



## DoD INSTRUCTION 5210.42

# DoD NUCLEAR WEAPONS PERSONNEL RELIABILITY ASSURANCE

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<b>Originating Component:</b>	Office of the Under Secretary of Defense for Acquisition and Sustainment
<b>Effective:</b>	April 27, 2016
<b>Change 2 Effective:</b>	August 31, 2018
<b>Releasability:</b>	Cleared for public release. Available on the Directives Division Website at <a href="http://www.esd.whs.mil/DD/">http://www.esd.whs.mil/DD/</a> .
<b>Reissues and renames:</b>	DoD Instruction 5210.42, "Nuclear Weapons Personnel Reliability Program (PRP)," July 16, 2012
<b>Approved by:</b>	Frank Kendall, Under Secretary of Defense for Acquisition, Technology, and Logistics
<b>Change 2 Approved by:</b>	Karen Saunders, Chief of Staff

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**Purpose:** In accordance with the authority in DoD Directive (DoDD) 5134.01, this issuance establishes policy, assigns responsibilities, and provides direction for the management of individuals assigned to perform specified duties associated with U.S. nuclear weapons, nuclear command and control (NC2) systems, positive control material (PCM) and equipment, and special nuclear material (SNM) and subject to a nuclear weapons personnel reliability assurance program as directed in DoDD S-5210.81, DoDD 3150.02, and DoD Instruction (DoDI) O-5210.63.

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## **SECTION 1: GENERAL ISSUANCE INFORMATION**

**1.1. APPLICABILITY.** This issuance applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the “DoD Components”).

### **1.2. POLICY.**

a. In accordance with Presidential Policy Directive 35 and DoDD 3150.02, nuclear weapon systems require special consideration because of their political and military importance, their destructive power, and the potential consequences of an accident or unauthorized act. Assured nuclear weapons safety, security, and control remain of paramount importance. NC2 safety and security also remain of paramount importance as stated in DoDD S-5210.81.

b. Only those persons who demonstrate reliability will be certified to perform specified duties associated with U.S. nuclear weapons, NC2 systems, PCM and equipment, and SNM.

c. Only DoD military and civilian personnel will fill a U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty position unless the DoD Component head decides that contractor personnel are required for performance of these duties and that the contract services are essential in accordance with DoDI 1100.22.

**1.3. SUMMARY OF CHANGE 2.** This change reassigns the office of primary responsibility for this issuance to the Under Secretary of Defense for Acquisition and Sustainment in accordance with the July 13, 2018 Deputy Secretary of Defense Memorandum.

## **SECTION 2: RESPONSIBILITIES**

**2.1. ASSISTANT SECRETARY OF DEFENSE FOR NUCLEAR, CHEMICAL, AND BIOLOGICAL DEFENSE PROGRAMS (ASD(NCB)).** Under the authority, direction, and control of the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), the ASD(NCB):

- a. Develops nuclear weapons personnel reliability assurance policy, standards, and procedures; and provides management oversight of personnel reliability assurance.
- b. Reviews DoD Component nuclear weapons personnel reliability assurance implementation guidance for consistency and compliance with this issuance.
- c. Conducts programmatic reviews, manages audits, and directs research and analysis related to nuclear weapons personnel reliability assurance.
- d. Ensures the Defense Federal Acquisition Regulation Supplement provides for application of the requirements of this issuance to contracts for performance of duties associated with nuclear weapons.
- e. In accordance with DoDD 5205.16, advises DoD Components on the requirements of insider threat policies as related to nuclear weapons personnel reliability assurance.

**2.2. DIRECTOR, DEFENSE THREAT REDUCTION AGENCY (DTRA).** Under the authority, direction, and control of the USD(AT&L) and through the ASD(NCB), the Director, DTRA, conducts defense nuclear surety inspection oversight and nuclear personnel reliability assurance staff assessments for the Chairman of the Joint Chiefs of Staff.

**2.3. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)).** The USD(P&R) advises and consults on:

- a. Policies, standards, and procedures for all military, civilian, and contractor personnel actions related to nuclear weapons personnel reliability assurance.
- b. Federal civilian personnel management matters related to nuclear weapons personnel reliability assurance.
- c. Nuclear weapons personnel reliability assurance education and training materials.

**2.4. ASSISTANT SECRETARY OF DEFENSE FOR HEALTH AFFAIRS (ASD(HA)).** Under the authority, direction, and control of the USD(P&R), the ASD(HA) advises and consults on:

- a. Medical policies, standards, and procedures for evaluation of candidates and individuals subject to nuclear weapons personnel reliability assurance.
- b. Periodic and special reviews conducted by the Military Departments on the effectiveness of nuclear weapons personnel reliability assurance medical policies, standards, and procedures.
- c. Education and training materials for medical support to nuclear weapons personnel reliability assurance.

