



Department of Energy
National Nuclear Security Administration
Washington, DC 20585

June 4, 2004

The Honorable John T. Conway
Chairman
Defense Nuclear Facilities Safety Board
625 Indiana Avenue, NW.
Suite 700
Washington, D.C. 20004

Dear Mr. Chairman:

This letter responds to your request of December 8, 2003, regarding National Nuclear Security Administration (NNSA) Site Office Functions, Responsibilities and Authorities Manual (FRAM) and procedures, and safety-related Orders and standards, and supplemental directives. As committed in our letter of March 25, 2004, enclosed are all approved Site Office FRAMs and plans and schedules for revising site-specific supplemental directives and procedures except for those for the Los Alamos Site Office (LASO). Also enclosed are plans and schedules for revising NNSA Headquarters FRAM, safety-related Orders, standards and supplemental directives including those issued by former Albuquerque Operations Office.

The NNSA FRAM will be updated by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M 411.1C, issued in December 2003. The updated FRAM will include responsibilities and authorities for Software Quality Assurance, Nuclear Explosive Safety and Transportation Safety.

Los Alamos Site Office is currently updating its FRAM to incorporate recent management changes and is expected to submit it for my approval by August 13, 2004, along with the plans and schedules for revising site-specific supplemental directives and procedures. We will provide you the LASO submittal by October 15, 2004.

We believe the information contained in the enclosures are responsive to your request. We will provide you with additional information as we complete the major actions described in this package: (1) issuing the NNSA FRAM update (projected for October 15, 2004); (2) approving the LASO FRAM (projected for October 15, 2004); (3) providing recommendations on revisions to DOE Orders and Directives of interest to the Board (projected for October 15, 2004); (4) establishing dispositions on former Albuquerque



Operations Office directives (projected by December 3, 2004); and (5) approving updated Site Office FRAMS to be consistent with NNSA FRAM. The Site Offices will update their FRAMS within 90 days (projected by January 15, 2005) of the NNSA FRAM update.

If you have any questions, please contact me or have your staff contact Rabi Singh of my staff at (301) 903-5864.

Sincerely,



Everet H. Beckner
Deputy Administrator
for Defense Programs

Enclosures

cc w/enclosures:
M. Whitaker, DR-1

cc w/o enclosures:
L. Brooks, NA-1
T. Przybylek, NA-2

SEPARATION

PAGE

PLANS AND SCHEDULES FOR REVISING NNSA HEADQUARTERS FRAM, SAFETY-RELATED ORDERS, STANDARDS AND DIRECTIVES, AND SUPPLEMENTAL DIRECTIVES ISSUED BY FORMER OPERATIONS OFFICES

1. Background

In a letter of December 8, 2003, to NNSA Administrator, the Defense Nuclear Safety Board (DNFSB) acknowledged that NNSA had completed its HQs FRAM and had directed the Site Offices to develop their FRAMs by February 4, 2004. The letter went on to note that many Orders, Directives, Standards, Supplemental Directives and Site Office procedures have been issued to help ensure the safe operation of NNSA's defense nuclear facilities. Although some of these documents have been or are being revised, many others have not been modified to reflect current roles and responsibilities within NNSA.

The DNFSB requested NNSA to include a plan and schedule for reviewing, as necessary, Safety-Related Orders, Standards, Supplemental Directives and Site Office procedures when forwarding the Site Office FRAMS. In a letter of March 25, 2004, the Deputy Administrator for Defense Programs committed to provide the requested information by May 28, 2004.

2. Plans and Schedules

a. NNSA Headquarters FRAM.

The annual update of FRAM will be completed by October 15, 2004. The update will incorporate quality assurance and software quality assurance responsibilities and authorities to meet the requirements of Action 1.4.4 of the Quality Assurance Improvement Plan and Commitment 4.1.6 of the Implementation Plan for DNFSB Recommendation 2002-1. It will also incorporate all applicable responsibilities and authorities of DOE M 411.1C, Safety Management Functions, Responsibilities and Authorities Manual.

b. NNSA Headquarters Nuclear Explosive and Weapon Safety-Related Directives.

<u>Directive</u>	<u>Plan and Schedule</u>
DOE O 452.1C, Nuclear Explosive and Weapons Surety Program	In complex-wide review process (REVCOM). Projected issue date 09/04.
DOE O 452.2C, Safety of Nuclear Explosive Operations	Initial draft 05/04, REVCOM initiated 06/04, REVCOM closes 08/04. Projected issue date 10/04.
DOE STD-3015, Nuclear Explosive Safety Study Process	In complex-wide review process (REVCOM). Projected issue date 06/04.

QC-1, Rev. 10, Quality Criteria
DOE O 452.X, Management of the DOE
Nuclear Weapons Program and Nuclear
Weapons Complex

Issued March 5, 2004.
In complex-wide review process
(REVCOM). Projected issue date 09/04.

c. DOE Orders and Directives of interest to DNFSB.

The Orders and Directives, listed below, will be reviewed against the NNSA FRAM to identify any inconsistencies. Based on the results of the review, we will make recommendations by October 15, 2004, to the Offices of Primary Interest to make appropriate revisions to the Orders and Directives.

Orders of Interest to the Board

Current as of March 26, 2004

Group 1. Currently Active Orders

Order Number	Title
O151.1B	Comprehensive Emergency Management System
O225.1A	Accident Investigations
O231.1A	Environment, Safety, and Health Reporting
O251.1A	Directives System
O252.1	Technical Standards Program
O341.1	Federal Employee Health Services
O360.1B	Federal Employee Training
O413.3	Program and Project Management for the Acquisition of Capital Assets
O414.1A Chg 1	Quality Assurance
O420.1A	Facility Safety
O425.1C	Startup and Restart of Nuclear Facilities
O430.1B	Real Property Asset Management
O433.1	Maintenance Management Program for DOE Nuclear Facilities
O435.1 Chg 1	Radioactive Waste Management
O440.1A	Worker Protection Management for DOE Federal and Contractor Employees
O442.1A	Department of Energy Employee Concerns Program
O450.1	Environmental Protection Program
O451.1B Chg 1	National Environmental Policy Act Compliance Program
O452.1B	Nuclear Explosive and Weapon Surety Program
O452.2B	Safety of Nuclear Explosive Operations
O460.1B	Packaging and Transportation Safety
O460.2, Chg 1	Departmental Materials Transportation and Packaging Management
O461.1	Packaging and Transfer or Transportation of Materials of National Security Interest
O470.2B	Independent Oversight and Performance Assurance Program
O473.1	Physical Protection Program

O474.1A	Control and Accountability of Nuclear Materials
O541.1A	Appointment of Contracting Officers and Contracting Officer's Representatives
O5400.5, Chg 2	Radiation Protection of the Public and the Environment
O5480.4, Chg 4	Environment Protection, Safety, and Health Protection Standards
O5480.19, Chg 2	Conduct of Operations Requirements for DOE Facilities
O5480.20A, Chg 1	Personnel Selection, Qualification, Training and Staffing Requirements at DOE Reactor and Non-Reactor Nuclear Facilities
O5480.30, Chg 1	Nuclear Reactor Safety Design Criteria
O5530.1A	Accident Response Group
O5530.2	Nuclear Emergency Search Team
O5530.3, Chg 1	Radiological Assistance Program
O5530.4	Aerial Measuring System
O5600.1	Management of the Department of Energy Weapon Program and Weapon Complex
O5660.1B	Management of Nuclear Materials

Group 2. National Nuclear Security Administration Policy Letters

Order Number	Title
TBD	Documents will be added to this table once the NNSA Policy Letter system is established.

Group 3. Archived or Deleted Orders That May Be Cited in Current Contracts

Order Number	Title
O210.1	Performance Indicators and Analysis of Operations Information
O232.1A	Occurrence Reporting and Processing of Operational Information
O1300.2A	Department of Energy Technical Standards Program
O1360.2B	Unclassified Computer Security Program
O1540.2, Chg 1	Hazardous Material Packaging for Transport - Administrative Procedures
O1540.3A	Base Technology for Radioactive Material Transportation Packaging Systems
O3790.1B	Federal Employee Occupational Safety and Health Program
O4330.4B	Maintenance Management Program
O4700.1	Project Management System
O4700.4	Project Manager Certification
O5000.3B, Chg 1	Occurrence Reporting and Processing of Operations Information
O5400.1	General Environmental Protection Program
O5400.2A, Chg 1	Environmental Compliance Issue Coordination
O5400.3	Hazardous and Radioactive Mixed Waste Program
O5400.4	Comprehensive Environmental Response, Compensation, and Liability Act Requirements

O5480.21	Unreviewed Safety Questions
O5480.22, Chg 2	Technical Safety Requirements
O5480.23, Chg 1	Nuclear Safety Analysis reports
O5440.1E	National Environmental Policy Act Compliance Program
O5480.1B, Chg 5	Environmental, Safety and Health Program for DOE Facilities
O5480.3	Safety Requirements for the Packaging and Transportation of Hazardous Materials, Hazardous Substances, and Hazardous Wastes
O5480.5, Chg 2	Safety of Nuclear Facilities
O5480.6	Safety of Department of Energy-Owned Nuclear Reactors
O5480.7A	Fire Protection
O5480.8A, Chg 2	Contractor Occupational Medical Program
O5480.9A	Construction Safety and Health Program
O5480.10	Contractor Industrial Hygiene Program
O5480.11	Radiation Protection for Occupational Workers
O5480.15	Department of Energy Laboratory Accreditation Program for Personnel Dosimetry
O5480.17	Site Safety Representatives
O5480.18B	Nuclear Facility Training Accreditation Program
O5480.24	Nuclear Criticality Safety
O5480.25	Safety of Accelerator Facilities
O5480.26	Trending and Analysis of Operations Information Using Performance Indicators
O5480.28	Natural Phenomena Hazards Mitigation
O5480.29	Employee Concerns Management System
O5480.31	Startup and Restart of Nuclear Facilities
O5481.1B, Chg 1	Safety Analysis and Review System
O5482.1B, Chg 1	Environment, Safety, and Health Appraisal Program
O5483.1A	Occupational Safety and Health Program for DOE Contractor Employees at Government-Owned Contractor-Operated Facilities
O5484.1B	Environmental Protection, Safety and Health Protection Information Reporting Requirements
O5500.1B	Emergency Management System
O5500.2B, Chg 1	Emergency Categories, Classes, and Notification and Reporting Requirements
O5500.3A, Chg	Planning and Preparedness for Operational Emergencies
O5500.4A	Public Affairs Policy and Planning Requirements for Emergencies
O5500.7B	Emergency Operating Records Protection Program
O5500.10	Emergency Readiness Assurance Program
O5610.10	Nuclear Explosive and Weapon Safety Program
O5610.11	Nuclear Explosive Safety
O5610.12	Packaging and Offsite Transportation of Nuclear Components, and Special Assemblies Associated with the Nuclear Explosive and Weapon Safety Program
O5632.1C	Protection and Control of Safeguards and Security Interests
O5632.11	Physical Protection of Unclassified Irradiated Reactor Fuel in Transit
O5700.6C, Chg 1	Quality Assurance
O5820.2A	Radioactive Waste Management
O6430.1A	General Design Criteria

Group 4. Related Documents Setting Forth Safety-Related Requirements

Document Number	Title
SEN-35-91	Nuclear Safety Policy
M140.1-1B	Interface with the Defense Nuclear Facilities Safety Board
P141.2	Public Participation and Community Relations
G151.1-1 series	Emergency Management Guide Volumes 1 through 7
G200.1-1 series	Software Engineering Methodology Guide Chapters 1 through 10
G225.1A-1	Implementation Guide for Use with DOE Order 225.1 Accident Investigations
M231.1-1, Chg 2	Environment, Safety and Health Reporting Manual
G231.1-1	Occurrence Reporting and Performance Analysis Guide
M231.1-2	Occurrence Reporting and Processing of Operations Information
G231.1-2	Occurrence Reporting Causal Analysis Guide
P251.1	Directives System Policy
M251.1-1A	Directives System Manual
G252.1-1	Technical Standards Program Guide
G341.1-1	Guide on Federal Employee Occupational Medical Programs
G341.1-2	Guide on Federal Employee Assistance Programs
M360.1-1B	Federal Employee Training Manual
P410.1A	Promulgating Nuclear Safety Requirements
N411.1	Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities
P411.1	Safety Management Functions, Responsibilities, and Authorities Policy
M411.1-1C	Safety Management Functions, Responsibilities, and Authorities Manual
P413.1	Program and Project Management Policy for the Planning, Programming, Budgeting, and Acquisition of Capital Assets
M413.3-1	Project Management for the Acquisition of Capital Assets
G414.1-1A	Management Assessment and Independent Assessment Guide
G414.1-2	Quality Assurance Management System Guide for Use with 10 CFR 830.120 and DOE Order 414.1
G420.1-1	Nonreactor Nuclear safety Design Criteria and Explosive Safety Criteria Guide for Use with DOE Order 420.1 Facility Safety
G420.1-2	Guide for the Mitigation of Natural Phenomena Hazards for DOE Nuclear Facility and Non-Nuclear Facilities
G421.1-1 series	Criticality Safety Good Practices Program Guide for DOE Nonreactor Nuclear Facilities
G421.1-2	Implementation Guide for Use in Developing Documented Safety Analyses to Meet Subpart B of 10 CFR 830
G423.1-1	Implementation Guide for use in Developing Technical Safety Requirements
G424.1-1	Implementation Guide for use in Addressing Unreviewed Safety Question Requirements
P426.1	Federal Technical Capability Policy for Defense Nuclear Facilities

M426.1-1	Federal Technical Capability Manual
G426.1-1	Recruiting, Hiring, and Retaining High-Quality Technical Staff
P430.1	Land and Facility Use Planning
G430.1-2	Implementation Guide for Surveillance and Maintenance During Facility Transition Disposition
G430.1-3	Deactivation Implementation Guide
G430.1-4	Decommissioning Implementation Guide
G430.1-5	Transition Implementation Guide
G433.1-1	Nuclear Facility Maintenance Management Program Guide for Use with DOE Order 433.1
M435.1-1 Chg 1	Radioactive Waste Management Manual
G435.1-1 series	Implementation Guide for Use with DOE Manual 435.1-1 Chapters 1 through 4
M440.1-1	DOE Explosives Safety Manual
G440.1-1 series	Guides for Use with DOE Order 440.1 Volumes 1 through 7
P441.1	DOE Radiological Health and Safety Policy
G441.1-1 series	Guides for Use with 10 CFR 835 Volumes 1 through 13
G442.1-1	DOE Employee Concerns Program Guide
P450.1	Environment, Safety, and Health Policy for the Department of Energy Complex
G450.1-1 series	Implementation Guide for Use with DOE Order 450.1 Volumes 1, 4
P450.2A	Identifying, Implementing, and Complying with ES&H Requirements
P450.3	Authorizing Use of the Necessary and Sufficient Process for Standards-Based Environment, Safety and Health Management
M450.3-1	DOE Closure Process for Necessary and Sufficient Sets of Standards
G450.3-1 series	Documentation for Work Smart Standards Applications Volumes 1 through 3
P450.4	Safety Management System Policy
G450.4-1B series	Integrated Safety Management System Guide Volumes 1 through 2
P450.5	Line Environment, Safety and Health Oversight
P450.6	Secretarial Policy Statement on Environment, Safety, and Health
P454.1	Use of Institutional Controls
P455.1	Use of Risk-Based End States
G460.1-1 series	Implementation Guide for Use with DOE Order 460.1A, Packaging and Transportation Safety
G460.2-1	Implementation Guide for Use with DOE Order 460.2 Departmental Materials Transportation and Packaging Management
M460.2-1	Radioactive Material Transportation Practices Manual
M461.1-1	Packaging and Transfer of Materials of National Security Interest Manual
M474.1-1B	Manual for Control and Accountability of Nuclear Materials
M474.1-2A	Nuclear Materials Management and Safeguards System Reporting and Data Submission Manual
10 CFR 820	Procedural Rules for DOE Nuclear Activities
10 CFR 830, Subpart A	Quality Assurance Requirements
10 CFR 830, Subpart B	Nuclear Safety Management

10 CFR 835	Occupational Radiation Protection
48 CFR	Laws, Regulations, and DOE Directives
970.5204-2	
48 CFR	Conditional Payment of Fee, Profit, and other Incentives—Facility
970.5215-3	Management Contracts
48 CFR	Integration of Environment, Safety, and Health Into Work
970.5223-1	Planning and Execution
Various	DOE Handbooks and Technical Standards cited in Orders and related documents of interest to the Board as listed in the tables, above.

d. Supplemental Directives Issued by Former Operations Offices

The plans and schedules for dispositioning and/or revising former Oakland, Nevada, Oak Ridge and Savannah River supplemental directives are provided in the enclosures for Livermore, Nevada, Y-12 and Savannah River Site Offices. The plans and schedules for dispositioning former Albuquerque Operations Office supplemental directives are provided below in Section e.

e. Disposition of Former Albuquerque Operations Office (AL) Supplemental Directives, Manuals and Guides

Supplemental Directive, Manual, Guide	Site Office to Determine by July 30,2004								ADA for Program Integration (NA-13) Recommendations for Disposition by August 30, 2004	HQ/Site Office Disposition by December 3, 2004	Comments and Status
	If in Contract (Yes/No)				If in Use (Yes/No)						
	KCSO	LASO	PXSO	SSO	KCSO	LASO	PXSO	SSO			
AL M 140.1-1B (AIOrd, 12/01/2001) Interface with the Defense Nuclear Facilities Safety Board supplemental directive (SD) to DOE Manual 140.1-1B											
AL 2.QC (AIOrd, 02/22/1990) Quality Criteria Quality principles and criteria for research, design, development, and associated test activities within the nuclear weapons program											
AL 3790.1A (AIOrd, 01/05/1988) Federal Employee Occupational Safety and Health Program supplemental directive (SD) to DOE Order 3790.1A											
AL SD 414.1A (AIOrd, 06/27/2001) Corrective Action Tracking System Supplemental Directive (SD) to DOE Order 414.1A, QUALITY ASSURANCE (Attachment 2)											
AL 425.1A Rev 0 (AIOrd, 08/31/1999) Startup and Restart of AL ActivitiesThis SD replaces AL 425.1, Rev. 0, Startup and Restart of AL Facilities, dated April 1998. Supplemental Directive (SD) to DOE ORDER 425.1A											
AL 425.1B Rev 1 (AIOrd, 04/13/2001) Startup and Restart of AL Facilities/Activities Supplemental Directive (SD) to DOE O 425.1B											
AL 430.1 (AIOrd, 08/12/1996) Life-Cycle Asset Management Supplemental Directive (SD) to DOE Order 430.1, Life Cycle Asset Management (LCAM)											

e. Disposition of Former Albuquerque Operations Office (AL) Supplemental Directives, Manuals and Guides

Supplemental Directive, Manual, Guide	Site Office to Determine by July 30,2004								ADA for Program Integration (NA-13) Recommendations for Disposition by August 30, 2004	HQ/Site Office Disposition by December 3, 2004	Comments and Status
	If in Contract (Yes/No)				If in Use (Yes/No)						
	KCSO	LASO	PXSO	SSO	KCSO	LASO	PXSO	SSO			
AL G 442.1-1 (AIOrd, 03/16/1999) Employee Concerns Program Guide AL Guide for the Employee Concerns Program supplemental guide to DOE O 442.1											
AL 450.4-1A (AIOrd, 10/19/2000) Maintaining Approved Integrated Safety Management System Descriptions Supplemental Directive (SD) to DOE Policy 450.4, SAFETY MANAGEMENT SYSTEM POLICY											
AL 450.7 (AIOrd, 12/16/2001) The Safe Handling, Transferring, and Receiving of Etiologic Agents at Albuquerque Operations (AL) Contractor Facilities (AL Biosurety Program) Supplemental Directive (SD) establishes the Department of Energy (DOE)/National Nuclear Security Administration (NNSA)/Albuquerque Operations Office (AL) Biosurety Program and contractor requirements for the safe handling, transferring, and receiving of etiologic agents											
AL 452.1A (AIOrd, 05/10/1999) Nuclear Explosive and Weapon Surety Program Supplemental Directive (SD) includes clarifications, extra details, and additional requirements, in addition to those in DOE O 452.1A											

e. Disposition of Former Albuquerque Operations Office (AL) Supplemental Directives, Manuals and Guides

Supplemental Directive, Manual, Guide	Site Office to Determine by July 30,2004								ADA for Program Integration (NA-13) Recommendations for Disposition by August 30, 2004	HQ/Site Office Disposition by December 3, 2004	Comments and Status
	If in Contract (Yes/No)				If in Use (Yes/No)						
	KCSO	LASO	PXSO	SSO	KCSO	LASO	PXSO	SSO			
AL 452.1B (AIOrd, 11/01/2001) Nuclear Explosive and Weapon Surety Program establishes requirements and attendant roles and responsibilities applicable to the Department of Energy (DOE)/National Nuclear Security Administration (NNSA)/Albuquerque Operations Office (AL) activities necessary to implement DOE O 452.1B, Nuclear Explosive and Weapon Surety Program.											
AL 452.2A Chg 1 (AIOrd, 06/30/1999) Safety of Nuclear Explosive Operations Supplemental Directive (SD) includes clarifications, extra details, and additional requirements, in addition to those in DOE O 452.2A,											
AL 452.2B (AIOrd, 03/22/2002) Safety of Nuclear Explosive Operations Supplemental Directive (SD) establishes requirements and attendant roles and responsibilities applicable to the Department of Energy (DOE)/National Nuclear Security Administration (NNSA)/Albuquerque Operations Office (AL) activities necessary to implement DOE O 452.2B, Safety of Nuclear Explosive Operations.											
AL SD 452.4 (AIOrd, 06/28/2001) Control of Nuclear Explosives During Pantex Plant Operations Supplemental Directive (SD) provides additional requirements and attendant roles and responsibilities applicable to the Department of Energy (DOE)/National											

e. Disposition of Former Albuquerque Operations Office (AL) Supplemental Directives, Manuals and Guides

