PSAP Management Official or designee will promptly notify the DOE certifying official of the conduct or actions.

Supervisors are required to direct an employee to the Health Services Department for evaluation if one of these occurs:

- Behavior is observed that may pose an immediate threat to the health and safety of the employee or other employees, and there is cause to believe that substance abuse or an emotional disorder is a factor.
- The use or possession of illegal controlled substances or unauthorized use or possession of alcohol has been observed in the workplace.
- A work-related accident occurs where there is cause to believe the use of controlled substances or alcohol may have been a contributing factor.

6.0 Work Standards

6.1 Work Smart Standards

10 CFR 707, "Workplace Substance Abuse Programs at DOE Sites."

10 CFR 710, "Procedures for Determining Eligibility for Access to Classified Matter or Significant Quantities of Special Nuclear Materials."

6.2 Other Requirements

DOE O 472.1B, *Personnel Security Activities.*

7.0 Resources for More Information

7.1 Contacts

- Laboratory Assurance Office
- Health Services Department
- LLNL Personnel Security Division, Safeguards and Security Department