**2.5. ASSISTANT SECRETARY OF DEFENSE FOR MANPOWER AND RESERVE AFFAIRS (ASD(M&RA)).** Under the authority, direction, and control of the USD(P&R), the ASD(M&RA):

- a. Implements policies, conducts analyses, provides advice, and makes recommendations to the USD(P&R) and the Secretary of Defense on nuclear weapons personnel reliability assurance matters concerning the Reserve Components.
- b. Reviews and evaluates DoD programs that have application(s) for Reserve Component individuals subject to personnel reliability assurance.

**2.6. DOD COMPONENT HEADS INVOLVED WITH NUCLEAR COMMAND AND CONTROL SYSTEM (NCCS) OR SNM.** The DoD Component heads involved with NCCS or SNM:

- a. Recommend nuclear weapons personnel reliability assurance policy, standards, and procedure changes to the ASD(NCB).
- b. Develop policies, standards, and procedures for ensuring due process for individuals identified for disqualification or decertification, and for requalifying individuals who have been disqualified or decertified.
- c. Provide nuclear weapons personnel reliability assurance training to individuals who are certified in, or who administer, nuclear weapons personnel reliability assurance.
- d. Define contractor procedures for incorporation into contracts when the statement of work under the contract involves activities that are subject to nuclear weapons personnel reliability assurance.
- e. Conduct periodic and special reviews of the effectiveness of nuclear weapons personnel reliability assurance policies, standards, and procedures.

## **SECTION 3: STANDARDS**

### **3.1. KEY TENETS.**

a. Only certified personnel will be assigned to U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty positions. They will be formally designated in accordance with DoD Manual (DoDM) 5210.42 and will be restricted to the minimum number required to accomplish the mission.

b. Certification is based on informed decisions concerning an individual's reliability to perform U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duties as determined through comprehensive screening and continuing evaluation.

c. Disqualification or decertification of nuclear weapons personnel reliability assurance eligibility is neither a punitive measure nor the basis for disciplinary action. The failure of an individual to be qualified or certified for assignment to U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty does not necessarily reflect unfavorably on the individual's suitability for assignment to other, non-nuclear related duties.

d. Nuclear weapons personnel reliability assurance is a critical link in nuclear surety. Screening, personnel security investigations, and continuing evaluation are designed to mitigate risks and protect the nuclear deterrent from insider threats. As such, supporting agencies and supervisors must aid commanders and certifying officials in their initial and continuing evaluation duties by providing all relevant information on those trusted with U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty.

**3.2. ESSENTIAL ELEMENTS.** Commanders are responsible for ensuring that all military, civilian, and contractor personnel assigned to nuclear weapons personnel reliability assurance positions meet the qualifying criteria. Individuals must:

a. Be a U.S. citizen.

b. Have a security clearance, in accordance with DoDM 5200.02. All individuals assigned to nuclear personnel reliability assurance positions will be subject to a position appropriate periodic reinvestigation every 5 years.

c. Be fully qualified in the U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty position.

d. Have reliability verified by the certifying official in accordance with DoDM 5210.42 prior to assignment.

e. Be continuously evaluated.

(1) Certifying officials must observe the behavior and performance of individuals subject to nuclear weapons personnel reliability assurance on a frequent and consistent basis. The

primary consideration for certifying officials should be that the sum of all observations, including personal and peer observation and reporting, is sufficiently detailed to allow for thorough evaluation of the individual.

(2) For periods in which an individual subject to nuclear weapons personnel reliability assurance was not subject to continuing evaluation, the certifying official must ensure that the individual's reliability during these times continues to meet reliability assurance standards.

f. Have a medical evaluation in accordance with DoDM 5210.42. As part of the nuclear weapons personnel reliability assurance certification process, medical personnel will evaluate health history and records to determine the candidate's medical qualifications for U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty. When an individual's performance may be impaired by medical care or the use of prescribed medication or short-term stress, the certifying official will be notified to decide if the individual needs to be removed from these duties.

g. Have a personnel file review in accordance with DoDM 5210.42. The certifying official will take into account any personnel files, other official records, and information locally available on the behavior, conduct, and reliability of the individual.

h. Have a personal interview. The certifying official will personally interview the selected individual. This interview will not be conducted as part of a routine orientation briefing.

i. Meet the following qualifying criteria:

(1) Be dependable, mentally alert, and technically proficient commensurate with their respective U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty requirements.

(2) Be flexible in adjusting to changes in the working environment, including ability to work in adverse or emergency situations.