Supplemental Directive, Manual, Guide	Site Office to Determine by July 30,2004								ADA for Program Integration (NA-13) Recommendations for Disposition by August 30, 2004	HQ/Site Office Disposition by December 3, 2004	Comments and Status
	If in Contract (Yes/No)				If in Use (Yes/No)						
	KCSO	LASO	PXSO	SSO	KCSO	LASO	PXSO	SSO			
Nuclear Security Administration (NNSA)/Albuquerque Operations Office (AL) activities necessary to implement DOE Order 452.4. SD establishes the processes for designing use control (UC) measures into Pantex Plant nuclear explosive operations, and for conducting Deliberate Unauthorized Use (DUU) evaluations of Pantex Plant operations											
AL 5400.2A (AIOrd, 07/13/1993) Environmental Compliance Issue Coordination Supplemental Directive (SD) to DOE Order 5400.2A, ENVIRONMENTAL COMPLIANCE ISSUE COORDINATION											
AL 56XB Rev 1 (AIOrd, 02/01/1992) Nuclear Weapon Development and Production establish policies and procedures for the development, production, modification, repair, stockpile support and retirement disposal of nuclear weapons											Rev 2 issued on March 31,2004. Rev 3 and 4 including new chapters from AL SDs and will be issued within 120 days after O452.1C and O 452.2C are

e. Disposition of Former Albuquerque Operations Office (AL) Supplemental Directives, Manuals and Guides

Supplemental Directive, Manual, Guide	Site Office to Determine by July 30,2004								ADA for Program Integration (NA-13) Recommendations for Disposition by August 30, 2004	HQ/Site Office Disposition by December 3, 2004	Comments and Status
	If in Contract (Yes/No)				If in Use (Yes/No)						
	KCSO	LASO	PXSO	SSO	KCSO	LASO	PXSO	SSO			
AL 5610.12 (AIOrd, 08/17/1995) Packaging and Offsite Transportation of Nuclear Components, and Special Assemblies Associated with the Nuclear Explosive and Weapon Safety Program Supplemental Directive (SD) to the Department of Energy (DOE) Order 5610.12, PACKAGING AND OFFSITE TRANSPORTATION OF NUCLEAR COMPONENTS, AND SPECIAL ASSEMBLIES ASSOCIATED WITH THE NUCLEAR EXPLOSIVES AND WEAPON SAFETY PROGRAM											DOE O 461.1A Packaging and Transportation of Materials of National Nuclear Security Interest issued on April 26, 2004
AL 5610.13 (AIOrd, 09/23/1991) Joint Department of Energy/Department of Defense Nuclear Weapon System Safety, Security, and Control Activities Supplemental Directive to the DOE Order 5610.13, JOINT DEPARTMENT OF ENERGY/DEPARTMENT OF DEFENSE NUCLEAR WEAPON SYSTEM SAFETY, SECURITY, AND CONTROL ACTIVITIES											Expect to be replaced by NNSA Policy letter, NNSA Nuclear Weapon System Safety, Security and Control (S2C) interface with Department of Defense.
AL 5610.14 Chg 1 (AIOrd, 12/15/1994) Transportation Safeguards System Program Supplemental Directive (SD) to DOE Order 5610.14, TRANSPORTATION SAFEGUARDS SYSTEM (TSS) PROGRAM OPERATIONS											DOE O 461.1A Packaging and Transportation of Materials of National Nuclear Security Interest issued on April 26, 2004

e. Disposition of Former Albuquerque Operations Office (AL) Supplemental Directives, Manuals and Guides

Supplemental Directive, Manual, Guide	Site Office to Determine by July 30,2004								ADA for Program Integration (NA-13) Recommendations for Disposition by August 30, 2004	HQ/Site Office Disposition by December 3, 2004	Comments and Status
	If in Contract (Yes/No)				If in Use (Yes/No)						
	KCSO	LASO	PXSO	SSO	KCSO	LASO	PXSO	SSO			
AL 5650.2B Rev 2 (AIOrd, 07/05/1994) Identification of Classified Information Supplemental Directive (SD) implements and supplements DOE Order 5650.2B, IDENTIFICATION OF CLASSIFIED INFORMATION - procedures and responsibilities for managing the DOE programs to identify classified information, documents, or materials											
AL 57XB Rev 1 Chg 3 (AIOrd, 05/31/1994) Suspect Parts Plan Supplemental Directive (SD) describes the quality controls to be placed on General Operations Quality Assurance (QA) functions - to provide AL-wide guidance in an effort to eliminate and prevent introduction of counterfeit/suspect parts into AL's nonweapons equipment and facilities											

SEPARATION

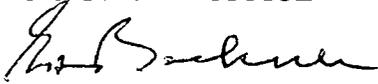
PAGE



Department of Energy
National Nuclear Security Administration
Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, KANSAS CITY SITE OFFICE

FROM: Everet H. Beckner 
Deputy Administrator
for Defense Programs

SUBJECT: **ACTION:** APPROVAL OF THE KANSAS CITY SITE
OFFICE (KCSO) FUNCTIONS, RESPONSIBILITIES AND
AUTHORITIES MANUAL (FRAM)

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached KCSO FRAM, dated March 24, 2004. Our review has determined that the KCSO FRAM covers all needed functions, responsibilities and authorities required by NNSA FRAM.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the Site Office FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the Site Office FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment:
L. Brooks, NA-1
T. Przybylek, NA-2

68037 0389



United States Government

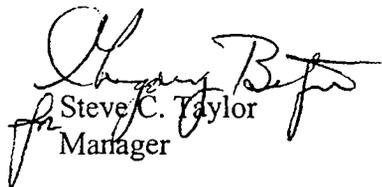
Department of Energy

memorandum

National Nuclear Security Administration
Kansas City Site Office
Kansas City, Missouri 64141-0202

DATE: MAR 25 2004
REPLY TO: KCSO:OSS (1060A2)
SUBJECT: **Kansas City Site Office (KCSO) Functions, Responsibilities, and Authorities Manual (FRAM) - Revision**
TO: Everet H. Beckner, Deputy Administrator for Defense Programs, NA-10, FORS, HQ

As requested in your November 4, 2003 memorandum, the KCSO developed a Quality Assurance Plan (QAP) for Safety Management Functions, Responsibilities, and Authorities in accordance with the National Nuclear Security Administration (NNSA) FRAM and DOE P 411.1, and submitted the initial QAP/FRAM for your approval February 3, 2004. Based on input from Rabindra Singh of your staff, the KCSO has revised the KCSO QAP/FRAM to include an Appendix that crosswalks NNSA FRAM requirements. The attached revised KCSO QAP/FRAM is submitted for your approval.


for Steve C. Taylor
Manager

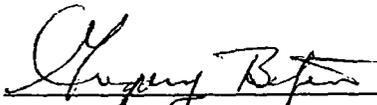
Attachment

03/25/04 11:05:59

**Kansas City Site Office
Quality Assurance Plan
For
Safety Management Functions,
Responsibilities, and Authorities, Level II**

The Kansas City Site Office (KCSO) Quality Assurance Plan documents how the Quality Plan for KCSO assigns the functions, responsibilities, and authorities for Safety Management for the federal responsibilities in regards to the primary mission of the Kansas City Plant (KCP). The KCSO Manager is responsible and accountable for ensuring the safety and security of operations at the KCP. Under an NNSA contract, the site contractor is charged with operating KCP in a safe and secure manner. The KCSO Manager and staff execute the National Nuclear Security Administration (NNSA) direction and guidance through this KCP Managing and Operating Contract. Specific responsibilities and authorities are detailed among each Assistant and Deputy Manager to enable effective execution of NNSA mission objectives.

KCSO manages through a quality assurance plan and associated procedures that constitute the business management system governing all federal site activities. This quality assurance plan ensures that safety management functions for KCSO are defined within the KCSO Quality Manual and that responsibilities and authorities for safety management are documented. This Quality Assurance Plan meets the requirements of a Level II Functions, Responsibilities, and Authorities Manual (FRAM) for KCSO. This plan is approved by the KCSO Manager with input and feedback from the KCSO staff.


for Steve C. Taylor, Manager
Kansas City Site Office

REVISION LOG

Revision Number	Affected Page(s)	Date	Reason for Revision
Revision #1	Appendix C	3-19-04	Added Crosswalk To NNSA FRAM

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1. INTRODUCTION

The Kansas City Site Office's (KCSO) mission as part of the NNSA national mission is to:

- Accomplish the National Security Mission.
- Comply with laws and regulations.
- Minimize risk to our associates, the public, and the environment.
- Protect National Nuclear Security Administration facilities and resources.
- Foster quality and continuous improvement
- Be customer oriented.

To accomplish this mission, the following nonexclusive list is an overview of some of KCSO's current activities:

- Maintenance of technical capability for nuclear weapons development and production;
- Construction and maintenance of all facilities in support of assigned programs;
- Effectively manufacture, and assess all electrical, mechanical, and plastic non-nuclear components in the nuclear stockpile while protecting people and the environment. Such efforts extend from program inception through weapon retirement.
- Build and renovate facilities that will enable KCP to improve its support of the nation's nuclear weapons stockpile and reduce operational costs and to improve program efficiency and environment, health, safety, and security.
- Other programs as assigned.

The KCSO Manager is ultimately responsible and accountable for ensuring the safety of operations for the Kansas City Plant. KCSO is committed to conducting work safely, securely, and efficiently and to the Secretary of Energy's goal of an Integrated Safety Management System (ISMS). The ISMS is defined in DOE Policies 450.4, *Safety Management System Policy*, DOE O 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, DOE O 450.5, *Line Environment, Safety and Health Oversight*, and NNSA FRAM, *Safety Management Functions, Responsibilities and Authorities Manual*. The KCSO has developed and maintains a Quality Manual that provides a high level description of processes and responsibilities of the Site Office based on the ISO 9001 format of quality management. This includes quality principles including continuous improvement, self assessment, and process documentation and control.

Department and contractor employees performing work for KCSO must comply with applicable federal, state, and local laws and regulations. KCSO flows down standards and requirements as direction to NNSA employees when these standards/requirements are necessary to ensure that the work will meet the NNSA's expectations and objectives. Specific responsibilities and authorities are listed within the KCSO Quality Manual. Appendix B is the current subset of roles and responsibilities for Safety Management. The Quality Manual, together with the guiding principles and core management functions established in DOE Policy 450.4, facilitates the integration of sound environment, safety, and health (ES&H) and selected administrative practices into day-to-day operations.

KCSO line management and oversight responsibilities are assigned by the KCSO Manager through the Assistant and Deputy Manager to the staff, with assistance as requested from the NNSA Service Center.

A description of KCSO's line management responsibilities and activities used to support those responsibilities is provided in the KCSO Quality Manual.

2. PURPOSE

The KCSO Quality Assurance Plan for Safety Management (QAP/FRA) documents the federal description of responsibilities in regards to the primary mission at the KCP. The KCSO Manager is responsible and accountable for ensuring the safety of operations at KCP. The KCSO Manager provides direction and guidance to the KCSO Contracting Officer who executes the requirements to the KCP contractor and subcontractor(s). Deputy and Assistant Manager are designated Contracting Officer Representatives (COR) for execution of directed work under the contract. Specific responsibilities and authorities are further detailed among KCSO staff to enable effective oversight of NNSA program direction. These delegations and designations of functions, responsibilities and authorities are controlled and maintained through the KCSO Quality Manual. The alignment of KCSO's organization ensures clear understanding of roles, efficient integration of knowledge and resources, and accountability for line management's responsibility for safety.

The NNSA FRAM *Safety Management Functions, Responsibilities, and Authorities Manual* (FRAM) succinctly defines NNSA expectations regarding organizational accountability for safety management. This NNSA FRAM requires:

- All NNSA operations must systematically integrate safety into management and work practices such that missions are accomplished while protecting the public, workers, and the environment. This Manual and complementary Site FRAMs are established to comply with the Secretary's direction concerning safety management responsibilities and authorities stated in DOE P 411.1 and DOE M 411.1-1B, *Safety Management Functions, Responsibilities and Authorities Manual* (DOE FRAM).
- NNSA managers assigned safety management functions, responsibilities and/or authorities in the NNSA FRAM shall develop "how" documents (i.e., implementing processes that define safety management functions to execute responsibilities and delegated authorities), as needed, for implementation of their specific safety management functions. The NNSA FRAM shall be maintained and updated as a living document to reflect organizational and/or functional changes that affect the NNSA FRAM.

KCSO personnel are committed to a set of common strategic goals and values that are traceable to, and in accordance with, the NNSA's commitment to the principles and functions of an Integrated Safety Management System (ISMS). KCSO goals and values are established at a corporate level and documented in the annual KCSO Operations Plan to accomplish NNSA/DOE's overall strategic goals, plans and objectives. The KCSO personnel develop an annual Performance Evaluation Plan that defines contractor performance expectations and measures to achieve mission goals and objectives. The plan contains specific actions and measures of success that are monitored and reported. Through this plan, KCSO has a formal system for recognizing and rewarding successful performance to meet the DOE's overall ISMS strategic goals, plans and objectives. KCSO management holds federal personnel accountable for achieving mission goals and objectives. A flow down of the performance requirements is captured in each individual's annual performance goals as reflected in the KCSO Operational Plan.

The purpose of this QAP is to ensure that all the requirements of the NNSA FRAM are defined within the KCSO Quality Manual as procedures. The KCSO QAP/FRA captures how ISMS is implemented per DOE Policies 411.1 and 450.4 for federal employees. The QAP/FRA addresses the seven guiding principles and five core safety management functions described in DOE Policy 450.4.

3. OBJECTIVES

- Document functions, responsibilities, and authorities for KCSO staff to comply with and adhere to ISMS functions while executing their work activities.
- Document safety delegations of authority from Headquarters (NNSA-HQ) organizations to KCSO management, where those delegations have been made separate from DOE Order responsibility statements.

4. SCOPE

This manual describes KCSO safety management functions, responsibilities and authorities and implementing mechanisms for performing the DOE's seven guiding principles and five core safety management functions. This QAP/FRA applies to all KCSO personnel who provide technical direction and oversight of the contractor's performance and execution of work at the KCP. This manual addresses safety management or planning, funding, performing, assessing, improving, and enforcing the requirements necessary to work safely, including the establishment of standards for which the KCSO Manager is responsible.

5. RESPONSIBILITIES

The KCSO Quality Manual documents the requirements, functions, responsibilities, and assignment for all KCSO activities. The information contained within the FRAM and Appendix 'B' represents a current subset of how the KCSO function, responsibilities, and authorities are managed and carried out by position for Safety Management.

a. KCSO Manager

(1) Directs the Deputy and Assistant Managers to comply with this document and support the maintenance of the KCSO Quality Manual and KCSO QAP/FRA.

(2) Approves the KCSO Quality Manual and CAP/FRA and changes.

b. Deputy Manager, and Assistant Managers, and KCSO staff

(1) Execute assigned management functions, responsibilities and authorities as defined by the KCSO Quality Manual and KCSO QAP/FRA and other documents (Program Plans, Position Descriptions, Process Descriptions, Work Instructions, etc.).

(2) Submit recommended changes to the KCSO Quality Manual and KCSO QAP/FRA to the KCSO Manager or designee.

c. NNSA and Honeywell FM&T Integrated Safety Management System Relationship

At the KCP, the core safety management functions address the primary missions and general operations. The primary missions include production, disassembly and evaluation of non-nuclear components for nuclear weapons. A secondary mission includes support to work of other DOE and NNSA organizations including laboratories, the Office of Secure Transportation (OST), and other federal agencies.

Consistent with the prime contract, tasks are developed annually that are administered through Work Authorizations (WAs). The WAs define the scope of work to be performed for each task. The WAs reflect workload requirements that are derived from the issuance of other documents such as the Program Control Document and Planning and Program Direction Document that define the workload for nuclear weapons components.

Site hazards at KCP are typical of those found in general industry, therefore industrial standards (regulatory and consensus) form the core safety requirements at KCP. Additional facility and activity specific safety standards and requirements are identified through the hazard analysis process (e.g., job safety hazard analysis). Controls are then derived based on the facility and activity specific safety standards and requirements and the site-level standards and requirements (see Figure 1). Once controls are established and confirmed and operations authorized, work begins. The work is then periodically evaluated and feedback is provided to further continuous improvement in the safety of operations at KCP.

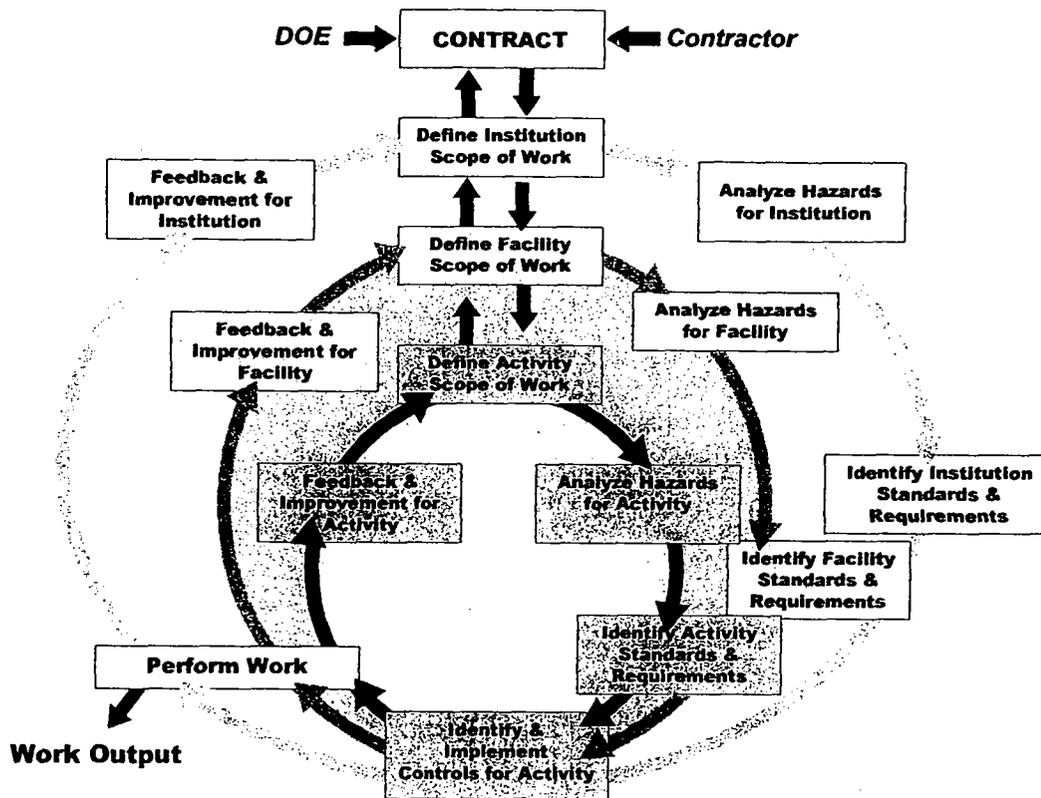


Figure 1
NNSA/Contractor ISM Relationship

e. KCSO Organization Description

KCSO Manager

The KCSO Manager provides primary leadership and direction to the operating contractor in the administration of the management and operating (M&O) contract with Honeywell Federal Manufacturing and Technologies; directs the evaluation of the M&O contractor performance; provides leadership, supervision, planning, direction and coaching to KCSO staff; serves on NNSA Headquarters corporate boards/councils; and, serves as the DOE/NNSA representative for all matters concerning the operations of the Kansas City Plant.

Direct reports include the:

- Deputy Manager;
- Counsel;
- Assistant Manager, Office of Production and Project Management;
- Assistant Manager, Office of Quality Assurance; and,
- Assistant Manager, Office of Safety and Security.

Each Deputy and Assistant Manager directs and manages functional areas as assigned by the KCSO Manager to execute work at the Kansas City Plant, and satellite operations in New

Mexico and Fort Chaffee, Arkansas. The Assistant Managers direct and manage scientists, engineers or administrative personnel who may be organized into staffs, teams, or individuals to provide oversight of functional areas as assigned.

Deputy Manager

The Deputy Manager is responsible for integration of operational, programmatic, and technical activities and provides support to the KCSO Manager on all matters related to Kansas City Plant activities, including crosscutting KCSO activities such as strategic planning and leadership improvement initiatives. The Deputy Manager directs the Business Management Group. This group provides on-site contract administration through a contracting officer and is responsible for the negotiation and determination of the annual KCP contractor performance evaluation plans, the fee process, procurement and contracts, contractor industrial relations, KCSO administrative functions, KCP public affairs, Federal training and serves as the primary interface with KCSO employees regarding Federal employment.

Counsel

The KCSO counsel provides legal advice and staff work to the KCSO Manager in all areas of law and legal policy arising from the operation of the KCP. Specific areas include: oversight of the M&O contractor's legal program and litigation; M&O contract matters; ES&H compliance matters; technology transfer program issues; litigation oversight; and, other issues as requested by NNSA General Counsel. The counsel interfaces with KCSO management and staff, HQ and Service Center staff, NNSA General Counsel, Department of Justice, Honeywell FM&T Staff; and, federal, state, and local government representatives.

Contracting Officer

The KCSO Contracting Officer is the principal contracting advisor to the KCSO Manager. Duties include administering the prime contract between the DOE/NNSA and Honeywell Federal Manufacturing and Technologies (Honeywell FM&T), negotiating and issuing contract modifications there to such as fee and scope, changes to clauses, funding modifications, work authorizations and reimbursement authorizations. All direction to the contractor flows exclusively through the KCSO Contracting Officer and Contracting Officer Representatives.

Contracting Officer Representatives

KCSO Contracting Officer representatives (CORs) are KCSO staff, appointed in writing by the KCSO Contracting Officer, with responsibilities to provide on-site, day-to-day contract administration. CORs serve as the primary liaison between the KCSO Contracting Officer and Honeywell FM&T Honeywell FM&T and provide clarification and direction as specified in the prime contract. CORs ensure that the terms and conditions of the prime contracted are carried out.

Assistant Manager, Office of Production and Project Management

The Assistant Manager, Office of Production and Project Management (OPPM) directs the

programs for Directed Stockpile Work (DSW), Campaign Management, Required Technical Base and Facilities (RTBF), Construction Management, and Reimbursables Programs.

The DSW and Campaign Management Team monitors and reports weapon program status. The RTBF and Construction Management Team manages facilities and life cycle assets. The team also serves as the federal project management function for KCP construction projects. They interface with NNSA, General Services Administration, and other adjacent landowners. The Reimbursable Programs Team provides programmatic direction as well as cooperative research and development agreements, Fund-In agreements, Work for Others, and Russian Nonproliferation activities. The team also provides programmatic guidance for the Office of Secure Transportation program at Kansas City and Kirtland AFB.

Assistant Manager, Office of Quality Assurance

The Assistant Manager, Office of Quality Assurance performs the DOE Weapons Quality Assurance Agency function in accordance with QC-1 (DOE/AL, Quality Criteria), and provides technical expertise to support the Office of Safety and Security in administering the KCP Price Anderson Amendment Act (PAAA) Program. The Office of Quality Assurance is also responsible for maintaining the KCSO QA Program. The Office is divided into two teams. The Engineering Team provides engineering support and system/plant-wide surveys of Honeywell FM&T. The Product Acceptance Team provides hands-on product testing and process-based surveys of Honeywell FM&T.

Assistant Manager, Office of Safety and Security

The Assistant Manager, Office of Safety and Security provides oversight through the ES&H Program, and the Security and Information Systems Program. The environment element of the ES&H Programs ensures ongoing facility compliance with federal, state and local environmental laws, rules and regulations. The safety element primarily focuses on the contractor's effective and efficient compliance with the federal safety and health requirements contained in Title 29 of the Code of Federal Regulations; various DOE/NNSA Orders, Manuals, Guides and Policies; applicable state laws, rules, and regulations; and applicable industrial codes and standards. The industrial health element includes both industrial hygiene and occupational medicine. The Security and Information Systems Program provides day-to-day oversight of the safeguards and security program for the KCP. Includes are all aspects of physical security, property protection, classified material control, transportation security, information security, pro-force oversight, vulnerability assessments special access programs, and information management.

The Office of Safety and Security also provides day-to-day oversight of health physics, radiological protection, industrial hygiene and occupational medicine, industrial safety, transportation safety, firearm safety, emergency preparedness, chemical safety, fire protection, NEPA, environmental programs, and incident/occurrence reporting.

6. DELEGATION OF AUTHORITY

The KCSO receives its authority from assignments contained in NNSA FRAM, DOE's FRAM (DOE M 411.1-1B), DOE directives (i.e., Policies, Orders, Notices, and Manuals), NNSA Policy Letters, Department of Energy Acquisition Regulations (DEAR), and Title 10 of the Code of Federal Regulations (CFR). The KCSO Deputy and Assistant Managers and staff receive authority from assignments contained in the KCSO Quality Manual and QAP/FRA, KCSO procedures, and other documents that are written to implement/supplement DOE directives.

All delegations of authority are provided to the designee in writing. The delegation establishes a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances, under which the authority may be exercised, including any restrictions or prohibitions related to further delegation. The KCSO Quality Manual and KCSO Process Descriptions are an approved method for documenting delegations of authority.

7. OVERVIEW OF LINE MANAGEMENT INTERFACES

The KCSO Contracting Officer along with the Deputy and Assistant Managers ensure that the Prime Contract is administratively executed. The execution of the Contract must be consistent with the NNSA program direction as provided by the Head of Contracting Authority and/or the Contracting Officer (CO). The KCSO Manager must ensure that the KCSO provides sufficient direction and communication to Honeywell FM&T that promotes seamless DOE/NNSA direction and guidance and that KCSO personnel perform direct oversight of Honeywell FM&T through on-site monitoring and surveillance.

The KCSO staff and support organizations interface routinely on work related matters. Memoranda of Agreement with support organizations are sometimes developed to ensure there is a clear understanding of the nature and degree of support required and how and when that support is to be provided. The KCSO staff also communicates informally with their DOE/NNSA counterparts. Although major items, such as budgets, project execution plans, and review of directives, are formally transmitted, much of the day-to-day communication is informal.

The Head of Contracting Authority is presently assigned to the Deputy Director, Office of Procurement and Assistance Management, NNSA. This authority and responsibility was assigned from the Administrator, NNSA, on September 25, 2002. KCSO Contracting Officers are assigned to the Office of the Manager. The contracting officers are the principal advisors to the KCSO Manager on matters pertaining to the contract administration. Duties include administering the prime contract between DOE/NNSA and Honeywell FM&T, negotiating and issuing contract modifications, work authorizations and reimbursement authorizations.

The Contracting Officer appoints CORs and officially delegates certain actions to these appointees. A COR is an individual, designated by the Contracting Officer, to act as an

authorized representative for such functions as technical monitoring, inspection, and other functions of a more technical nature not involving a change in the scope, cost, terms or conditions of the contract. Each COR is allotted responsibilities detailed in the KCSO Quality Manual. CORs are designated by name and not position. The boundaries of designations are addressed in each COR delegation letter. The work performed by Honeywell FM&T in compliance with the terms of the Contract shall be subject to performance direction from the CORs as follows:

- (1) Directions to Honeywell FM&T which redirect the contract effort, shift work emphasis within work an area or a WA, require pursuit of certain lines of inquiry, fill in details or otherwise serve to accomplish the Statement of Work (SOW).
- (2) Provision of written information to Honeywell FM&T that assists in the interpretation of drawings, specification or technical portions of the work description.
- (3) Review and, where required by the contract, approval of technical reports, drawings, specifications and technical information to be delivered by the Honeywell FM&T to the Government under the contract.
- (4) Monitoring compliance with applicable environmental, safety, health and security requirements.

The execution of these contractual responsibilities and authorities, as described above, fulfills KCSO Line Management direction.

8. OTHER AGENCY INTERFACES

HQ's/NNSA mission organizations issue program direction to the KCSO. KCSO personnel are the on-site DOE/NNSA representatives and provide day-to-day management of site resources to achieve the mission using this program direction.

Headquarters - Defense Program (NA-10) provides oversight and guidance to the Site office on mission requirements. NA-124 works with the Site offices to achieve a mutual understanding of work and workload resource allocations the KCP.

The KCSO/NNSA Service Center (SC) Service Level Agreements document the arrangement between SC and the KCSO by which SC and the KCSO shall provide mutual support to one another. This arrangement reflects the mutual dependencies that currently exist between KCSO and SC organizations and leverages for skilled personnel resources to best suit each organization. The agreements address financial management, directives management, administrative services, legal services, public affairs, partnerships, contract administration, and program development, safeguards and security, environmental, safety, health, quality, and emergency management; environmental management, assets utilization, uranium and engineering services, diversity programs, and employee concerns. Other Site Offices are contacted to assist the KCSO in meeting mission requirements. These Site Offices can support product builds and other interfaces (e.g., incoming reports on

damaged material) necessary to gain support of KCP program direction execution. The Service Level Agreement is a living document and will be reviewed for revisions at least annually.

Laboratories (e.g., Los Alamos, Lawrence Livermore, Sandia) are contacted to provide assistance in assessing the adequacy of assembly or disassembly operations on nuclear weapons components or the proper handling of nuclear weapon components (e.g., defects, etc.).

Other agencies such as the State of Missouri and the EPA provide oversight of environmental compliance with approved permits.

9. REQUIREMENTS

a. KCSO QAP/FRA

KCSO Manager, Deputy, Assistant Managers execute functions, responsibilities and authorities as described in KCSO Quality Manual, KCSO QAP/FRA, and KCSO procedures.

b. KCSO QAP/FRA Changes/Records

This QAP/FRA is referenced as a requirement within the KCSO Quality Manual. The Deputy and Assistant Managers will be responsible for changes and biannual updates in accordance with this section. Documentation of changes and reissues will be maintained.

- (1) Any KCSO staff members may request a change to the KCSO QAP/FRA.
- (2) The change to the KCSO QAP/FRA must be justified and this justification can be provided to the KCSO Manager or designee.
- (3) The change request must reflect impacts to the KCSO Quality Plan and KCSO QAP/FRA.
- (4) All changes must be approved by the KCSO Manager. Approved change requests will be maintained as official records.

c. Directives/Standards Change Control

The operating requirements directives process is applicable to all offices of the KCSO. The office of primary interest is the KCSO Assistant Manager who has responsibility for the subject directive. The KCSO functional manager is the employee who resides in the designated office of primary interest and owns the subject directive. The KCSO directives manager administers the directives program. The DOE review and comment system (REVCOM) is used to comment on draft directives. DOE Headquarters administers the electronic system which is used to solicit and consolidate comments of draft directives.

DOE orders and directives applicable to KCP are documented through the electronic operating requirement database maintained on the KCP command media. The prime contract between DOE/NNSA and Honeywell FM&T requires the contractor to comply with a set of "operating requirements" including all laws, regulations, DOE directives and best-in-class commercial standards as applicable to M&O contractors. The KCSO has segmented directives responsibility to site office functional managers who own and are responsible for directives in their functional area. KCSO functional managers ensure the accuracy and currency of the directives requirements relevant to their functional area.

Requirements are added to, or deleted, through written direction of a KCSO contracting officer. Requests for changes to the operating requirements database originate through official implementation instructions, a request by a KCSO functional manager or through a Honeywell FM&T request for consideration. All requests for changes are reviewed by KCSO functional managers and ultimately signed by a KCSO contracting officer.

DOE and NNSA requirements that are applicable to KCSO are maintained in the KCSO Quality Plan. Formal process for changing requirements is maintained.

d. Guiding Principles for Integrated Safety Management (ISM)

The ISMS guiding principles for DOE are identified and their relationships to KCSO Office operations are discussed in the chart below.

<u>Integrated Safety Management Guiding Principles</u>	<u>Kansas City Site Office</u>
<p>a. <u>Line Management Responsibility for Safety</u></p>	<p>Essential Safety Management functions are assigned</p> <p>Contract requires Honeywell FM&T to define essential management functions</p> <p>Issue Stop Work order when Honeywell FM&T fails to resolve noncompliance with environmental, safety, and health requirements or fails to act to prevent substantial harm or imminent danger to the environment or health and safety of employees or the public</p> <p>Comply with safety standards and requirements and legal and contractual requirements for assigned functional areas providing assurance that workers, the public, and the environment are protected</p>
<p>b. <u>Clear Roles and Responsibilities</u></p>	<p>Management and Safety Responsibilities for Approving the M&O Contractors ISMS and Other Binding Agreements that Implement ISM are Delineated</p> <p>Functions, Responsibilities, and Authorities are Assigned in the KCSO QAP and summarized in the KCSO FRAM in the Responsibilities section</p> <p>Relationships and Responsibilities for NNSA line, support, oversight, and enforcement organizations are discussed in the Overview of KCSO Line Management Interfaces and Other Agency Interfaces sections and are identified in the Responsibilities Section .</p> <p>Coordination of Line Management direction from multiple Program Offices is addressed in the Other Agency Interfaces section</p>
<p>c. <u>Competence Commensurate with Responsibilities</u></p>	<p>A Qualification and Training Program is maintained to ensure KCSO personnel are qualified to carry out their assigned responsibilities</p> <p>Qualification Standards and Qualification Cards have been established by position for KCSO personnel to guide and document qualifications, where required</p>
<p>d. <u>Balanced Priorities</u></p>	<p>Mission-to-Work Objectives and Funding Priorities are established based upon NNSA program direction</p> <p>The KCSO Operational Plan defines the KCSO goals and objectives, consistent with the DOE and NNSA Strategic Plans, and within the resources allocated</p> <p>Performance Expectations are communicated through the Performance Evaluation Plan. Specific CPAF/PBI Agreements are Negotiated in the Performance Evaluation Plan and performance is evaluated annually</p> <p>Environment, Safety and Health activities are integrated into work planning and execution as discussed in the Core Functions, Responsibilities and Authorities section</p> <p>Work is prioritized to ensure that mission and safety expectations for the site are met within available budget and resources</p>
<p>e. <u>Identification of Safety Standards and Requirements, and Hazard Controls Tailored to Work Being Performed</u></p>	<p>Standards are applied to work in a defined process and tailored to KCP hazards</p> <p>Standards are formally assigned to the contract by KCSO program manager and contracting officer</p>

f. Operations Authorization

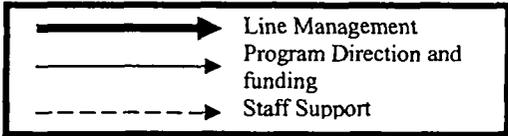
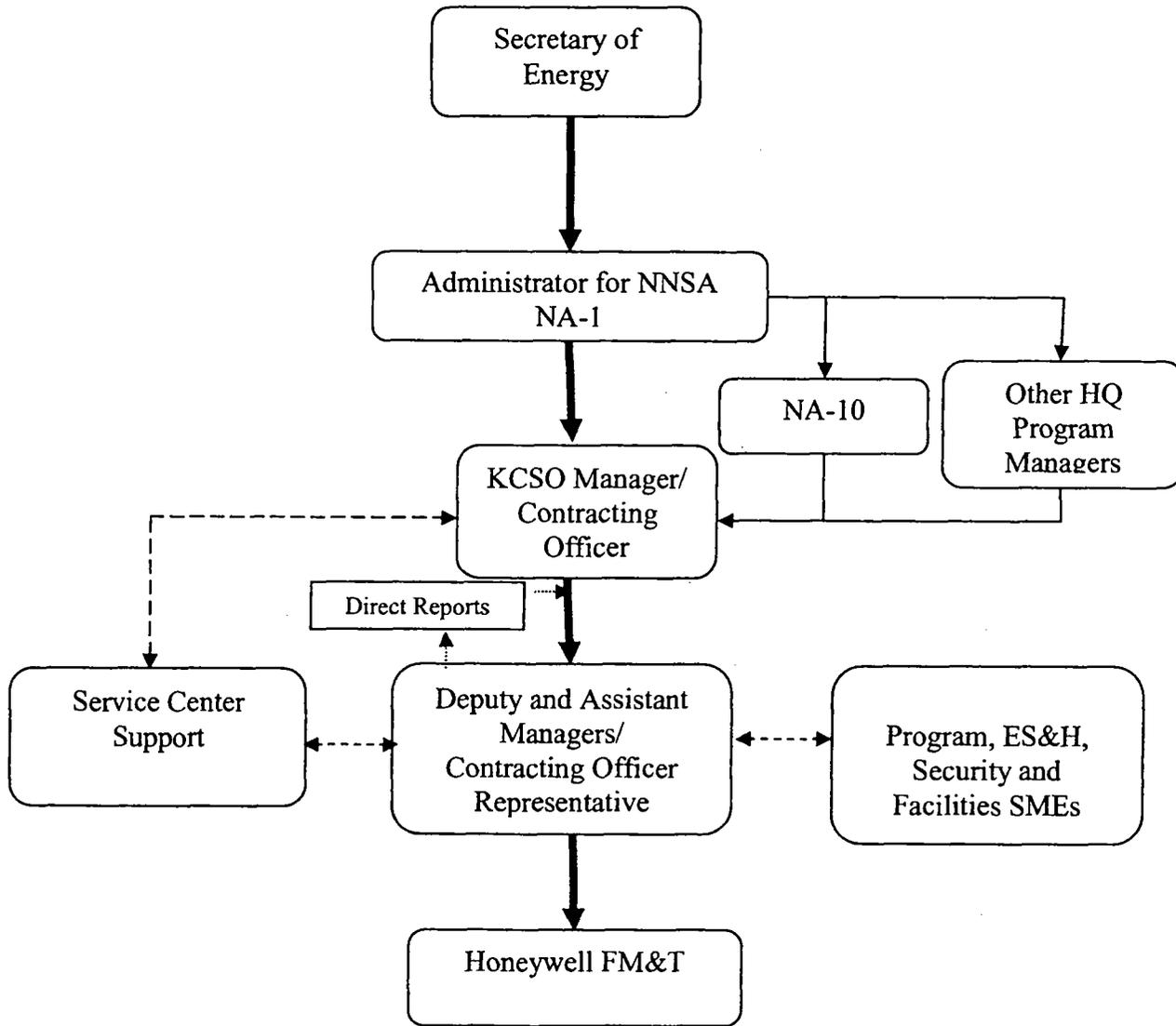
An ES&H Management Plan which includes Thresholds for Authorization is reviewed and approved by KCSO

Operations are monitored by KCSO Line Management Oversight that involves system approvals, formal assessments, For Cause Reviews, and Operational Awareness

Establish Processes and process metrics are established based on risk and monitored by KCSO Staff through the Contractor Assurance System (CAS)

Appendix A

Kansas City Site Office Flow of Responsibilities and Authorities



Appendix B
KCSO Roles and Responsibilities for Safety Management

Assigned Duty	Responsible Office	Responsible Official	Implementing Procedure
Federal Technical Capabilities Program	OOM	Administrative Officer	AL Technical Qualification Program Plan 02-01 KCSO PD Process for Training and Qualification
Federal Technical Capabilities Agent	OSS	AAM, OSS	NNSA Technical Qualification Program Plan
Kansas City Plant Budget	OPPM	Financial & Budget Specialist	06-01 KCSO PD Budget Oversight Process
Kansas City Site Office Budget	OOM	Budget Analysis	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans 06-01 KCSO PD Budget Oversight
Contractor Training Program	OOM	Administrative Officer	Operational Awareness section of KCSO Line Management Oversight Plan
Mission Work Plans	OPPM	AAM, OPPM	08-01 KCSO PD Execution Plan for DSW and Campaigns 08-02 KCSO PD Campaigns Process
Security Work Plans	OSS	Security Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans 10-01 KCSO PD Security Plans
Directives Review	OOM	Contract Specialist	03-03 KCSO PD Directive Process, 01-02 KCSO PD Process for Reviewing Draft NNSA Policies, Requirements, and Orders
Contract Management	OOM	Contracting Officer	03-02 KCSO PD Contract Modification Process
Contractor Performance Award Fee	OOM	Contracting Specialist	03-31 KCSO PD Performance Evaluation Plan 03-33 KCSO PD Award Fee Performance Evaluation Report Process 03-32 KCSO PD Incentive Validation Process
Review of Integrated Safety Management System	OSS	ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans
Functions, Responsibilities, and Authority Manual (FRAM)	OSS	AAM, OSS	KCSO QAP Section XI
Line Oversight and Contractor Assurance System	OSS	AAM, OSS	Operational Awareness section of KCSO Line Management Oversight Plan
KCSO Assessment	OQA	Quality Eng. Program Manager	03-34 KCSO PD Assessment & Survey (QAS) of Contractor Activities Process
KCSO Operational Awareness	OSS	Emergency Operational Manager	Operational Awareness section of KCSO Line Management Oversight Plan
KCSO Operational Plan	OOM	Administrative Officer	04-01 KCSO PD Operational Planning Process
Emergency Preparedness	OSS	Emergency Operations Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans
Price-Anderson Amendment Act	OSS	ES&H Program Manager	Operational Awareness section of KCSO Line Management Oversight Plan
Radiation Protection Plan Review and Approval	OSS	Industrial Health Manager	08-10 KCSO PD Approval of Contractor

			Systems, Submissions, and Plans
Federal Occupational Safety and Health Program	OSS	Industrial Health Manager	KCSO Worker Protection Management Plan
Facilities Oversight and Startup	OPPM	RTBF & Construction Program Manager	FM&T 22.01.01.01.02 How To Perform and Approve a Prestart Review
Contractor's Quality Assurance Plan Review and Approval	OQA	AAM, OQA	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans
Contractor's Corrective Action System	OQA	Quality Eng. Program Manager	03-14 KCSO PD Process for Contractor Corrective Action Approval and Validation
Lessons Learned	OSS	Emergency Operations Manager	Operational Awareness section of KCSO Line Management Oversight Plan
Occurrence Reporting	OSS	Emergency Operations Manager	KCSO Procedure OSS-002-001 Daily Operations and Events Reporting
ES&H Oversight	OSS	AAM, OSS	03-34 KCSO PD Assessment & Survey (QAS) of Contractor Activities Process 03-34-04 KCSO WI OSS Oversight
KCSO Policy	OOM	KCSO Manager	01-03 KCSO PD Development of KCSO Policy
KC SO Self Assessment	OQA	AAM, OQA	01-10 KCSO Internal Audit Process
KCSO Quality Assurance Plan/ISO	OQA	AAM, OQA	KCSO QAP/Business Model including ISO Process Descriptions/Work Instructions
Facilities and Construction Management	OPPM	RTBF & Construction Program Manager	Operational Awareness section of KCSO Line Management Oversight Plan
Ten Year Comprehensive Plan	OPPM	RTBF & Construction Program Manager	NNSA's Ten Year Comprehensive Site Planning guidance 08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans
Work Authorization	OMM	Budget Analyst	8 KCSO PD Work Authorization
Environmental Restoration	OSS	Environmental Restoration Manager	KCSO Environmental Restoration Baseline
Environmental Permits	OSS	ES&H Program Manager	09-01 KCSO PD Environmental Permits