(3) Have good social adjustment, emotional stability, personal integrity, sound judgment, and allegiance to the United States.

(4) Have a positive attitude toward U.S. nuclear weapons, NC2 systems, PCM and equipment, and SNM duty.

**3.3. MANDATORY DISQUALIFICATION OR DECERTIFICATION.** Any of the following conditions will result in disqualification or decertification of the individual assigned to or being considered for U.S. nuclear weapons, NC2 systems, PCM and equipment or SNM duty positions:

a. An individual diagnosed with alcohol use disorder who subsequently fails to complete or fails to participate in the prescribed rehabilitation program or treatment regimen.

- b. An individual found to be involved in the unauthorized trafficking, cultivation, processing, manufacturing, or sale of any controlled or illegal drug, including cannabis-based products.
- c. An individual found to have ever used a drug that could cause flashbacks.
- d. An individual diagnosed with severe substance use disorder.
- e. Revocation of the individual's security clearance.
- f. Loss of confidence by the certifying official in the reliability of the individual.



## GLOSSARY

### G.1. ACRONYMS.

ASD(HA)	Assistant Secretary of Defense for Health Affairs
ASD(NCB)	Assistant Secretary of Defense for Nuclear, Chemical, and Biological Defense Programs
ASD(M&RA)	Assistant Secretary of Defense for Manpower and Reserve Affairs
DoDD	DoD directive
DoDI	DoD instruction
DoDM	DoD manual
DTRA	Defense Threat Reduction Agency
NC2	nuclear command and control
NCCS	Nuclear Command and Control System
PCM	positive control material
SNM	special nuclear material
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
USD(P&R)	Under Secretary of Defense for Personnel and Readiness

### G.2. DEFINITIONS.

**alcohol use disorder.** A problematic pattern of alcohol use leading to clinically significant impairment or distress, as defined by symptoms in the Diagnostic and Statistical Manual of Mental Disorders.

**certifying official.** DoD military or civilian official responsible for U.S. nuclear weapons, NC2 systems, PCM and equipment, and SNM operations having sufficient personal contact with all subordinate individuals subject to personnel reliability assurance to permit continual evaluation of their performance and assessment of their continued reliability. For DoD contractor personnel, the certifying official will be the DoD military or civilian official identified for that purpose in the contract.

**continuing evaluation.** The process by which a nuclear weapons personnel reliability assurance certified individual is observed for compliance with reliability standards. This is an ongoing process that considers duty performance, on- and off-duty behavior, and reliability on a continuing and frequent basis.

**decertified.** An action based on the receipt of adverse information leading to removal from nuclear weapons personnel reliability assurance of an individual who has been screened,

determined reliable, and certified capable of performing U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty.

**disqualification.** Before certification, an action taken based on the receipt of information to deny nuclear weapons personnel reliability assurance eligibility of an individual considered for, or in training leading to the assignment to, U.S. nuclear weapons, NC2 systems, PCM and equipment, or SNM duty.

**NCCS.** Defined in DoDD S-5210.81

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

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

**substance use disorder.** A problematic pattern of substance use leading to clinically significant impairment or distress, as defined by symptoms in the Diagnostic and Statistical Manual of Mental Disorders.

## **REFERENCES**

- American Psychiatric Association, “Diagnostic and Statistical Manual of Mental Disorders,” current edition
- Defense Federal Acquisition Regulation Supplement, current edition
- Deputy Secretary of Defense Memorandum, “Establishment of the Office of the Under Secretary of Defense for Research and Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment,” July 13, 2018
- DoD Directive 3150.02, “DoD Nuclear Weapons Surety Program,” April 24, 2013, as amended
- DoD Directive 5134.01, “Under Secretary of Defense for Acquisition, Technology, and Logistics,” December 9, 2005, as amended
- DoD Directive 5205.16, “The DoD Insider Threat Program,” September 30, 2014, as amended
- DoD Directive S-5210.81, “United States Nuclear Weapons Command and Control, Safety, and Security,” April 24, 2017
- DoD Instruction 1100.22, “Policies and Procedures for Determining Workforce Mix,” April 12, 2010
- DoD Instruction O-5210.63, “DoD Procedures for Security of Nuclear Reactors and Special Nuclear Materials (SNM),” November 21, 2006
- DoD Manual 5200.02, “Procedures for the DoD Personnel Security Program (PSP),” April 3, 2017
- DoD Manual 5210, 42, “Nuclear Weapons Personnel Reliability Program (PRP) Regulation,” January 13, 2015, as amended
- Presidential Policy Directive 35, “United States Nuclear Weapons Command and Control, Safety, and Security,” December 8, 2015
- United States Code, Title 42