5	Define Scope of Work— Translate Mission into Work, Set Expectations	*Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities.	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans
6	Define Scope of Work— Translate Mission into Work, Set Expectations	Develop work plans, including scope, schedule, and funding allocations for each fiscal year.	Yes		OPPM-AAM for Mission Work Plans OSS-Security Program Manager for Security Work Plans	08-01 KCSO PD Execution Plan for DSW and Campaigns 08-02 KCSO PD Campaigns Process
7	Define Scope of Work— Translate Mission into Work, Set Expectations	These plans should reflect mission assignments to the field and by facilities, projects, and programs.	Yes		OPPM-AAM for Mission Work Plans OSS-Security Program Manager for Security Work Plans	08-01 KCSO PD Execution Plan for DSW and Campaigns 08-02 KCSO PD Campaigns Process
8	Define Scope of Work— Translate Mission into Work, Set Expectations	Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules, NNSA and DOE Policies, Orders, Notices, Manuals, Guides, and Technical Standards.	Yes		Contract Specialist	03-03 KCSO PD Directive Process, 01-02 KCSO PD Process for Reviewing Draft NNSA Policies, Requirements, and Orders
9	Define Scope of Work— Translate Mission into Work, Set Expectations	Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates.	Yes		Contract Specialist	03-02 KCSO PD Contract Modification Process
10	Define Scope of Work— Translate Mission into Work, Set Expectations	Monitor contractor performance to assess whether performance expectations have been met.	Yes		OPPM- AAM OSS- AAM OQA-AAM	KCSO Line Management Oversight Plan
11	Define Scope of Work— Translate Mission into Work, Set Expectations	As Contracting Officer: Negotiate with each contractor, in consultation with Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the	Yes		Contract Specialist	03-03 KCSO PD Directive Process

		contract.					
12	Define Scope of Work— Translate Mission into Work, Set Expectations	· Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for the mission including safety requirements.	Yes		Contract Specialist	03-02 KCSO PD Contract Modification Process	
13	Define Scope of Work— Translate Mission into Work, Set Expectations	· Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	
14	Define Scope of Work— Translate Mission into Work, Set Expectations	· Determine the need for team review of the contractor's safety management system and revisions thereto.	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	
15	Define Scope of Work— Translate Mission into Work, Set Expectations	· Approve safety management systems and revisions thereto (48 CFR 970).	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	
16	Define Scope of Work— Translate Mission into Work, Set Expectations	· Incorporate approved Standards into contract requirements.	Yes		Contract Specialist	03-03 KCSO PD Directive Process	
17	Define Scope of Work— Translate Mission into Work, Set Expectations	· Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.	Yes		AAM/OPPM, Financial & Budget Specialist	06-01 KCSO PD Budget Oversight Process	
18	Define Scope of Work— Translate Mission into Work, Set Expectations	Prepare Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed.	Yes		OSS-AMM	KCSO QAP Section XI	
19	Define Scope of Work— Translate Mission into Work, Set Expectations	Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local	Yes		OSS-AMM	KCSO QAP Section XI	

		organizational changes.					
20	Define Scope of Work— Translate Mission into Work, Set Expectations	Deputy Administrator approval is only needed for significant Site FRAM changes.	No				Deputy Administrators action
21	Define Scope of Work— Translate Mission into Work, Set Expectations	Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.	Yes		OSS-AMM	KCSO QAP Section XI	
22	Define Scope of Work— Translate Mission into Work, Set Expectations	Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.	Yes		OOM- Site Manager	KCSO FRAM/QAP	
23	Define Scope of Work— Translate Mission into Work, Set Expectations	Conduct line oversight of safety management systems to ensure effective implementation and maintenance.	Yes		OSS-AAM, ES&H Program Manager	03-34 KCSO PD Assessment & Survey (QAS) of Contractor Activities Process 03-34-04 KCSO WI OSS Oversight	
24	Define Scope of Work— Translate Mission into Work, Set Expectations	Ensure that contractors describe, document, implement, and maintain their safety management systems.	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	
25	Define Scope of Work— Translate Mission into Work, Set Expectations	Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	

26	Define Scope of Work— Translate Mission into Work, Set Expectations	Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.	Yes		Contract Specialist	03-31 KCSO PD Performance Evaluation Plan03-33 KCSO PD Award Fee Performance Evaluation Report Process03-32 KCSO PD Incentive Validation Process	
27	Analyze Hazards and Develop and Implement Controls	Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).	No				KCP not a nuclear facility. Directives are incorporated unless NAP-5 process convened.
28	Analyze Hazards and Develop and Implement Controls	Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.	Yes		OSS, ES&H Program Manager	03-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	
29	Analyze Hazards and Develop and Implement Controls	Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, Comprehensive Emergency Management System except at sites where exemption has been granted or the Order is not applicable.	Yes, partially		OSS- Emergency Operations Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	DOE 151.1 not applied to KCP under NAP-5 Process. However, Hazard Surveys prepared.
30	Analyze Hazards and Develop and Implement Controls	Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate.	Yes		OSS- Emergency Operations Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	DOE 151.1 not applied to KCP under NAP-5 Process. However, hazard surveys are

							reviewed, approved and submitted.
31	Analyze Hazards and Develop and Implement Controls	Ensure that a documented PAAA coordination process exists in accordance with NNSA polices and procedures, including a process for tracking and verification of closure of contractor corrective actions.	Yes, partially		OSS- ES&H Manager	KCSO Line Management Oversight Plan	PAA does not apply to facility safety but applies to some manufactured components. No implementing instructions.
32	Analyze Hazards and Develop and Implement Controls	Review and approve the ES&H requirements to be included in the contracts.	Yes		OSS-AAM, ES&H Program Manager	03-03 KCSO PD Directive Process	
33	Analyze Hazards and Develop and Implement Controls	Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR 830.	No				KCP has no nuclear facilities
34	Analyze Hazards and Develop and Implement Controls	For Hazard Category 1 nuclear facilities, ensure that appropriate safety requirements in necessary functional areas are included in the contracts and in the authorization agreement as directed by the Deputy Administrator.	No				KCP has no nuclear facilities
35	Analyze Hazards and Develop and Implement Controls	*Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830.	No				KCP has no nuclear facilities
36	Analyze Hazards and Develop and Implement Controls	Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i> , as required by 10 CFR 830.	No				KCP has no nuclear facilities
37	Analyze Hazards and Develop and Implement Controls	*Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2 and 3 nuclear facilities). Review the adequacy of the controls and their documentation.	No				KCP has no nuclear facilities

30	Analyze Hazards and Develop and Implement Controls	Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.	Yes		OSS- Industrial Health Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	RPP for radiological activities only.
39	Analyze Hazards and Develop and Implement Controls	*Review and approve the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedures for Hazard Category 1, 2, and 3 nuclear facilities; and preliminary DSAs and DSAs for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.	Yes		OSS- Industrial Health Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	RPP for radiological activities only.
40	Analyze Hazards and Develop and Implement Controls	Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.	No				KCP has no nuclear facilities
41	Analyze Hazards and Develop and Implement Controls	Send recommendation for approval or disapproval of DSAs and preliminary DSAs for Hazard Category 1 nuclear facilities, including the nuclear safety design criteria, to the Deputy Administrator with comments.	No				KCP has no nuclear facilities
42	Analyze Hazards and Develop and Implement Controls	Respond to Principal Deputy Administrator, Deputy Administrator, ES&H Advisor, Director of Emergency Operations, Associate Administrator for Infrastructure and Security (AAIS), or EH comments.	Yes		OSS- Industrial Health Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	RPP for radiological activities only.
43	Analyze Hazards and Develop and Implement Controls	*Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.	No				KCP has no nuclear facilities
44	Analyze Hazards and Develop and Implement Controls	*For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report.	No				KCP has no nuclear facilities
45	Analyze Hazards and Develop and Implement Controls	Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835.	Yes		OSS- Industrial Health Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	RPP for radiological activities only.

46	Analyze Hazards and Develop and Implement Controls	If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies.	No				No State radiological requirements apply to KCP non nuclear operations.
47	Analyze Hazards and Develop and Implement Controls	Coordinate with contractor and Deputy Administrator.	Yes		OSS- Industrial Health Manager	08-10 KCSO PD Approval of Contractor Systems, Submissions, and Plans	RPP for radiological activities only.
48	Analyze Hazards and Develop and Implement Controls	Provide line management oversight and ensure the implementation of hazards mitigation programs and controls.	Yes		OSS- AAM	KCSO Line Management Oversight Plan	
49	Analyze Hazards and Develop and Implement Controls	Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements.	No				KCP has no nuclear facilities
50	Analyze Hazards and Develop and Implement Controls	Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems).	No				KCP does not have high or medium risk facilities.
51	Analyze Hazards and Develop and Implement Controls	As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date.	No				As a non nuclear facility, KCP does not have authorization agreements.
52	Analyze Hazards and Develop and Implement Controls	*Ensure that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement.	No				KCP has no nuclear facilities
53	Confirm Readiness, Quality Assurance, Collect Feedback	Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees.	Yes		OSS- Industrial Health Manager	KCSO Worker Protection Management Plan	
54	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, <i>Startup and Restart of Nuclear Facilities</i> .	No				KCP has no nuclear facilities
55	Confirm Readiness, Quality Assurance, Collect Feedback	Review and approve contractor Startup Notification Report in accordance with	No				KCP has no nuclear facilities

		DOE O 425.1C.					
56	Confirm Readiness, Quality Assurance, Collect Feedback	Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C.	No				KCP has no nuclear facilities
57	Confirm Readiness, Quality Assurance, Collect Feedback	Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator.	No				KCP has no nuclear facilities
58	Confirm Readiness, Quality Assurance, Collect Feedback	Headquarters retains startup authority for new Category 2 nuclear facilities.	No				KCP has no nuclear facilities
59	Confirm Readiness, Quality Assurance, Collect Feedback	Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercise all startup authority.	Yes		OPPM-RTBF and Construction Program Manager	FM&T 22.01.01.01.02 How To Perform and Approve a Prestart Review	
60	Confirm Readiness, Quality Assurance, Collect Feedback	Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives.	Yes		OPPM- AAM OSS- AAM OQA-AAM	KCSO Line Management Oversight Plan	KCSO does not have a Facility Representative Program
61	Confirm Readiness, Quality Assurance, Collect Feedback	*Review and approve contractors' QAPs, and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs.	No				QAPs not required at supplier facilities such as KCP
62	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure that contractors implement QAPs.	No				QAPs not required at supplier facilities such as KCP
63	Confirm Readiness, Quality Assurance, Collect Feedback	Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents.	No				QAPs not required at supplier facilities such as KCP
64	Confirm Readiness, Quality Assurance, Collect Feedback	Submit integrated site FRAM/QAP to the Deputy Administrator for review and concurrence.	No				QAPs not required at supplier facilities such as KCP

65	Confirm Readiness, Quality Assurance, Collect Feedback	Submit site office QAPs to the Deputy Administrator for approval.	No				QAPs not required at supplier facilities such as KCP
66	Confirm Readiness, Quality Assurance, Collect Feedback	Direct contractors to develop and implement a lessons learned program.	Yes		OSS-Emergency Operations Manager	KCSO Line Management Oversight Plan	
67	Confirm Readiness, Quality Assurance, Collect Feedback	The program should include analysis and trending of events.	Yes		OSS-Emergency Operations Manager	KCSO Line Management Oversight Plan	
68	Confirm Readiness, Quality Assurance, Collect Feedback	Monitor and assess contractor's lessons learned program.	Yes		OSS-Emergency Operations Manager	KCSO Line Management Oversight Plan	
69	Confirm Readiness, Quality Assurance, Collect Feedback	Participate in the DOE-wide sharing of lessons learned.	Yes		OSS-Emergency Operations Manager	KCSO Line Management Oversight Plan	
70	Confirm Readiness, Quality Assurance, Collect Feedback	*Require contractors to report occurrences on ORPS.	Yes		OSS-Emergency Operations Manager		no implementing instructions
71	Confirm Readiness, Quality Assurance, Collect Feedback	Review and approve reports, as delegated, including proposed corrective actions and lessons learned.	Yes		OSS-Emergency Operations Manager		no implementing instructions
72	Confirm Readiness, Quality Assurance, Collect Feedback	Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.	Yes		OSS-Emergency Operations Manager		no implementing instructions
73	Confirm Readiness, Quality Assurance, Collect Feedback	As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.	Yes		OPPM- AAM OSS- AAM OQA-AAM	03-14 KCSO PD Process for Contractor Corrective Action Approval and Validation	
74	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.	Yes		OSS- AAM		no implementing instructions
75	Confirm Readiness, Quality Assurance, Collect Feedback	Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820.	Yes, partially		OSS- ES&H Manager	KCSO Line Management Oversight Plan	PAA does not apply to facility safety but applies to some manufactured components.

76	Confirm Readiness, Quality Assurance, Collect Feedback	Provide information and support investigations.	Yes, partially		OSS- ES&H Manager		PAA does not apply to facility safety but applies to some manufactured components.
77	Confirm Readiness, Quality Assurance, Collect Feedback	Participate in enforcement conferences with the Office of Enforcement and Investigation.	Yes, partially		OSS- ES&H Manager		PAA does not apply to facility safety but applies to some manufactured components.
78	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed.	Yes, partially		OSS- ES&H Manager		PAA does not apply to facility safety but applies to some manufactured components.
79	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated.	Yes		OSS- ES&H Manager	03-14 KCSO PD Process for Contractor Corrective Action Approval and Validation	
80	Confirm Readiness, Quality Assurance, Collect Feedback	Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.	Yes		OSS- ES&H Manager		no implementing instructions
81	Confirm Readiness, Quality Assurance, Collect Feedback	If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report.	Yes		OSS- ES&H Manager		no implementing instructions
82	Confirm Readiness, Quality Assurance, Collect Feedback	If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.	Yes		OSS- ES&H Manager		no implementing instructions

83	Confirm Readiness, Quality Assurance, Collect Feedback	Perform management assessments of contractors to evaluate their success in doing work safely.	Yes		OPPM- AAM OSS- AAM OQA-AAM	KCSU Line Management Oversight Plan	
84	Confirm Readiness, Quality Assurance, Collect Feedback	Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action.	Yes		OPPM- AAM OSS- AAM OQA-AAM	KCSO Line Management Oversight Plan	
85	Confirm Readiness, Quality Assurance, Collect Feedback	The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.	No				KCP has no defined safety systems for nuclear operations.

KCSO PLAN AND SCHEDULE FOR
REVISING SITE OFFICE PROCEDURES

Applicable procedures have been already revised to reflect the responsibilities and authorities of current FRAM.

SEPARATION

PAGE



Department of Energy
National Nuclear Security Administration
Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, LIVERMORE SITE OFFICE

FROM

Everet H Beckner
Deputy Administrator
for Defense Programs

SUBJECT

ACTION APPROVAL OF THE LIVERMORE SITE OFFICE
FUNCTIONS, RESPONSIBILITIES AND
AUTHORITIES MANUAL (FRAM)

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached Livermore Site Office FRAM submitted on February 4, 2004. Our review has determined that the submitted FRAM covers all needed functions, responsibilities and authorities required by the NNSA FRAM.

During the review we noted that Site Office responsibilities and authorities for quality assurance and software quality assurance are covered under institutional assessment function. We also understand that lower tier documents further describe how these responsibilities and authorities are implemented by your staff. We request that you highlight these responsibilities and authorities in the next update of the FRAM to meet the requirements of Action 1.4.4 of the Quality Assurance Improvement Plan and Commitment 4.1.6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-1.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the Site Office FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the Site Office FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by the NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have any questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment
L Brooks, NA-1
T Przybylek, NA-2



Printed with soy ink on recycled paper



Department of Energy
National Nuclear Security Administration
Livermore Site Office
PO Box 808, L-293
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Livermore, California 94551-0808



FEB 04 2004

MEMORANDUM FOR DR. EVERET H. BECKNER
DEPUTY ADMINISTRATOR FOR DEFENSE PROGRAMS

FROM: *Camille Yuan Soohoo*
CAMILLE YUAN SOO HOO
MANAGER

SUBJECT: Livermore Site Office Functions, Responsibilities and Authorities Manual

Attached for your approval is the updated Livermore Site Office (LSO) Functions, Responsibilities, and Authorities Manual (FRAM). This FRAM ensures the ES&H functions, responsibilities, and authorities at LSO and the Field Element of the Office of the National Ignition Facility Project are unambiguous. This FRAM is consistent with the NNSA FRAM and implements the functions, responsibilities, and authorities the NNSA FRAM assigns to the Site Office Managers.

The LSO FRAM identifies the LSO implementing documents that need to be updated due to NNSA reorganization. We will update those documents by October 31, 2004.

If you have any questions regarding the LSO FRAM, please contact Ralph Kopenhaver at 925-422-3126.

Attachment

cc:
Jim Mangeno, NA-1
Mike Thompson, NA-117
Rabi Singh, NA-124

2004 FEB 04 10:30 AM

ISSUED:

February, 2004

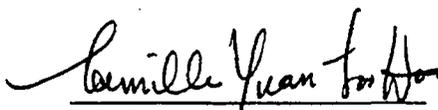
Environment, Safety & Health (ES&H)
Functions, Responsibilities & Authorities
Manual (FRAM)

LIVERMORE SITE OFFICE (LSO)

CONCURRENCE


Scott Samuelson, Deputy Director/Field Manager
Office National Ignition Facility Project

APPROVED


Camille Yuan-Soo Hoo
LSO Manager

**LIVERMORE SITE OFFICE
FUNCTIONS, RESPONSIBILITIES, & AUTHORITIES MANUAL
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I. Purpose and Scope

The purpose of the Livermore Site Office (LSO) ES&H Functions, Responsibilities and Authorities Manual (FRAM) is to ensure the ES&H Functions, Responsibilities and Authorities at LSO and the Field Element of the NNSA Office of the National Ignition Facility Project (ONIF) located at LLNL are unambiguous. This FRAM identifies the ES&H functions, responsibilities and authorities so that the safe conduct of work can be planned, performed, assessed, and improved in accordance with the DOE P 411.1, Safety Management Functions, Responsibilities, and Authorities Policy, and the NNSA FRAM.

The sources of the functions, responsibilities, and authorities assigned in this manual are derived from various sources including, the NNSA FRAM, DOE Orders, delegation memorandums, and other policies and directives. This FRAM does not capture each responsibility from these sources verbatim; rather it assigns the key responsibilities and authorities for each function and references other implementation documentation for more detailed responsibilities and authorities.

This manual applies to all work that LSO and ONIF have management oversight responsibility for, at the Lawrence Livermore National Laboratory (LLNL). This Manual also applies to all work performed within the Livermore Site Office by federal and support contractor employees in support of the LSO mission.

II. LSO Organization

A. LSO Organization Overview

The LSO is headed by the LSO Manager. Reporting to the LSO Manager are the Manager's Office staff, the Legal staff, the Chief of Staff, and the Public Affairs staff. Also reporting to the LSO Manager are two LSO Deputy Managers. Each LSO Deputy Manager has three organizations reporting directly to them. These organizations are headed by Assistant Managers who in turn are assisted by Team Leaders and Operations Team Leaders in their organizations. Figure 1 provides a schematic description of the organizational arrangement at LSO. Table 1 provides an abbreviated description of the mission of each of these organizations under the LSO Manager.

Table 1. OAK Divisional Mission Statements

MANAGER'S OFFICE (MO)	
STAFF	MISSION
Legal	Chief legal advisor and is responsible for all matters of law and legal policy.
Chief of Staff (COS)	Provides support for LSO planning, supports the development of processes necessary for overall performance improvement.
Public Affairs (PA)	Provides a comprehensive communications activity.

DEPUTY MANAGER FOR NATIONAL SECURITY OPERATION (DMNSO)	
ORGANIZATIONS	MISSION
Assistant Manager for National Security Implementation (NSID)	Provides field program integration in operational areas, infrastructure management, and program implementation of the Defense Weapons Program and related Defense Programs (DP) construction, with the exception of the National Ignition Facility (NIF) project.
Assistant Manager for Safeguards and Security (SSD)	Provides field management for implementation of the DOE safeguards and security policies and programs for LSO's sites/contractors.
Assistant Manager for Business Management (BMD)	Provides field management for delegated contract administration and business management oversight for the LLNL M&O contract. Provides LSO liaison to NNSA Service Center and other HQ business organizations in the areas of Information Technology, Budget and Financial Management, Human Resources, Training, OIG and GAO Reviews, and Property Management. Responsible for the LSO Management Control Program.

TECHNICAL DEPUTY FOR SAFETY AND ENVIRONMENT (TDSE)	
ORGANIZATIONS	MISSION
Assistant Manager for Livermore Safety Operations (LSOD)	Provides institutional ES&H management through the S&H Subject Matter Experts, institutional team, and Facility Representative, and provides S&H support to all line organizations at LLNL.
Nuclear Safety Team (NST)	Provides institutional management of nuclear safety, including criticality safety for LLNL nuclear facilities, and nuclear safety Subject Matter Experts to line organizations with nuclear facilities.
Assistant Manager for Environmental Stewardship (ES)	Manages and directs programs and activities to assess and remediate LLNL sites contaminated from past operations, and for minimizing, treating, storing, and disposing of DOE waste at LLNL. Provides environmental Subject Matter Expert support to all line organizations at LLNL.

Livermore Site Office Org Chart

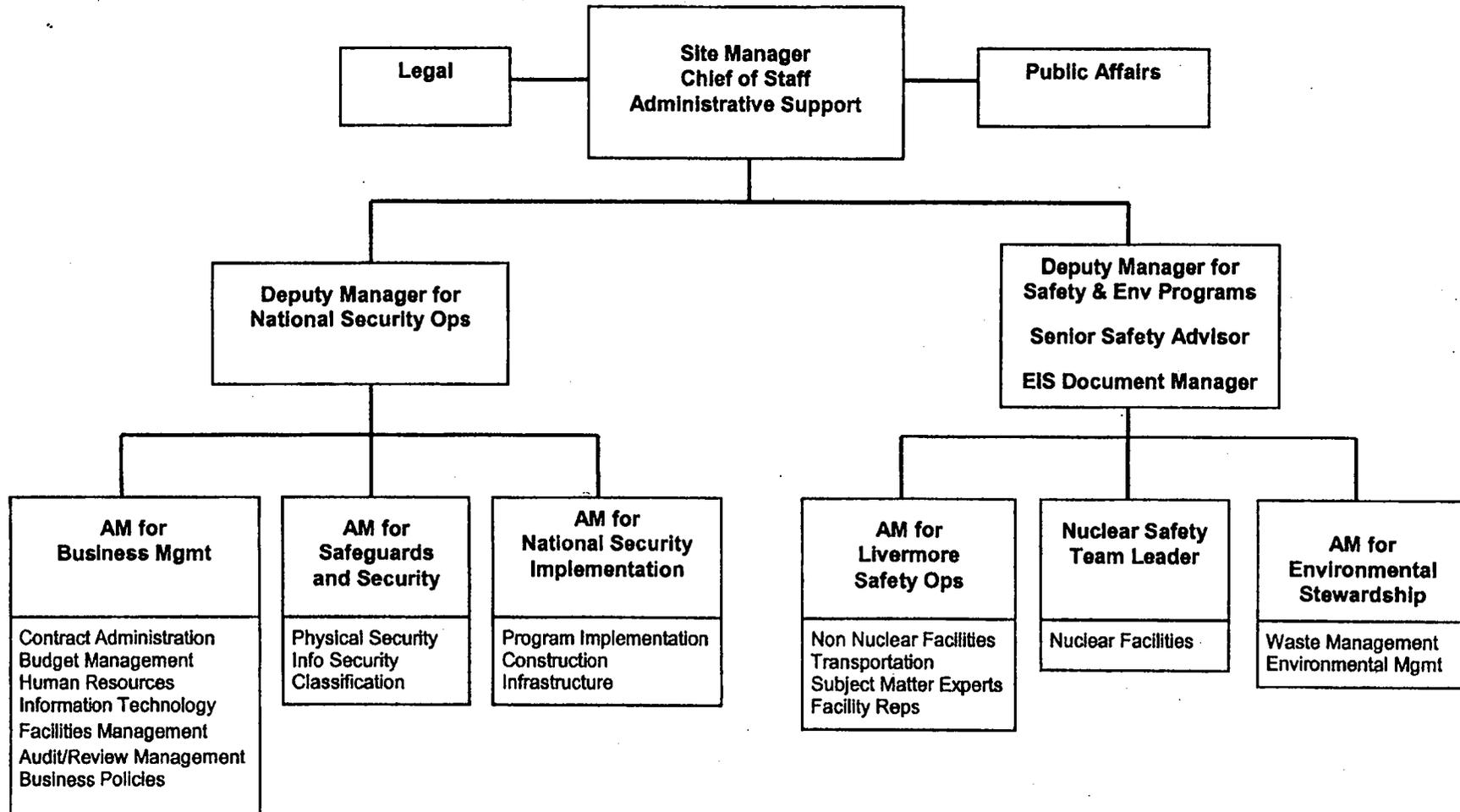


Figure 1 – Organization Chart

B. Line Management Responsibility Flow-down

Line management authority, responsibility, and accountability for ES&H aspects of NNSA activities (except NIF) is depicted in Figure 2. The line flows from the DOE Secretary to the NNSA Administrator to the Deputy Administrator for Defense Programs (NA-10) to the LSO Manager to the Deputy Managers to the Assistant Managers. At this point the line splits, the line for facility or program specific ES&H activities goes through the Operations Team Leaders to LLNL. The line for institutional ES&H programs goes from the subject matter expert organizations, LSOD, NST, or ESD, directly to LLNL.

ES&H line management for the NIF Project flows from the DOE Secretary to the NNSA Administrator to the Deputy Administrator for Defense Programs to the Director NNSA Office of the NIF Project to the ONIF Deputy Director to the NIF Operations Team to LLNL.

As stated in the NNSA FRAM, "Safety management responsibility for work done by DOE and other non-NNSA tenant activities remains with NNSA line management. All work done at a site, therefore, must be performed within the safety envelope approved by the SOM." Thus the line management chain described above applies to infrastructure activities and overall ES&H management at LLNL. Other PSOs are responsible for the ES&H in their specific activities, but they must comply with the safety envelope approved by the LSO Manager. The ES&H line management chain for these activities normally flows from the Secretary to the PSO to the LSO Manager and then through LSO as described above to LLNL. Difference in the delegation of ES&H responsibilities and authorities from these PSOs to the LSO Manager are noted in the specific responsibilities and authorities found in Section VI.

ES&H oversight support is provided to the Line and/or Program Managers by subject matter experts (SMEs) located in the various LSO organizations and the NNSA Service Center. LSO SMEs normally are considered to have line ES&H responsibility for the LLNL institutional program in their functional area as well as support responsibility to Operations Team Leaders who are line management for individual facilities and programs.

C. Operations Teams Description

The efficient and effective oversight of the operations and performance at more than 700 LLNL facilities is based on an Operations Team concept (See Figure 3). The Operations Teams integrate line management, FR program, and ES&H/S&S SME resources to accomplish required management and oversight functions and responsibilities. Thus the Operations Teams facilitate coordination and exchange of information to support the safe and secure accomplishment of the laboratory's mission. Appendix A contains a list of the Operations Teams and their assigned areas.

Each team is staffed by personnel from all LSO Line/Program Management organizations. The typical composition of the Operations Team is the Team Leader, program representatives, the Facility Representatives of the facilities that the team oversees, and Nuclear Safety Team staff, SMEs and Safeguard and Security staff as appropriate. The number of persons on each team varies but the team leader is authorized to get help as needed from any and all LSO Organizations. Team members oversee the facilities by

ES&H Management for LLNL

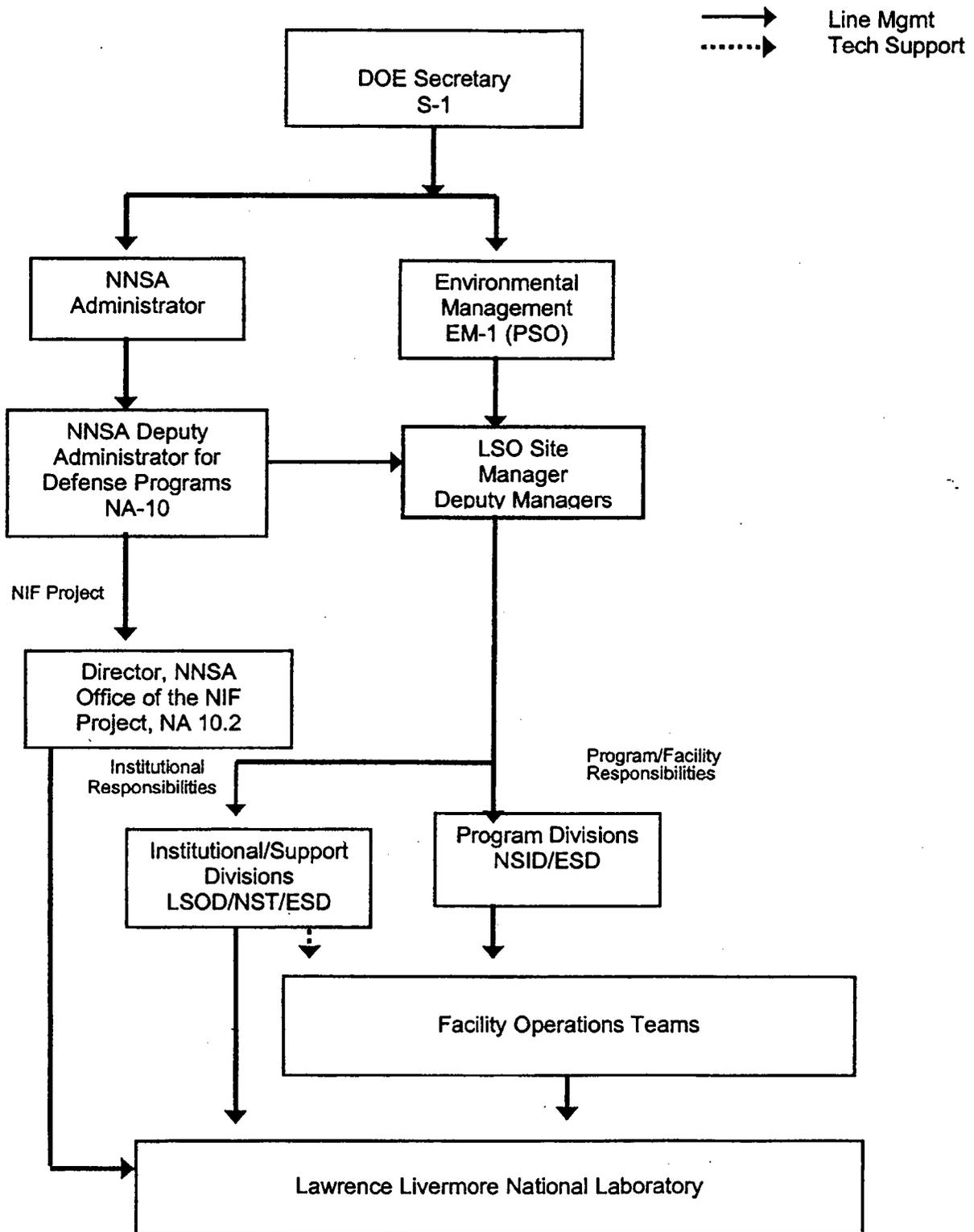


Figure 2

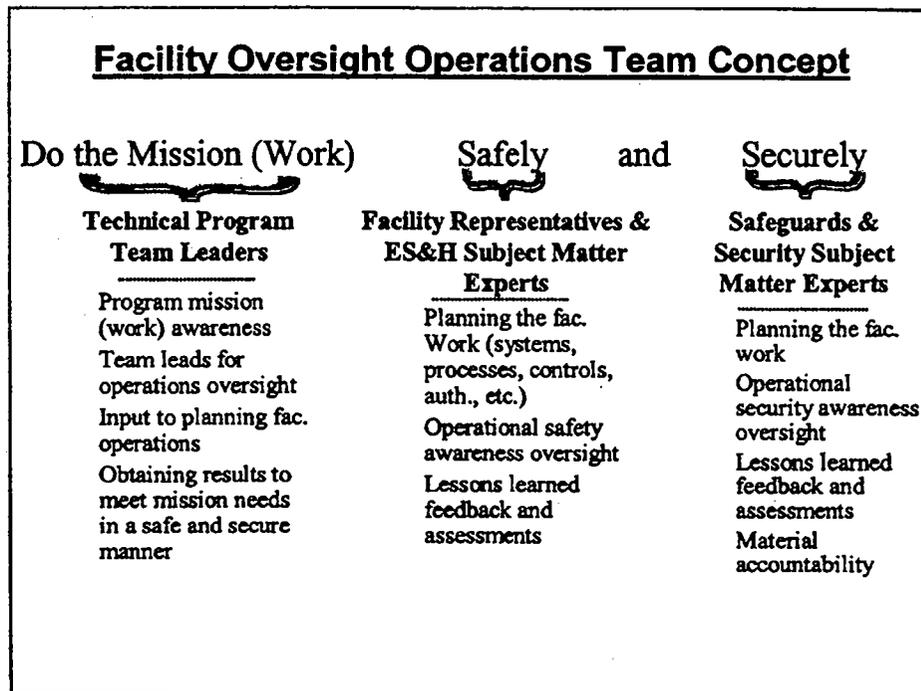


Figure 2. Facility Oversight Operations Team Concept

performing the functions assigned in Section VLC. The Operations Teams Leaders report to the Assistant Manager with programmatic responsibility and are responsible for integrating the ES&H and security oversight/management with the programmatic and facility operations.

Additionally the Operations Team Leaders report to LSO Manager through periodic ES&H/S&S meetings with the TDSE. All Assistant Managers attend these meetings. The meetings provide a forum to share information, coordinate broad efforts, and support continuing feedback for improvement at the Livermore site. The Operations Team Leaders also provide quarterly reports to management indicating team accomplishments and other performance metrics.

III. ISM Implementation Description

The functions detailed in section V constitute how LSO implements ISM. Section VI is not organized around the seven guiding principles and five core functions, therefore, how each of the principles and functions are implemented are described briefly below with references to the appropriate functions in Section VI. Some of the functions described in Section VI apply to all the guiding principles and core functions and may not be specifically referenced below, for example approval of LLNL ISM description ensures LLNL safety management system implements all the guiding principles and core functions. Likewise the LSO Federal Employees Occupation Safety and Health (FEOSH) Program implements all the guiding principles and core functions.

A. Implementation of the Seven Guiding Principles

Line Management responsibility for safety

The NNSA clearly defines line management responsibility for safety. The LSO and NNSA FRAMs clearly defines the line management chain from the Administrator to LLNL and assigns responsibility to that chain for safety.

Clear Roles and Responsibilities

Clear ES&H roles and responsibilities for LSO and ONIF personnel originate in delegations of authority from NNSA to LSO and ONIF. The LSO FRAM clearly identifies these roles and responsibilities. In its oversight role LSO and ONIF requires LLNL to have clear roles and responsibilities at all levels from the institutional level to the associate directors to facilities and activities. The LLNL System Description clearly define these roles and responsibilities by specifying how functions are to be carried out and identifying who has the responsibility and authority to carry out the functions.

Competence commensurate with responsibilities

The selection of LSO and ONIF staff for positions with ES&H responsibilities (line or support) is based on them having education and experience commensurate with the job requirements. LSO and ONIF ensures that all personnel with ES&H responsibilities maintain, and demonstrate competence in the performance of their duties. LSO maintains a rigorous Technical Qualification Program (TQP) for those individuals who have safety responsibilities at LLNL nuclear facilities. All LSO and ONIF staff continue to improve their knowledge and skills by the use of IDPs. Function A.1 Training and Qualification details the responsibilities and authorities for the training and qualification of LSO personnel.

LSO and ONIF is also responsible to oversee LLNL's ES&H related training and qualification program. Functions B.5 Institutional Assessment and C.7 Facility Assessment describe how this oversight is accomplished and who is responsible for the oversight. Function C.1 Facility ES&H Management Plans assigns the responsibility and authority for approving LLNL's Training Implementation Matrices for nuclear facilities.

Balanced Priorities

ES&H priorities are balanced according to risk, safety significance and programmatic need. The primary mechanism for ensuring ES&H priorities are balanced is the LSO's role in the budget process. (See Function B.2 Program Execution for more details.) This is supported by the issue tracking functions described in Function A.7 Issue Management.

Identification of Standards and Requirements

LSO has identified Standards and Requirements for operations and facilities at LLNL tailored to the work being performed using the Work Smart Standards (WSS) process. These requirements were selected from DOE directives and National consensus standards. The WSS have been incorporated in the UC Contract 48 Appendix G. Function B.1 Requirements Management assigns responsibilities and authorities for the WSS process. Additional requirements for specific facilities and operations may

also be identified through safety analysis and design reviews. Functions C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents and C.4 Project Management detail the responsibilities and authorities for these functions.

Hazard Controls are tailored to the Work

LLNL is responsible for identifying hazards and implementing controls. In addition to the WSS set, LSO and ONIF approve nuclear safety basis documents, non-nuclear safety basis documents, and various plans that detail these controls. (See Functions B.1 Requirements Management, C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents, C.1 Facility ES&H Management Plans, and B.4 LLNL ES&H Management Plans for more details.)

Operations are Authorized before Work begins

LLNL operations must be authorized at the appropriate level before work can begin. At the institutional level this is accomplished by approving a Statement of Work in the DOE-UC contract. At the program/project level Work Authorization statements, NEPA determination documents projects and proposals, and milestones are reviewed for ES&H considerations before work begins. See Functions B.2 Program Execution, and C.4 Program Management for more details. At the facility/operations level work is authorized before work begins. Whether LSO needs to approve operations at this level varies based on the risk inherent in the operations and usually includes the approval of safety basis documents as well as some form of readiness assessment. See Functions C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents, and C.5 Operations Authorization for more details.

B. Implementation of the Five Core Functions

Define Scope of Work

The LSO Manager, as the Contracting Officer for LLNL, defines the scope of work for LLNL through the DOE-UC Contract's Statement of Work. Programmatic scope of work is normally defined by HQ. See Function B.2 Program Execution for LSO's roles in the definition of programmatic scope of work. LSO requires that LLNL has an ISM System Description that describes the work to a level of detail sufficient to determine priorities, allocate resources, identify hazards and establish expectations for completion. See Function B.4 LLNL ES&H Management Plans for more details. This FRAM, the NNSA FRAM and other NNSA organization documents define the scope of work for LSO.

Analyze hazards

LSO and ONIF reviews and approves Safety Documents (SARs, TSRs, OSRs and NEPA documents) and maintains a list of all work and associated hazards at the institutional level as the basis for establishing the WSS in the UC contract per DOE Policy 450.4. See Functions B.2 Program Management, C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents, and C.4 Project Management for more details.

Develop and Implement Controls

The Contractor is responsible for identifying hazards and implementing controls for work being performed at LLNL. LSO provides oversight to assure that the controls

and safety measures are adequate. In addition to the functions listed under analyze the hazards, see Function B.1 Requirements Management.

Accomplish the Work

The Contractor performs the work and LSO through its oversight assures that the Contractor's ISM system is functioning properly. See Functions B.5 Institutional Assessment, C.6 Unexpected Occurrence Management, and C.7 Facility Assessment for more details.

Feedback and Improvement

LSO uses various feedback and improvement mechanisms to improve its performance. See Functions A.7 Issues Management and A.8 Feedback and Improvement for more details. Additionally, LSO oversight of LLNL provides feedback to LLNL management. These oversight mechanisms range from the expectations described at the contractual level to feedback to individual LLNL managers from LSO operational awareness activities. Particularly important is the contractor rating process defined in Appendix F of the contract. See Functions A.7 Issues Management, B.5 Institutional Assessment, C.6 Unexpected Occurrence Management, and C.7 Facility assessment for more details.

IV. Management Agreements with Other DOE Organizations

The LSO is supported in many functional areas by the NNSA Service Center. The support to be provided and the Service Center's responsibilities and authorities in each of these functional areas are defined in Service Level Agreements annually negotiated between the Service Center and LSO.

An April 10, 2001 Memorandum of Understanding between the Acting NNSA Deputy Administrator for Defense Programs (DP-1) and the Manager of the former Oakland Operations Office, defines the responsibilities of, and organizational relationship between DP and LSO with respect to the NIF Project, and clarifies the interaction between LSO and ONIF.

A January 12, 2001 Memorandum of Understanding between the NNSA Administrator and the Assistant Secretary for Environment, Safety and Health (EH) establishes the principles and protocols that will enable the Administrator to effectively utilize the resources of EH for Price Anderson activities. This MOU assigns certain responsibilities to the NNSA Site Office Managers for Price Anderson related activities.

A 2002 Management Agreement between the Nevada Operations Office (NV) and the LSO delineates the working relationship and respective responsibilities of each office in respect to LLNL operations at facilities under the jurisdiction of NV, including the Nevada Test Site. LSO has contract management authority and responsibilities for LSO contractors working at NV Sites and NV exercises Line Management Assessment and Facility Operations oversight and authorization.

V. Delegations

The NNSA FRAM and DOE directives assign Field Elements specific authorities for ES&H activities. In addition, other individual PSOs have delegated authorities by memorandum or through their organizational FRAM. The delegations to LSO are noted in Section VI.

Generally, the LSO Manager further delegates authorities for ES&H activities assigned by DOE directives or by delegation from NNSA/PSOs in the LSO FRAM. The LSO Manager may also delegate authorities by memorandum. Although authorities for specific ES&H activities have been delegated, line management responsibility for ES&H cannot be delegated and is shared by all LSO/ONIF staff in the line management chain from the Manager to the Contractor.

VI. Functions, Responsibilities and Authorities

The LSO ES&H functions are grouped into three main categories, LSO operations, LLNL Institutional Oversight, and LLNL facility oversight. The major responsibility and authorities are given for each function along with references to implementing documents that may contain more detailed responsibilities and authorities.

The functional assignments made below identify the Manager that has the lead responsibility for the identified function. It is expected that this lead Manager will coordinate with other organizations as necessary to assure that the primary function and all related ancillary functions are accomplished appropriately. This does not relieve those organizations of the responsibilities and authorities assigned in this FRAM, but the LSO Manager will look to the identified lead Manager to identify and solve problems in LSO's accomplishment of the function.

A. LSO ES&H PROGRAMS AND FUNCTIONS

This section contains the ES&H functions associated with corporate management of ES&H by LSO. These functions include those associated with the general management systems used by LSO, as well as those associated with specific ES&H programs.

1. Function: Technical Capability Program

This function includes all activities involved with training and qualification of LSO federal employees. This function includes the following sub-functions:

- a. Technical Training – Determination of need for technical training and administration of the technical training program.
- b. Technical Qualification Program – Development and implementation of the TQP for the LSO. More detailed responsibilities and authorities can be found in the OAK TQP Plan (AMBFS-PLA-OOI-01.0) and implementing procedures. The Training for the Facility Representatives is

also covered by the TQP by reference to AMLSO-SOP-0062.02.0 Facility Representative Program.

- c. FTCP – Appointment of the LSO FTCP Agent and support of the FTCP
- d. Technical Staffing Analysis – Development of analysis of staffing necessary to implement this Manual.

Sub-function a. Technical Training

Lead Manager - AM for Business Management

Responsibilities and Authorities

Manager: Determines overall training priorities based on the IDPs and available budgets.

Supervisor: Each supervisor in consultation with each employee determine the technical training the employee needs to perform their job assignment (including all safety related training). These needs should be documented in an IDP and approved by the supervisor. Supervisors are responsible to provide employees adequate time and training necessary for the position.

Service Center: The Service Center is responsible for the administration of training including, planning, delivering, executing and record keeping per the Service Level Agreement.

Sub-function b. Technical Qualification Program (TQP)

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: Certifies final qualification of employees in the TQP.

Technical Qualification Council (TQC): The TQC identifies LSO participants in the TQP and approves their qualification standards. The TQC approves the LSO TQP plan and ensures that the plan is implemented at LSO.

LSOD: Implements the Facility Representative Training Program in accordance with AMLSO-SOP-0062.02.0 "Facility Representative Program".

Supervisor: Each supervisor is responsible to provide employees adequate time and training necessary to complete the TQP. Each supervisor is responsible to put in place compensatory measures for unqualified employees as described in the TQP Plan.

TQP Employee: Each employee is responsible for completing their qualification in the time period specified.

Service Center: The Service Center maintains procedures to implement the TQP plan, manages testing, issues completion certificates, and maintains records of qualification progress per the Service Level Agreement.

Sub-function c. Federal Technical Capability Panel

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Senior Safety Advisor: Acts as the LSO agent to the Federal Technical Capability Panel (FTCP). Ensures that staffing analysis information provided to the FTCP is consistent with LSO's managed staffing plan.

Sub-function d. Technical Staffing Analysis

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Directs the performance of analyses to determine technical staffing needs to implement this Manual.

Chief of Staff: Incorporates results of these analyses into the LSO Managed Staffing Plan.

2. Function: FEOSH

This function includes all activities for development, maintenance, and implementation of the FEOSH program for all DOE employees at the LLNL site, including the medical program and the ES&H employee concerns program for federal employees. More detailed responsibilities and authorities can be found in the LSO FEOSH Manual (TBI).

Lead Manager – AM for LSOD

Responsibilities and Authorities

Manager: Approves the LSO FEOSH Manual

LSOD - Coordinates and manages an effective and comprehensive FEOSH program that meets the requirements of 29 CFR 1960. Develops and maintains the LSO FEOSH Manual.

All Supervisors: Comply with the LSO FEOSH Manual and LLNL safety and health requirements for supervisors. Ensure that no employee is subject to reprisal for exercising rights under the NNSA/OAK FEOSH Program. Ensure employees have a safe working environment.

All Onsite DOE Employees: Comply with the LSO FEOSH Manual and LLNL safety and health requirements. Stop work immediately if a real or potential risk of injury to self or a co-worker is perceived.

3. Function: LSO Emergency Preparedness

This function includes the implementation of LSO's site and regional emergency preparedness and response duties. This function includes the following sub-functions:

- a. Site Emergency Response Functions. LSO has responsibilities during emergencies at LLNL that include participating in the LLNL EOC, communications with HQ EOC and other parties, implementing a Self Help Plan in accordance with the LLNL Emergency Plan, etc. More detailed responsibilities and authorities are found in the LSO Emergency Response and Oversight Plan, the LSO Duty Officer Plan and Procedures (DOE-LSO-000199), and the Self Help Plan for B311/314 (DOE-LSO-000229).

- b. **Regional Emergency Response Functions.** Provide assistance to federal, state, and local authorities for the detection, identification, analysis and response to radiological incidents.

Sub-function a: Site Emergency Response Functions

Lead Manager – AM for LSOD

Responsibilities and Authorities

Manager: Activates the LSO Emergency Management Team. Appoints the LSO Duty Officers.

DM for SEP: Approves the LSO Emergency Response and Oversight Plan (which designates the LSO Emergency Manager and Team), the Duty Officer Plan and Procedures, and the Self Help Plan for B311/316.

LSOD: Develops and maintains the LSO Emergency Response and Oversight Plan and Duty Officer Plan. Provides training for Duty Officers and LSO Emergency Management Team

AM for Business Management: Develops and Implements the B311/B316 Self Help Plan.

LSO Emergency Manager: During a LLNL emergency the Manager and his Team are responsible to implement the LSO Emergency Response and Oversight Plan.

Duty Officers: Take actions as required by the LSO Duty Officer Plan and Procedures.

All Employees: If notified of a LLNL emergency, notify the Duty Officer. Respond to an emergency per the Self Help Plan or as directed by emergency personnel.

Sub-function b. Regional Emergency Response Functions.

Lead Manager – NA-40

Responsibilities and Authorities

LSOD: Designates and supervises the Regional Response Coordinator (RRC).

RRC: Prepares and implements the Regional Management Plan and Response Plan in accordance with the Radiological Assistance Program (RAP) Field Operations Guide, Rev. 2. Implements the guidance from NA-40. Appoints RAP Team Leaders with the concurrence of the AM for LSOD.

RAP Team Leaders: Deploys with the RAP Teams and performs functions in accordance with the RAP Response Plan

4. Function: Directives Management

This function includes three sub-functions:

- a. **DOE and NNSA Directive System – Review, comment and dissemination of DOE directives.** More detailed responsibilities and authorities can be found in the LSO Directives System SD when issued and the LSO Directives System Manual when issued.

- b. DOE Technical Standards System –Review, comment and dissemination of DOE Technical Standards
- c. LSO Directives System – Preparation, maintenance and approval of LSO directives. More detailed responsibilities and authorities can be found in the LSO Directives System SD (WI) and the LSO Directives System Manual (WI)

Sub-function a. DOE and NNSA Directive System
Lead Manager - AM for Business Management

Responsibilities and Authorities

Business Management Division: Appoints the LSO Directives Point of Contact (DPC). Coordinates and disseminates directives for review and comment. Disseminates approved directives for implementation. Determines the Responsible Division for each directive.

Responsible Division: Forward draft directives to other interested organizations for review and comment. Approves comments submitted to HQ.

Reviewers: Submits comments through the REVCOM system or as otherwise directed by the DPC.

Sub-function b. DOE Technical Standards Program
Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Senior Safety Advisor: Acts as LSO Technical Standards Manager.

Disseminates draft Technical Standards to the appropriate SME for review.

Reviewers: Submits comments to the standard author and resolves comments with the author.

Sub-function c. LSO Directive System.
Lead Manager - AM for Business Management

Responsibilities and Authorities

Manager: Approves all LSO directives that establish policy, direction, or guidance

Business Management: Manages the LSO Directive process

All LSO Organizations: Prepare LSO directives in accordance with the LSO Directive System.

5. Function: ES&H Management Plans

This function includes the preparation and maintenance of the high level plans that implement ISMS at LSO, and includes the following sub-functions

- a. ES&H Functions Responsibility and Authorities Manual
- b. Quality Assurance Plan

Sub-function a. ES&H Functions, Responsibilities and Authorities Manual (FRAM)

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: Approves the FRAM.

Senior Safety Advisor: Prepares and maintains the FRAM.

Sub-function b. Quality Assurance Plan (QAP)

Lead Manager – AM for LSOD

Responsibilities and Authorities

Manager: Approves the QAP

LSOD: Prepares and maintains the QAP. Provides SME support to all LSO/ONIF Organizations in implementing the QAP.

All LSO/ONIF Organizations: responsible for implementing the plan

6. Function: Issues Management

This function includes the tracking, and resolution of ES&H findings and issues. The identification of findings and issues is included in other functions in this FRAM. This function includes the sub-functions below, which are based on the many tracking systems for ES&H issues used by LSO. See the Issues Management SOP for additional information.

- a. **FISHE.** FISHE is used to track findings from operational awareness activities.
- b. **CATS.** CATS is the DOE system used to track findings and corrective actions from OA reviews, Type A Accidents, and other issues as requested by DOE management.
- c. **NTS.** NTS is the DOE system used for contractors to report noncompliances with the DOE nuclear safety regulations, and the corrective actions for those noncompliances. See the PAAA SOP DOE-LSO-000200 (needs updating) for more details.
- d. **Appraisal Findings/Type B AI Reports.** LSO appraisal findings and Type B AI Report Judgments of Needs and related corrective actions and tracked by LLNL and reported to LSO quarterly.
- e. **DNFSB.** DOE uses the SIMS system to track commitments to the DNFSB. Additional tracking of more specific commitments may be done locally. See DNFSB Interface SOP for more details.
- f. **Self Assessments/LSO Performance Indicator Findings.** Tracking of findings and corrective actions from self assessments or as a result of LSO performance indicators.

Sub-function a. FISHE

Lead Manager – AM for LSOD

Responsibilities and Authorities

LSOD: Provide overall management of the FISHE system.

Operations Team Leaders/SMEs: Analyze FISHE data, and data from other issues management systems to identify adverse trends and systemic deficiencies. Enters the results of these analyses into FISHE, and tracks corrective actions as necessary in the FISHE system.

All employees: Enter findings and track corrective actions in FISHE in accordance with the Issues Management SOP and FISHE Users Guide. Verify and validate corrective actions from findings in accordance with the Issues Management SOP.

All ONIF employees: Enter Quarterly Safety Review findings into FISHE and Track all other findings and corrective actions in the NIF Location Component and State Tracking System database. Verify and validate corrective actions from findings.

Sub-function b. CATS

Lead Manager - AM for LSOD

Responsibilities and Authorities

TDSE: Assigns leads for tracking of corrective actions to findings placed into the CATS system

AM for LSOD: Responsible for all data entry into the CATS system.

Assigned Leads: Provide updated information to LSOD on assigned corrective actions.

Sub-function c. NTS

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Senior Safety Advisor: Monitors and oversees LLNL use of the NTS. Enters LSO verification of corrective actions, or other comments, into NTS. Assigns NTS reports to Operations Team Leaders or SMEs for verification and validation.

Operations Team Leaders/SMEs: Verifies that assigned NTS corrective actions are complete and effective, and documents verification activities in the FISHE system.

Sub-function d. Appraisal findings, Type B AI Report

Lead Manager – AM for LSOD

Responsibilities and Authorities

TDSE: Assigns leads for tracking, verification of corrective actions.

LSOD: Interfaces with LLNL on the quarterly report. Distributes the quarterly report to appropriate LSO personnel.

Assigned Leads: Ensures findings and corrective actions are accurately transcribed into the LLNL tracking system. Verifies corrective actions are complete and effective.

Sub-function e. DNFSB findings

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: Assigns leads for the various commitments to the DNFSB

ONIF: Provides input to Office of the Departmental Representative to the DNFSB on NIF specific actions being tracked in SIMS.

Senior Safety Advisor: Provides input to Office of the Departmental Representative to the DNFSB on LSO/LLNL actions (except NIF specific) being tracked in SIMS. Maintains local tracking system for all commitments resulting from DNFSB findings.

Assigned Leads: Tracks commitments and verifies completion and effectiveness of commitments and updates SSA on status.

Sub-function f. Self Assessment/LSO Performance Indicators Findings

Lead Manager - AM for LSOD

Responsibilities and Authorities

LSOD: Tracks corrective actions in response to LSO self assessment reports. Reports status of corrective actions to the Manager quarterly.

All LSO Organizations: Review LSO performance indicators and identify corrective actions as necessary. Notify LSOD of corrective actions requiring tracking.

7. Function: Feedback and Improvement

This function includes the feedback and improvement mechanisms used by LSO to improve its operations. Corrective actions generated in response to the issues raised from these activities will be managed as described in the issues management function. This function consists of the following sub-functions:

- a. LSO performance indicators. This sub-function includes the tracking and reporting of the different performance indicator systems used by LSO. See the LSO SOP on performance indicators (when issued) for further details.
- b. LSO ES&H self assessment. See the OAK Self Assessment Guide (needs to be revised) for further details.
- c. LSO Lessons Learned Program. See the OAK Lessons Learned Program Guide (needs to be revised) for further details.
- d. ES&H Related External assessments

Sub-function a. LSO Performance Indicators

Lead Managers – Deputy Managers

Responsibilities and Authorities

Deputy Managers: In consultation with the Manager, define the LSO performance indicators to be included in the monthly stoplight chart. Based on the stoplight chart and performance metrics determines issues need to be tracked in the issues management system.

LSOD: Produce a quarterly report on ES&H metrics. The report should be issued within 20 days of the end of the quarter.

Chief of Staff: Collect input from the Assistant Managers and others and issue the stoplight charts by the 10th of the month.

All LSO Organizations: Prepare stoplight charts for assigned areas as directed by the Deputy Managers and provide them to the Chief of Staff by the 7th of the month.

Sub-function b. LSO ES&H Self Assessment

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Ensures an annual ES&H self assessment for LSO is performed in accordance with the OAK Self Assessment Guide. The TDSE is assigned all the responsibilities and authorities that Guide assigns to the ES&H Committee.

Deputy Managers: In consultation with the Manager, reviews self assessment reports and other self assessment activities to determine what issues need tracked in the Issues Management System.

Supervisors: Ensure issues raised by continuous self assessment activities get raised to the Deputy Managers.

All employees: Perform continuous self assessment of their performance of their ES&H duties and raise any ES&H issues they discover to their supervisor.

Sub-function c. Lessons Learned Program

Lead Manager – AM for LSOD

Responsibilities and Authorities

Deputy Managers: Determine what issues from the Lessons Learned Program should be tracked in the Issues Management System.

LSOD: Appoint the Lessons Learned Program Manager. Performs the duties of the AM Lessons Learned Coordinator as defined in the OAK Lessons Learned Program Guide. Identifies potential issues from the Lessons Learned Program to be tracked in the Issues Management System and reports those issues to the Deputy Managers.

Sub-function d. External Assessments

Lead Managers – Deputy Managers

Responsibilities and Authorities

Deputy Managers: Appoint the LSO point of contact for external reviews. Approve formal corrective action plans to external reviews. Review external assessments of LSO to determine what issues should be tracked in the Issues Management System.

LSOD/NST/ESD: Develops corrective action plans for external ES&H related reviews of LSO.

B. LLNL Institutional Oversight Functions

This section contains the ES&H functions associated with oversight of LLNL's institutional ES&H activities. In general, the Technical Deputy for Safety and Environment and his three SME organizations have the responsibility of coordinating the implementation of these functions.

1. Function: Requirements Management

This function includes the activities necessary to approve and maintain a list of ES&H standards applicable to LLNL operations through the Work Smart Standards (WSS) process. Changes to the WSS set are processed in accordance with the Work Smart Standards Change Control Board Operating Procedures (UCRL-AR-135510). Exemptions that can be granted by the Livermore Site Office also follow this procedure.

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, approve the list of ES&H standard to be placed in the LLNL contract. Approve, when necessary, LLNL implementation plans for new standards added to the Work Smart Standard set.
ONIF: Approve NIF specific ES&H standard to be incorporated into the LLNL contract.

Senior Safety Advisor: Represents LSO on the Work Smart Standards Change Control Board.

Subject Matter Experts: Recommend changes to the Work Smart Standards set to the Senior Safety Advisor.

2. Function: Program Execution

ES&H should be integrated into program execution activities. Particular areas where the NNSA FRAM assigns responsibilities to the field include budget, allocation of resources, statements of work, and program guidance. This function includes providing input to Secretarial Offices/Deputy Administrators on the adequacy of budgets to support ES&H (normally through review of the ES&H Management Plan) and landlord activities. This function consists of the following sub-functions:

- a. **NEPA.** The preparation and approval of NEPA documents is a federal function that is intended to present the environmental impacts of a proposed action to the decision maker. LLNL assists LSO in performing this function. This function includes site wide and programmatic NEPA documents. See DOE-LSO-000032 "Programmatic NEPA Compliance Program" for more details.
- b. **Budget/Work Plans**

Sub-function a. NEPA

Lead Manager – AM for ESD

Responsibilities and Authorities

PSO: Approve Environmental Impact Statements, Supplements to Environmental Impact Statements, and Record of Decisions for EISs.

HQ Program Managers: Preparation of multi-site programmatic NEPA documents that include LLNL programs.

LSO Manager: Approves Environmental Assessments, Supplement Analyses, and Findings of No Significant Impact (FONSI) for Environmental Assessments. Preparation of site wide NEPA documents.

ESD: Appoints the LSO NEPA Compliance Officer (NCO), who is responsible for implementing all the assigned NCO responsibilities in DOE O 451.1A, and approves Categorical Exclusions.

Operation Team Leaders: Preparation of LLNL specific programmatic NEPA documents. Review of other NEPA documents concerning their assigned facilities.

Sub-function b. Budget/Work Plans

Lead Manager – DMNSO

Responsibilities and Authorities

Business Management Division: Issues funding guidance to LLNL, including guidance on how ES&H should be addressed in budget submittals (e.g. the ES&H Management Plan). Overall lead for all budget related matters.

National Security Implementation Division: As delegated in the NNSA FRAM, reviews all submittals to NNSA/HQ (except NIF) concerning budgets, allocation of resources, and program guidance matters to ensure adequacy to support mission, landlord, and ES&H initiatives. CO approves Work Authorization Sheets to allocate funding to programs, issue authorization letters to contractors, and develop and approve statements of work within the contract.

ESD: Approves all submittals to EM/HQ concerning budgets, allocation of resources, and program guidance matters to ensure adequacy to support mission and ES&H initiatives. Has authority to reallocate funding between projects within the EM program, issue program letters to contractors whenever there are funding changes, and approve statements of work within the contract.

LSOD: Reviews ES&H portion of budget submittals (e.g. the ES&H Management Plan) to ensure adequacy to support ES&H initiatives.

3. **Function: LLNL Employee Concerns**

This function includes all the activities necessary to ensure that concerns raised by LLNL (or their subcontractors) employees are properly investigated and resolved. Oversight of the LLNL internal employee concern program is covered under the function Institutional Assessment function. See the OAK ES&H Employee Concerns Procedure (needs revised) for more details.

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

LSOD: Develop and implement the LSO ES&H Employee Concerns program in consultation with the Assistant Manager for BSD and the Service Center.

4. Function: LLNL ES&H Management Plans

This function includes the review and approval of the top level LLNL ES&H Management Plans, including the ISM description as required by DEAR Clause 48 CFR 970.5304-2 Integration of ES&H into Work Planning and Execution, Implementation Plans required by DOE Nuclear Safety Rules, the LLNL Emergency Plan as required by DOE O 151.1A, and other site wide documents requiring NNSA approval. This function consists of the following sub-functions:

- a. **LLNL ISM Description.** Changes to the LLNL ISM Description are processed in accordance with the ISM Description Change Control Board procedures contained in the LLNL ISM Description (UCRL-AR-132791).
- b. **LLNL Radiation Protection Plan, Quality Assurance Plan, and USQ Procedure.** These plans and procedures are required to be submitted for approval by the DOE Nuclear Safety Rules, 10 CFR 830 and 835. See the Quality Assurance and Radiation Protection SOPs (when reissued).
- c. **LLNL Emergency Plan.** DOE O 151.1B assigns the Field Element Manager the responsibility to approve the site emergency plans and certain related documents. See DOE-LSO-000014 "Emergency Management" for more details.
- d. **Other Documents.** Other documents that usually require approval include ASER and COP program plan. See DOE-LSO-000018 for additional details.

Sub-function a. LLNL ISM Description

Lead Manager - Senior Safety Advisor

Responsibilities and Authorities

Manager: As the Contracting Officer (and as delegated in the NNSA FRAM), approves the LLNL ISM description and revisions to the description. As delegated in the NNSA FRAM, determines the need for a team review of LLNL's ISM description and revisions to the description.

Senior Safety Advisor: Serves as the Manager's representative on the ISM Change Control Board.

Sub-function b. LLNL RPP, QAP, and USQ Procedures

**Lead Managers - Assistant Manager for LSOD for the RPP and QAP
Nuclear Safety Team Leader for the USQ Procedures**

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, review and approve the RPP, QAP, and USQ procedures.

LSOD: Review changes in the LLNL RPP and QAP. Make recommendations to the Manager, through the TDSE regarding the approval of the changes.

NST: Review changes in the LLNL USQ procedures. Make recommendations to the Manager, through the TDSE regarding the approval of the changes.

Sub-function c. LLNL Emergency Plan

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, review and approve the LLNL Emergency Plan and other related documents as required by DOE 151.1B.

LSOD: Review changes in the LLNL Emergency Plan and related documents requiring NNSA approval. Make recommendations to the Manager, through the TDSE regarding the approval of the changes.

Sub-function d. Other documents

Lead Manager - TDSE

Responsibilities and Authorities

TDSE: Delegates responsibility to approve other ES&H documents requiring NNSA approval to the appropriate LSO Manager.

Assigned Manager: Reviews and approves documents as delegated.

5. Function: Institutional Assessment

This function includes functions related to the assessment of LLNL's institutional ES&H programs not covered previously, including all the major ES&H subject areas, e.g. radiation protection, industrial hygiene, quality assurance (including software quality assurance), industrial safety, maintenance, packaging and transportation, emergency preparedness, integrated safety management, environmental protection, etc. The responsibility for line oversight is delegated in the NNSA FRAM. This function consists of the following sub-functions:

- a. **Operational Awareness.** Operational awareness is those day to day activities which enable LSO to determine how well LLNL is performing to meet the requirements of the contract. These activities include walkthroughs, surveillances, program reviews, and validation of contractor actions, document reviews, and meetings with contractor staff. See the Facility Operations Awareness Program (DOE-LSO-000228) and DOE Operational Awareness at LLNL (DOE-LSO-000124) for additional details.
- b. **LSO Appraisals.** LSO conducts two kinds of appraisals, periodic and for cause. See DOE-LSO-000087 "LLNL ES&H Appraisal Protocols" for further details.

- c. External Assessments. This includes all ES&H reviews conducted by organizations other than LLNL or LSO.
- d. Appendix F Performance Measures and Metrics.
- e. Reporting Systems Review. See DOE'LSO-000033 "DOE Occurrence Reporting Management" for more details.

Sub-function a. Operational Awareness

Lead Manager – TDSE

Responsibilities and Authorities

All LSO Organizations/ONIF: Prepare and approve plans that detail the operational awareness implementation.

All Employees: Implement the approved operational awareness implementation plans, input operational awareness activities and outcomes into the FISHE system. Stop contractor work when, in their best judgment, they identify an imminent threat of danger to the life or health of any individual. Facility Representatives have additional stop work authorities delineated in AMLSO-SOP-00062.02.0 and Contracting Officers Directive 98-1 for contract W-7405-ENG-48.

Sub-function b. Appraisals

Lead Manager – TDSE

Responsibilities and Authorities

Manager: Issues the final report to LLNL. Approves LLNL CAP.

TDSE: Approve the scope of all ES&H appraisals. Appoints the Appraisal Team Leader. Reviews the appraisal report and determines the issues to be tracked by the Issues Management System.

Appraisal Team Leader: Selects the team members, and in conjunction with the team and within the approved scope, develops the performance objectives and criteria for the appraisal. Ensures the appraisal is conducted in accordance with SOP.

Sub-function c. External Assessments

Lead Manager- TDSE

Responsibilities and Authorities

Manager: Approve corrective action plans to external reviews of LSO, and approve LLNL corrective action plans when required. Determine allowability/unallowability of fines/penalties and related costs.

Office of NIF: Coordinate NIF specific reviews, approves NIF specific corrective action plans.

ESD: Coordinate all reviews by environmental regulatory agencies.

BMD: Coordinate all reviews by IG or GAO.

LSOD: Coordinate all ES&H reviews by OA and any other organization not specifically mentioned in this sub-function.

Senior Safety Advisor: Coordinate all reviews (except NIF specific) by the DNFSB staff and Office of Enforcement

Sub-function d. Contractor Performance Measure Process
Lead Manager – Deputy Manager for NSO

Responsibilities and Authorities

Manager: Approves the final ratings for LLNL, with the concurrence of the Administrator. Approves the negotiating strategy on the performance objectives and measures. Approves the Assessment Management Plan.

Deputy Managers: Make assignments for assessment of particular measures to LSO organizations.

BMD: Negotiates the performance objectives and measures.

All LSO Organizations/ONIF: Prepare Assessment Management Plans for their assigned measures and assess their functional area in accordance with that plan.

Sub-function e. Reporting Systems Review

Lead Managers - Assistant Manager for LSOD for safety and health reporting

Assistant Manger for ESD for environmental reporting

Responsibilities and Authorities

Assistant Manager for LSOD: Ensures LSO review of lab wide reporting data, e.g. CAIRS data, radiation exposures. Identifies potential issues and makes recommendations to the Manager based on these reviews.

Assistant Manger for ESD: Ensures LSO review of lab wide environmental reporting data, e.g. ASER. Identifies potential issues and makes recommendations to the Manager based on these reviews.

Senior Safety Advisor: Acts as the LSO PAAA coordinator. Reviews all LLNL PAAA activities.

C. LLNL Facility Oversight Functions

This section contains the ES&H functions associated with the oversight of LLNL ES&H activities at the facility or individual operations level. While some of the functions and LSO systems are similar to those in Section B LLNL Institutional Oversight Functions, the responsibilities and authorities are normally different. In general the Operations Teams have the responsibility of coordinating the implementation of these functions.

1. Function: Facility ES&H Management Plans

This function includes the review and approval of the facility level LLNL ES&H Documents other than safety basis documents. Examples include: Documentation prepared by the contractor to demonstrate conformance with the guidelines of DOE 5480.19 Conduct of Operations and Training Implementation Matrices per DOE 5480.20A, radioactive waste generator requirements per DOE O 435.1, closure plans per DOE O 435.1, use of non-DOE facilities for radioactive waste, etc.

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Approves closure plans for radioactive waste management facilities at LLNL per the RCRA permit Approves radioactive waste acceptance criteria.

LSOD: Approves hazard surveys and hazard assessments required by DOE O 151.1A.

Operations Team Leads: Approves all other documents unless assigned to the PSO/CSO by the applicable DOE Directive. Also approves where the PSO/CSO has delegated that authority to LSO.

2. Function: Nuclear Safety Basis Documents

This function includes the review and approval of nuclear safety basis documents and includes the following sub-functions:

- a. Initial hazard classification. This function involves the approval of the initial facility/activity hazard classification. All facilities/activities are classified according to hazard, which partially determines the standards applied to the operations and the level of DOE involvement in its authorization. For new facilities/activities, the initial hazard classification determines the level of analysis required. The final hazard classification is based on the final safety basis documentation. See LSO SOP "Review and Approval of Nuclear Safety Documents" for additional details.
- b. PDSAs, DSAs and TSRs. Review and approves PDSAs, DSAs and TSRs for nuclear facilities. See LSO SOP "Review and Approval of Nuclear Safety Documents" for additional details.
- c. Authorization Agreements. This sub-function includes the approval, verification and maintenance of authorization agreements. Authorization agreements specify contractually binding commitments relating to design, operation, and administrative controls that govern the conduct of an activity or operation of Category 2 nuclear facilities. See LSO SOP "Authorization Agreement Development, Verification and Maintenance" for additional details.
- d. USQs. The concept of the USQ was established to allow contractors to make changes and to conduct experiments without DOE approval, as long as these changes do not explicitly or implicitly affect the authorization basis or result in a TSR change. See LSO SOP "Unreviewed Safety Question Process" for additional details. Responsibilities and Authorities for amendments to DSAs due to positive USQs are the same as those in sub-function b. The approval of LLNL's USQ procedure is covered under function B.4 LLNL ES&H Management Plans.

Sub-function a. Initial hazard classification

Lead Manager - Nuclear Safety Team Leader

Responsibilities and Authorities

EM-1: Approves initial hazard classifications for EM nuclear facilities

LSO Manager: As delegated in the NNSA FRAM, approves initial hazard classifications for NNSA nuclear facilities.

Operations Team Leaders: Recommends initial hazard classification to the approval authority.

Sub-function b. PDSAs, DSAs and TSRs

Lead Manager – Nuclear Safety Team Leader

Responsibilities and Authorities

EM-1: Approves PDSAs, DSAs and TSRs for EM nuclear facilities

LSO Manager: Appoint Review Team Leaders for NNSA PDSAs, DSAs and TSRs. As delegated in the NNSA FRAM, approves PDSAs, DSAs and TSRs for NNSA Category 2 and 3 nuclear facilities. (Includes approval of nuclear safety design criteria, where required by 10 CFR 830.) Approves LSO policies and procedures governing the review and approval of DSAs and TSRs

NST: Prepare LSO policies and procedures governing the review and approval of DSAs and TSRs. Oversees the review and approval process.

Operation Team Leaders: Recommend Review Team Leaders to the Approval Authority

Sub-function c. Authorization Agreements

Lead Manager – Nuclear Safety Team Leader

Responsibilities and Authorities

EM-1: Approves authorization agreements for EM nuclear facilities.

LSO Manager: As delegated in the NNSA FRAM, approves authorization agreements for NNSA nuclear facilities.

BMD: Modifies the contract to include approved authorization agreements.

Operation Team Leaders: Prepare/review and concur on authorization agreements.

NST: Concurs in authorization agreement.

Sub-function d. USQs

Lead Manager – Nuclear Safety Team Leader

Responsibilities and Authorities

NST: Prepare LSO policies and procedures governing the USQ process.

Oversee the LLNL process for USQs.

3. **Function: Non-Nuclear Safety Basis Documents**

This function includes the review and approval of all non-nuclear safety basis documents and includes the following sub-functions:

- a. **Hazard classification.** This function involves the approval of the initial facility/activity hazard classification. All facilities/activities are classified according to hazard, which partially determines the standards applied to the operations and the level of DOE involvement in its authorization and determines the level of analysis required. See UCRL-ID-150214, R1 "Safety Basis Requirement for non-nuclear Facilities at Lawrence Livermore National Laboratory".
- b. **Safety Analysis and OSRs.** Review and approve safety analyses and OSRs for non-nuclear facilities. See DOE-LSO-000223 "Review and approval of Non-Nuclear Authorization Documents" (needs revised) and UCRL-ID-150214.R1 for more details.
- c. **USIs and SQRs.** The concept of the USI/SQR was established to allow contractors to make changes and to conduct experiments without DOE approval, as long as these changes do not explicitly or implicitly affect the authorization basis or result in an OSR change. Responsibilities and authorities for amendments to the authorization basis due to a positive SAR/USI are the same as detailed in sub-function b. See DOE-LSO-000223 "Review and Approval of Non-Nuclear Authorization Documents" and UCRL-ID-150214.R1 for more details.

Sub-function a. Hazard classification

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, approve accelerator hazard classification.

ONIF Federal Field Manager: Concurs on classification of NIF facilities.

Operations Team Leaders: Reviews LLNL's classification of other non-nuclear facilities.

Sub-function b. Safety Analysis and OSRs

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, approve safety analysis and OSRs for accelerators. Approve safety analysis and OSRs for all other non-nuclear facilities except office buildings and NIF. Appoint review team leaders.

ONIF Federal Field Manager: Approves the NIF safety analysis, with LSO Manager concurrence.

LSOD: Prepare LSO policies and procedures governing the review and approval of non-nuclear safety analysis and OSRs. Oversees the review and approval process.

Operations Team Leaders: Recommend review team leaders for safety

analysis and OSR reviews.

Sub-function c. USIs and SQRs

Lead Manager - Assistant Manager for Livermore Safety Operations Division

Responsibilities and Authorities

Livermore Safety Operations Division: Prepare LSO policies and procedures governing the USI/SQR process. Oversee the LLNL process for USIs/SQRs.

4. **Function: Project Management**

This function includes all the project management functions that affect ES&H and includes the following sub-functions:

- a. **NEPA.** The preparation and approval of NEPA documents is a federal function that is intended to present the environmental impacts of a proposed action to the decision maker. LLNL assists LSO in performing this function. See DOE-LSO-000032 "Programmatic NEPA Compliance Program" for more details.
- b. **Design Review.** The level of ES&H review of design documentation by LSO is determined by the project manager based on the hazard, cost, and complexity of the project. See function C.2.b for nuclear facility requirements.
- c. **Overall Project Management**

Sub-function a. NEPA

Lead Manager - Assistant Manager for ESD

Responsibilities and Authorities

PSO: Approve Environmental Impact Statements, Supplements to Environmental Impact Statements, and Record of Decisions for EISs.

Manager: Approves Environmental Assessments, Supplement Analyses, and Findings of No Significant Impact (FONSI) for Environmental Assessments.

ESD: Appoints the LSO NEPA Compliance Officer (NCO). Responsible for implementing all the assigned NCO responsibilities in DOE O 451.1A.

Approves Categorical Exclusions.

Operation Team Leaders: Review of NEPA documents.

Project Managers: Preparation of NEPA documents for individual projects.

Sub-function b. Design Review

Lead Manager - AMNSID

Responsibilities and Authorities

Project Managers: Determine the need for design reviews by LSO and approve disposition of LSO design review comments.

Sub-function c. Overall Project Management

Lead Manager – AMNSID

Responsibilities and Authorities

Project Managers: Responsible to oversee the implementation of ES&H requirements for the project.

5. **Function: Operations Authorization**

This function includes conduct of Operational Readiness Reviews (ORR), Readiness Assessments (RA), and Accelerator Readiness Reviews (ARR) for startup or restart of facilities/operations in accordance with the applicable DOE requirements. Prior to authorizing the startup or restart of a facility or activity, steps need to be taken to ensure the readiness of the facility. DOE Orders detail specific requirements for nuclear facilities and accelerator facilities. Some type of operational readiness review activities may be required for other facilities. Additionally, separate authorization requirements exist for Strategic Systems. See AMNS-SOP-000162 "LSO Procedures for Startup and Restart of Facilities" for more details.

Lead Manager - AMLSOD

Responsibilities and Authorities

EM-1: Authorizes operations in EM nuclear facilities.

Manager: As delegated in the NNSA FRAM, authorize operations in NNSA nuclear facilities for all cases except those designated for the Secretary of Energy/NNSA Administrator in DOE O 425.1C. NNSA/HQ retains startup authority for new Category 2 nuclear facilities. As delegated in the NNSA FRAM authorizes operations in NNSA accelerator facilities. As delegated in the NNSA FRAM, determine the level of readiness necessary for the startup of non-nuclear facilities and exercise all startup authority.

ONIF Federal Field Manager: Approve review plans for NIF Readiness Assessments and approve operations covered by the NIF Readiness Assessment review. Approval for MSAs (Critical Decision 4) is by the Secretary.

LSOD: Prepare LSO policies and procedures governing the ORRs, RAs, and ARRs. Oversees these review processes. Forwards Startup Notification Reports to EM and NNSA. Appoints the LSO Aviation Manager, who approves all aviation activities at LLNL

Operations Team Leaders: Recommends ORR/ARR Team Leaders to the Approval Authority. Appoints RA team leads.

6. **Function: Unexpected Occurrence Management**

This function includes the following:

- a. ORPS. Reporting of off-normal and unusual occurrences are required by DOE O 232.1. See DOE-LSO-000033 "Occurrence Reporting Management" (To be reissued) for more details.
- b. Accident categorization, investigation, and completion of DOE approved

corrective actions as required by DOE O 225.1A. See DOE-LSO-000061 "Process and Procedures for Conducting Accident Investigations" for more details.

Sub-function a. ORPS

Lead Manager - AMLSOD

Responsibilities and Authorities

LSOD: Prepare LSO policies and procedures governing Occurrence Reporting. Analyze trends in LLNL Occurrence Reports.

Facility Reps/Operations Team Leaders: As delegated in the NNSA FRAM, approve final occurrence reports as required by DOE M 232.1-2 and DOE-LSO-000061.

Sub-function b. Accident Investigation

Lead Manager - AMLSOD

Responsibilities and Authorities

Manager: Appoints Type B Accident Investigation Team Leaders. Issues final Type B Accident Investigation Reports.

Assistant Manager for LSOD: Prepare LSO policies and procedures governing Accident Investigations. Ensures LSO readiness to conduct Type B Accident Investigations. Maintains tracking of corrective actions in response to accident investigations tracked in CATS or local systems.

Operations Team Leaders: Verifies corrective actions in response to accident investigation report findings are complete and effective.

7. **Function: Facility Assessment**

This function includes functions related to the assessment of ES&H programs at individual (or groups of) facilities not covered previously and consists of the following sub-functions:

- a. **Operational Awareness.** Operational awareness is those day to day activities which enable LSO to determine how well LLNL is performing to meet the requirements of the contract. These activities include walkthroughs, surveillances, program reviews, and validation of contractor actions, document reviews, and meetings with contractor staff. See the Facility Operations Awareness Program (DOE-LSO-000228) and DOE Operational Awareness at LLNL (DOE-LSO-000124) for additional details.
- b. **LSO Appraisals.** LSO would normally only conduct a for cause review of an individual facility, but these responsibilities and authorities apply to routine appraisals. See the LSO Appraisal SOP for more detailed responsibilities and authorities. See DOE-LSO-000087 "LLNL ES&H Appraisal Protocols" for further details.
- c. **External Assessments.** This includes all ES&H reviews conducted by organizations other than LLNL or LSO.

Sub-function a. Operational Awareness

Lead Managers – Operations Team Leaders

Responsibilities and Authorities

LSOD: Establishes policies and procedures regarding the LSO Facility Rep program and the Safety System Oversight program.

Operations Team Leaders: Prepare and approve plans that detail the operational awareness implementation for the facilities assigned to their team. Maintain awareness of the operational awareness findings from team members.

Facility Reps: Maintain awareness of assigned LLNL facilities/operations in accordance with OAK STD 1063 and OAIPs

Subject Matter Experts: Support Facility Reps and OTLs in maintaining awareness of ES&H program/concerns in their assigned operations/facilities.

Safety System Oversight Personnel: Maintain awareness of the design and operability of designated safety systems in accordance with LSO Safety System Oversight program.

All Employees: Stop contractor work when, in their best judgment, they identify an imminent threat of danger to the life or health of any individual. Facility Representatives have additional stop work authorities delineated in OAK SD 1063.1 and Contracting Officers Directive 98-1 for contract W-7405-ENG-48.

Sub-function b. Appraisals

Lead Manager – Operations Team Leaders

Responsibilities and Authorities

Manager: Issues the final report to LLNL.

Operations Team Leader: Approve the scope of all facility specific ES&H appraisals. Appoints the appraisal team lead. Reviews the appraisal report and determines the issues to be tracked by the Issues Management System.

Appraisal Team Lead: Selects the team members, and in conjunction with the team and within the approved scope, develops the performance objectives and criteria for the appraisal. Ensures the appraisal is conducted in accordance with SOP.

Sub-function c External Assessments

Lead Manager – TDSE

Responsibilities and Authorities

Manager: Approve corrective action plans to external reviews of LSO, and approve LLNL corrective action plans when required. Determine allowability/unallowability of fines/penalties and related costs.

BMD: Acts as the POC for the IG or GAO for facility specific reviews.

LSOD: Acts as the POC for OA and any other organization for facility specific ES&H reviews.

ESD: Acts as the POC for environmental regulatory agencies for facility specific reviews.

Operations Team Leaders: Acts as the POC with LLNL for all external facility specific reviews. Overall lead for this function.

Senior Safety Advisor: Acts as the POC for the DNFSB staff and Office of Enforcement for facility specific reviews.

Appendix A

Operations Teams

Team #	Team Name	Division
1	Superblock	NSID
2	Explosives	NSID
3	Physics and Advanced Technologies	NSID
4	Technology Research, Institutional, and Infrastructure	LSOD
5	Buildings 231 and 251, Packaging and Transportation Operations	LSOD
6	Environmental Programs	ESD
7	Nonproliferation, National Security, and Intelligence	NSID
8	National Ignition Facility Project	ONIF

SEPARATION

PAGE

United States Government

Department of Energy

memorandumNational Nuclear Security Administration
Los Alamos Site Office
Los Alamos, New Mexico 87544

DATE: FEB 13 2004
 REPLY TO:
 ATTN OF: OFO:1DB-016
 SUBJECT: Transmittal of LASO Functions, Responsibilities, and Authorities Manual (FRAM)

TO: Sam Johnson, Deputy Director, NA-124, HQ/GTN

Attached is the final Functions, Responsibilities, and Authorities Manual (FRAM). It includes the flow-down of responsibilities from the NNSA FRAM dated December 2003.

The Los Alamos Site Office (LASO) FRAM was formatted according to our standard Management Procedure format. A major effort went into the development and coordination for this document. This FRAM describes our specific functional areas and their specific responsibilities and authorities as per the email guidance. In addition, we have clearly defined all safety roles. This document will be implemented after receipt of any comments NA-10 may wish to provide.

If there are any questions regarding this document, please contact Mr. Gerald Schlapper of my staff at (505) 665-7111.



Ralph E. Erickson
Manager

Attachment

cc: w/o attachment:
 Dennis Martinez, OOM, LASO
 Gerald Schlapper, SSA, LASO
 Brenda Finley, OOM, LASO
 Tom Hornsby, OC, LASO
 Eugene Rodriguez, OPL, LASO
 Joseph Vozella, OFO, LASO
 Christopher Steele, SABL, LASO
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2004 FEB 13 10:39



Department of Energy

Management Procedure No. 10.4 LOS ALAMOS SITE OFFICE (LASO)



MP 10.4, Rev. 0

Effective Date: February 1, 2004

Approved: 
LASO Manager

TITLE: SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

1.0 PURPOSE

This procedure is the Los Alamos Site Office (LASO) level document that describes LASO Operational functions, responsibilities, and authorities, in addition to the flow down of National Nuclear Security Administration (NNSA) FRAM requirements for line, support, oversight, and enforcement functions at Los Alamos Site Office.

2.0 EXECUTIVE SUMMARY-SCOPE

The Secretary of Energy (the Secretary) has the primary responsibility for ensuring that work at NNSA facilities and sites is performed in a manner that adequately protects the worker, the public, and the environment. This responsibility flows from the Secretary through line management to the individuals performing the work. The goal of performing work safely is reflected in the guiding principles and core management functions established in DOE P 450.4, *Safety Management System Policy*, dated 10-15-96, and is codified in the Department of Energy Acquisition Regulations, found at Title 48 of the Code of Federal Regulations (CFR), §§ 970.5204-2, and 970.5223-1 (48 CFR 970.5204-2 and 970.5223-1).

These guiding principles include the following:

- a) Line management is responsible for protection of employees, the public, and the environment; and
- b) DOE/NNSA and its contractors must clearly define and maintain the lines of responsibility for ensuring protection of environment, safety, and health (ES&H) at all organizational levels.

This procedure addresses both of these guiding principles for NNSA by documenting LASO management functions, responsibilities, and authorities relating to safety management and LASO operations. The term "safety management" for purposes of this procedure refers to those NNSA functions and responsibilities that pertain to and govern the safety of operations and activities at NNSA sites and facilities. This document is required by DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, which mandates the development of a corporate-level document to establish the clear lines of responsibilities and authorities that are necessary to:

- Develop and implement requirements and standards that are necessary to provide reasonable assurance that workers, the public, and the environment are adequately protected;
- Define essential safety management functions and establish unambiguous DOE/NNSA roles, responsibilities, and authorities for executing them to accomplish the authorized work;
- Clarify the roles, responsibilities, lines of authority, and delegations between Headquarters (HQ) and field organizations;

- Ensure compliance with legal requirements and manage against contractual requirements;
- Define functional relationships and responsibilities among DOE/NNSA line, support, oversight, and enforcement organizations; and
- Address the coordination of line direction from multiple program offices at a single site.

This procedure is the LASO-level document that defines safety management, and LASO Operational functions, responsibilities, and authorities for LASO management with responsibilities for line, support, oversight, and enforcement functions. LASO provides operations, production, and program oversight and contract administration for Los Alamos National Laboratory (LANL) activities and serves as the risk acceptance agent for the NNSA. LASO is responsible for: (1) the safe and secure operation of LANL facilities; (2) supporting NNSA programs to ensure their success in accordance with their expectations; and (3) ensuring the long-term viability of LANL to support NNSA programs and projects. The following sections detail specific responsibilities of the offices within LASO and in addition, includes a summary of ES&H related responsibilities.

* Denotes a NNSA FRAM Flow-down requirement

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 Department of Energy, Policy (DOE P) - 450.5 Line Environment, Safety and Health Oversight
- 3.1.2 DOE M 411.1-1C - Safety Management, Functions, Responsibilities and Authorities Manual
- 3.1.3 NNSA Functions - Responsibilities and Authorities Manual, dated: 15 October 2003

4.0 RESPONSIBILITIES

4.1 Office of the Manager

The Manager serves as the LASO Senior Executive and Contracting Officer, with comprehensive responsibility for overall management of Los Alamos Site Office activities related to the LANL Management and Operating (M&O) contractor in matters pertaining to execution of contract terms and conditions, and programmatic requirements. The Los Alamos Site Office serves as the primary advisor to the NNSA/HQ on all matters affecting the LANL M&O contract and appoints Contracting Officer Representative(s) for the contract.

The LASO Manager is responsible for:

- Administrating the M&O contract, including oversight of contractor procurement, policies, procedures and personnel activities;
- Approves the LANL contract Performance Measures (PM);
- Ensures that Los Alamos National Laboratory (LANL) facilities are operated in an environmentally acceptable and safe manner;
- Coordinates the contractor's health, safety, environment, and operational surety programs including: planning, scheduling, inspections, appraisals, and follow-up actions;
- Manages project construction, real property, and utility operations in support of the LASO programs;

- *Manages the technical and physical security programs including contractor and subcontractor activities;
- *Manages the public affairs and protocol liaison activities in Los Alamos;
- *Coordinate with contractor and Deputy Administrator;
- *Acts as sole authority for the LANL Nuclear Facility List;
- *Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator-Headquarters retains startup authority for new Category 2 nuclear facilities;
- Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources;
- *Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements;
- Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed;
- Ensure the status of corrective actions in the DOE/NNSA Corrective Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP;
- If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately;
- Effectively translates mission into work, sets expectations, integrates work, prioritizes, ensures adequate resources and allocates resources; and
- Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.

4.2 Deputy Manager

The Deputy Manager is a Contracting Officer, is responsible for the direction of programs, projects and administrative functions and activities assigned to LASO related to the LANL M&O contract, and serves as the Acting Manager in the absence of the Manager. The Deputy Manager acts for the LASO Manager when delegated and represents the Manager for LASO in negotiations and interactions with contractors, representatives of other government agencies (Federal, state, and local), and other DOE/NNSA offices in assigned programs. The Deputy Manager also recommends fee allocation, fee awards (including penalties), and performance-based incentives to the LASO Manager. The Deputy Manager is responsible for the same areas as the Manager.

4.3 Office of Counsel

The LASO Chief Counsel reports to the Manager on programmatic, administrative, and functional matters and to the NNSA General Counsel on matters of law and legal policy; and directs and is responsible for all matters of law and legal policy that are connected with the functions of LASO. Chief Counsel is directly accountable to the Manager for all matters of law and legal

policy at LASO. Chief Counsel provides frequent updates pertaining to activities, actions, and decisions regarding legal issues. In accordance to basic ISMS principles to have authorities, responsibilities, and accountabilities defined, the LASO Chief Counsel is the single point of contact, representing the Manager pertaining to the interpretation, review, and approval of legal documents.

The Chief Counsel is responsible for:

- Reports to the Manager on programmatic, administrative, and functional legal matters;
- Reports to the NNSA General Counsel on matters of law and legal policy;
- Directs and is responsible for all matters of law and legal policy which are connected with the functions of LASO;
- Manages Personnel Security Processing;
- Manages LASO FOIA Coordination; and
- Provide Legal advice to line management relative to LASO oversight of LANL Contract Management.

4.4 Public Affairs Office

The Public Affairs Manager reports to the Manager for LASO and is responsible for all programmatic, administrative, and functional public affairs matters that are connected with the functions of LASO. In this capacity, the Public Affairs Manager is responsible for the development, management, and oversight of the LASO public affairs programs including media relations, community relations, tribal relations, public participation, government/congressional relations, protocol, emergency management public affairs, and internal employee communications. The Public Affairs Manager keeps the NNSA Headquarters Office of Congressional, Intergovernmental, and Public Affairs and the NNSA SC Office of Public Affairs informed of issues that might result in broader public interest. The LASO Public Affairs Manager is the single point of contact, representing LASO when activities pertain to the interpretation, review, and approval of public affairs related documents or activities.

The Public Affairs Manager is responsible for:

- Reports to the Site Manager on programmatic, administrative, and functional matters relating to public affairs;
- Reports on public participation and community development;
- Directs all public affairs matter of policy connected with LASO functions;
- Prepares LASO Communication Plan;
- Maintains the LASO Communication Plan;
- Manages the Citizens' Advisory Board (CAB); and
- Participates on the Emergency Operations Center (EOC) as the Public Affairs Subject Matter Expert.

4.5 Senior Safety Advisor

The LASO Senior Safety Advisor (SSA) is a contracting officer representative and is responsible for providing technical advice to the Manager and acts as the principle contact for all matters relating to technical issues associated with the safe operation of the LANL performed in support of the DOE/NNSA strategic mission. The SSA also acts as the manager in his absence when requested.

Recommends changes to LASO FRAM documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes, Deputy Administrator approval is only needed for significant Site FRAM changes. In addition, the SSA is responsible for interfacing with the Defense Nuclear Facilities Safety Board as the LASO point of contact for all LANL site-specific issues, Price Anderson Act Amendment (PAAA) functions, and overall nuclear safety.

Senior Safety Advisor is responsible for:

- Provides technical advice to the Manager of the Los Alamos Site Office and technical staff;
- The principle contact for all matters relating to technical issues associated with the safe operation of the Los Alamos National Laboratory performed in support of the NNSA strategic mission;
- *The single point of contact in matters related to Integrated Safety Management (ISM);
- The Chairman of the Change Control Board (CCB);
- The single point of contact for Defense Nuclear Facilities Safety Board;
- Supports the Work for Others (WFO) programs related to safety;
- *Review and approve the ES&H requirements to be included in the contracts;
- *Ensures that a documented PAAA coordination process exists in accordance with NNSA policies and procedures, including a process for tracking and verification of closure of contractor corrective actions;
- *Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from NNSA requirements, local, State, or other Federal agencies;
- *As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date;
- *Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE/NNSA-wide sharing of lessons learned;
- *Prepares Los Alamos Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRAM documents for LASO that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed;
- *Revise FRAM documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes;
- *Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned and executed; and
- Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement and Investigation.

4.6 Security Management

The Assistant Manager for Security Management (AMSM) is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration for all LANL activities related to Safeguards and Security (S&S) and Intelligence. The AMSM performs comprehensive compliance and performance-based monitoring and evaluation of the contractor's safeguards and security program effectiveness through the conduct of surveys, surveillances, compliance reviews and performance testing across all topics and sub topics. In addition, the AMSM evaluates the credibility and effectiveness of the contractor's protection plan and strategies in comparison to the current Design Basis Threat and site-specific vulnerability assessments. The AMSM participates in the formulation of the annual sites S&S fiscal budget and monitors the execution of the approved budget. Responsible for the final approval of the LANL Site Safeguards and Security plan and other pertinent security plans. The AMSM provides oversight to ensure the effective implementation of the overall LANL S&S program to include the topics: program management, protection program operations, nuclear material control and accountability, information security to include classified and unclassified cyber security, and personnel security.

Assistant Manager for Security Management is responsible for:

AMSM's responsibility includes five topical areas of Security. Within the five topical areas, there are 32 sub topical areas. Program Management deals with the planning and overall management of NNSA's Safeguards and Security Programs. Program Management is the foundation on which all Safeguards and Security (S&S) Programs are built. Within the program management topical area, there are nine sub topical areas. These include:

- Developing Program management and administration; Program planning; Personnel Development and training;
- Coordinating Facility approval and registration of activities dealing with Foreign Ownership, Control, or Influence; and
- Developing and implementing a LASO Safeguards and Security Plans, Surveys and self-assessments, Resolution of findings, and Incident reporting and management.

Protection Program Operations Provides Oversight to:

- Physical security
- Security systems
- Protective Force
- Security Badges, Credentials and Shields
- Transportation Security

Information Security Provides Oversight to:

- Classification guidance
- Classified Matter Protection and Control
- Specials Access Programs and Intelligence Information
- Classified Automated Information Systems Security (AISS)
- Technical Surveillance Countermeasures
- Operations Security
- Unclassified AISS
- Protected Distribution System
- Communications Security

Nuclear Materials Control & Accountability Provides Oversight to:

- Basic Requirements
- Material Accounting
- Material Control

Personnel Security Provides Oversight to:

- Access Authorization
- Safeguards and Security Awareness Program
- Control of Classified Visits Program
- Unclassified Visits and Assignments by Foreign Nationals
- Personnel Assurance Program
- Personnel Security Assurance Program

4.7 Business Administration

The Assistant Manager for Business Administration (AMBA) is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration activities related to the LANL M&O contract and associated business management functions to include information technology, human resources, procurement, personal property management, Inspector General/General Accounting Office interface, and records management. The AMBA is responsible for the coordination of the LANL evaluation of contractor performance through the development of the Performance Evaluation Report and annual Performance Evaluation Plan. Oversees and facilitates the implementation of DOE/NNSA specific policies, procedures, programs, and management systems pertaining to development and implementation of program controls related to the administration of prime contracts, grants and agreements, performance incentive and assessment programs, Work Authorizations, and general financial planning, management, costing and budgeting. The AMBA provides direction, advice, processes and systems to facilitate LANL internal management systems for federal program direction budgeting, information technology, records management, and training. Responsible for the LANL directives system process including the review, comment, and resolution of DOE/NNSA-HQ Policies, Orders, Manuals, Guides, Rules, and technical standards, along with select LANL Laboratory Implementing Requirements (LIRs), Manuals, and Notices and incorporation of these directives into the LANL appendix G contract. In addition, the AMBA is responsible for establishing the LANL business management system.

Assistant Manager for Business Administration is responsible for:

- Contract administration and business management functions required of the NNSA field management in the oversight of LANL;
- Business activities that support LASO to include such functions as budget and accounting, procurement, personal property and equipment, human resources, and any other services required in the logistical support of Los Alamos Site Office;
- Manage the University of California (UC) LANL performance-based M&O contract;
- Negotiate annual M&O performance objectives and measures to include preparation of the annual Performance Appraisal Plan;

- Prepare the annual performance-based Appraisal Report of the M&O contractor for submittal to HQ;
- Provide contracting activities over the M&O contract with UC/LANL to include: contract negotiations, changes to scope, terms and conditions including funding modifications; and contract administration activities;
- Approve the M&O Procurement and Property Systems;
- Provide technical and management assistance to LASO program managers in performance of their duties to include logistical support;
- Maintain awareness of assigned M&O contractor's budget, including significant developments and existing or impending problem areas, and coordinate with the appropriate LASO and HQ organizations;
- Approve LANL exemptions to accounting policies and practices to include overhead rate adjustments or deviations; and
- Provide the necessary interface with the Service Center for all other budgetary and financial activities related to the site.

4.8 Project Management

The Assistant Manager for Project Management (AMPM) is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of facilities, project management and Environmental Restoration (ER) funded projects. Facilities Management: Construction Project Management: Provides oversight and contract administration of construction project planning and management; and in project planning for site construction projects. Real Property Management: Approves LANL contractor property systems with respect to property acquisition, control, and disposition at LANL sites. Provides oversight and contract administration of Environmental Restoration funded projects, including activities involving all aspects of cleanup and long-term stewardship.

Assistant Manager Project Management is responsible for:

- Coordination of project management for major systems acquisitions, major projects, and oversight for line item projects for which project management responsibilities have been assigned to LASO;
- Execution of construction project management and Program and Project Management for the acquisition of Capital Asset assigned to LASO;
- Coordination of in-house Energy Management Program, and Management of the Davis-Bacon Act determinations;
- Development of performance-based contract requirements in project management;
- Projects supporting Facilities and Infrastructure initiatives;
- Acts as Chair of project Baseline Change control board meetings;
- Acts as Project lead for Energy Systems Acquisition Advisory board (ESAAB) process for LASO;
- *Reviews and approves contractors' Quality Assurance Plans (QAPs), and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs for non-nuclear weapons quality;
- *Develops and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents;
- Submits integrated site FRAM/QAP to the Deputy Administrator for review and concurrence; and

- Submits Los Alamos Site Office QAPs to the Deputy Administrator for approval.

The Environmental Restoration Team:

Environmental Restoration Program activities including:

- Site characterization and remedial alternatives analysis, and compliance with EPA and state permits;
- Provides input to risk assessment evaluations and makes recommendations to establish remedial action project priorities and long-range planning for remedial actions; and
- Complete DOE/NNSA Land Transfer initiatives.

4.9 Program Liaison

The Office of Program Liaison (OPL) is a contracting officer representative that provides programmatic performance measure definition and assessment regarding nuclear weapons programs, quality, technology, and nonproliferation program activities, in addition to site planning Ten-Year Comprehensive Site Plan (TYCSP), Integrated Nuclear Planning, and Oversight of the Readiness in Technical Base and Facilities Program (RTBF), in support of the Nuclear Weapons Complex and NNSA Headquarters Program Managers. Coordinates with program sponsors: contractor performance, evaluation, and definition, per the Appendix F process.

The Assistant Manager for Program Liaison is responsible for:

Weapons Quality Assurance (QA)

- Provide management oversight of implementation and effectiveness of production and design agency quality programs;
- Provide product acceptance and inspection activities;
- Ensure that production agency's quality programs facilitate meeting weapon production schedule deliverables;
- Provide oversight of contractor/design agency's implementation of quality requirements through performance of quality assurance surveys, assessments, and program reviews; and
- Provide programmatic support to Nuclear Weapons Complex for quality policy development and implementation.

Weapons Program

- Validation of budgets, scopes, and schedules as requested by program managers;
- Milestone tracking and reporting;
- Programmatic Budget definition, tracking, and reporting;
- Coordinates Los Alamos Site Office activities in support of contractor programmatic projects and activities; and
- Provides information on program status to Headquarters program managers.

Site Planning

- On-site representation for DOE/NNSA Program Managers regarding facility availability for programmatic needs; and
- Strategic Site Planning (TYCSP and Integrated Nuclear Planning), RTBF management and assessment.

Technology and Nonproliferation Programs

- Perform field oversight of NA-20 programs. This includes: review of work authorizations and recommend approval to the contracting officer, provide oversight and assist in the execution of the programs at the program manager's request, and evaluate LANL against the annual performance appraisal process;
- Perform field oversight of NA-40 programs. This includes: review of work authorizations and recommend approval to the contracting officer, provide oversight and assist in the execution of the programs at the program manager's request, and evaluate LANL against the annual performance appraisal process; and
- Perform field oversight of Department of Homeland Security projects conducted at LANL. This includes: review of proposals received through the Work for Others process, recommendation of approval of WFO funding to the contracting officer, facilitate closeout of projects, and evaluate LANL against DHS expectations through the annual performance appraisal process.

Office of Nuclear Energy, Science & Technology;

- Reviews and recommends approval of work proposals and life cycle plans to program sponsors;
- Provides technical oversight of approved technical work and ensures to the LASO Manager/Contracting Officer that approved work activities have mitigated risk in areas such as safety, security, and environment; and
- Reviews and recommends approval of Work Authorizations from a technical perspective.

Work For Others

- Provide assistance to other Federal agencies and non-federal entities in accomplishing goals that may otherwise be unattainable and to avoid the possible duplication of effort at Federal facilities;
- Provide access for non-NNSA entities to highly specialized or unique NNSA facilities, services, or technical expertise;
- Increase research and development interactions between NNSA facilities and industry to transfer technology originating in NNSA facilities to industry for further development or commercialization; and
- Maintain core competencies and enhance the science and technology base at NNSA facilities.

Materials

- Develops with the contractor long term storage and disposition strategies for special nuclear material;
- Manages the disposition of excess special nuclear material for Los Alamos National Laboratory;
- Provides assessment and long term planning horizons for packaging and transportation needs of the laboratory;
- Establishes shipping corridors between NNSA sites for special nuclear materials; and
- Provides support for all DNFSB recommendations regarding the stabilization of excess special nuclear materials.

4.10 Safety Authorization Basis Team (SABT)

The Senior Authorization Basis Manager (SABM) is a Contracting Officer Representative and is responsible for direction, oversight and contract administration activities regarding development of safe nuclear and select non-nuclear Documented Safety Analyses (DSA) in support of safe nuclear and non-nuclear operations. SABT is responsible for the planning, implementation, and operations at the LANL nuclear and non-nuclear facilities to ensure programmatic objectives are met. LANL Nuclear Facilities supports long term planning of facility operations and mission/program activities. The SABM is responsible for ensuring satisfactory development, and approval of the safety basis requirements for all LANL Sites both nuclear and select non-nuclear.

The Safety Authorization Basis Manager (SABM) is responsible for:

- Approval authority for all existing and proposed new Documented Safety Analysis (DSA) and Technical Safety Requirements (TSR) documents for facilities and activities per 10CFR830;
- Approval authority for non-nuclear safety bases as necessary;
- Approval authority for the Unreviewed Safety Question (USQ) process
- Approves safety documentation deviations and temporary exemptions;
- Approval authority for nuclear and non-nuclear safety basis process interpretations and guidance;
- Safety Basis Qualification card signature authority;
- Approval authority for Safety Authorization Basis Team Standard Operating Procedures;
- Conducts negotiations in contract performance measures;
- Recommends approval for site nuclear facilities list;
- Approval authority for LANL Master Schedule for safety basis deliverables;
- Conducts Safety Authorization Basis work in accordance with a formal safety analysis review procedure approved by the SABM entitled "Authorization Basis Review Procedure";
- Reports Fiscal year goals are explicitly established in the yearly SABT Operational Plan and Master Schedule;
- *Approves final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830;
- *Approves final nuclear and non-nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830;
- *Approves the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, Facility Safety, as required by 10 CFR 830;
- *Directs the contractor to prepare, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830;
- *Obtains EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used;
- *Approves the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation;
- For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report as well as any

required Safety Evaluation Report (SER) conditions of approval necessary for the facility including and required upgrades;

- *Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR 830;
- Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, Facility Safety, as required by 10 CFR 830;
- *Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).

4.11 Facility Operations

The Assistant Manager for Facility Operations (AMFO) is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of the of environmental, safety, and health (ES&H) programs for the LANL M&O contract; serves as NNSA lead for site environmental planning, compliance, monitoring, and permitting; conducts process for the National Environmental Policy Act (NEPA); provides oversight including independent readiness assessments, programmatic ES&H assessments, authorization basis support, accident investigations and employee concern reviews; develops and maintains a qualified Facility Representative program; implements and oversees Integrated Safety Management Systems (ISMS); implements the LASO emergency management program and maintains a qualified LASO emergency response organization; provides subject matter expertise and technical support at the local Emergency Operations Center and other sites and facilities as requested; manages the Federal Employee Occupational Safety and Health Program; and provides oversight and direction for LANL waste management and pollution prevention programs.

Assistant Manager for Facility Operations is responsible for:

- Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised;
- Ensure that the safety management systems adequately prioritize work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources; and
- The oversight of the Facility Representative Team, the Safety and Health Team, and the Environmental Protection Team.

Facility Representative (FR) Team Provides Oversight to:

- FRs verify implementation of Safety Basis controls for nuclear and unique risk facilities;
- FRs evaluate and report on the effectiveness of programs that support or are taken credit for in the safety basis;
- FRs maintain an awareness of day-to-day operations to ensure continued effective implementation of the above two priorities and the facilities' ability to operationally support mission objectives;

- Provides on-site review and review of nuclear and select non-nuclear facility operations;
- *Oversees start-up activities of new facilities or restart of existing facilities including support Operational Readiness Reviews in assigned areas;
- Manages the incident reporting systems including oversight of preparation of Unusual Occurrence Reports;
- Conducts oversight of Conduct of Operations; oversight of facility maintenance operations, and oversight of the Integrated Work Management Process;
- *Conduct line oversight of safety management systems to ensure effective implementation and maintenance;
- *Provide line management oversight and ensure the implementation of hazards mitigation programs and controls;
- Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements;
- *Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, Startup and Restart of Nuclear Facilities;
- Review and approve contractor Startup Notification Report in accordance with DOE O 425.1C;
- Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C;
- *Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercise all startup authority;
- *Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives; and
- *Require contractors to report occurrences on Occurrence Reporting and Processing System (ORPS). Review and approve reports, as delegated, including proposed corrective actions and lessons learned. Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.

Safety and Health Team Provides Oversight to:

- Radiological/Health Physics;
- Industrial fire protection oversight
- Industrial hygiene programs oversight;
- Provides oversight of the M&O's Institutional Biosafety Committee (IBC) and Biosafety program;
- Industrial Safety programs;
- High explosives operations;
- Construction activities for safety;
- Nuclear safety program including criticality;
- Packaging and transportation safety and compliance;
- The M&O's Emergency Management Program operations and the M&O's Maintenance program;
- The Vital Safety Systems (VSS);
- Oversees ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities;

- *Ensure that contractors describe, document, implement, and maintain their safety management systems;
- *Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.
- *Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, Comprehensive Emergency Management System except at sites where exemption has been granted or the Order is not applicable. Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate.
- Review and approve the following: RPPs for DOE/NNSA activities as required in 10 CFR 835;
- *Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees.
- *Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE/NNSA-wide sharing of lessons learned.
- *As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.
- *Perform management assessments of contractors to evaluate their success in doing work safely.
- *Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.

Environmental Protection Team Provides Oversight to:

- Oversees, monitors, and evaluates contractor performance in environmental and resource protection and monitoring;
- Interprets compliance with federal, Environmental Protection Agency (EPA), and state legislation, rules, and regulations;
- Assures compliance with the National Environmental Policy Act through program guidance, appraisals, and development and review of environmental documentation and manages the cultural resource program;
- Supports public involvement activities throughout the LASO to include public outreach and stakeholder involvement;
- Performs environmental oversight for clean air, clean water activities at the LANL site and interfaces with regulatory agencies on compliance issues and permit applications;
- Serves as technical representative for the Agreement-In-Principle with New Mexico Environmental Division Grant;
- Provides oversight of low-level waste disposal facilities;
- Approves environmental surveillance reports, monitoring reports and groundwater reports;

- Provides oversight of TRU waste certification activities;
- Monitors and evaluates contractor performance in the Sites of waste management (WM), waste operations, waste storage, waste treatment/disposal, and pollution prevention programs;
- Coordinates and reviews low level WM activities at Los Alamos National Laboratories (LANL), including the degree of progress in meeting schedules and objectives;
- Develops and manages Resource Conservation and Recovery Act (RCRA) permits and interfaces with regulatory agencies on RCRA compliance issues and permit applications;
- Provides oversight of the M&O Air Operating Permit;
- Provides oversight of the M&O National Pollution Discharge Elimination System (NPDES) permit;
- Provides oversight of the M&O Toxic Substance Control Act (TSCA) Disposal.

5.0 PROCEDURE

5.1 Editorial Changes to LASO FRAM Procedure

The FRAM will be reviewed and updated as appropriate on an annual basis.

5.1.1 Editorial changes to this procedure may be made without subjecting the procedure to the same level of review necessary for a new or revised procedure. The following items are considered editorial changes:

- A. Corrections to grammar or spelling
- B. Renumbering sections or attachments
- C. Updating organizational titles

NOTE: A change in organizational titles accompanied by a change in responsibilities is not considered an editorial change.

6.0 ATTACHMENTS

6.1 Attachment 1 NNSA Task Flow Down

7.0 REVISION HISTORY

7.1 Revision 0 – New Procedure

ATTACHMENT 1, NNSA TASK FLOW DOWN

NNSA TASK FLOW DOWN, SECTION 3.8 TO LASO FRAM		
SABT	DELEGATED NNSA TASKS	Shared with:
	a. *Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830.	OFO
	b. Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i> , as required by 10 CFR 830.	OFO
	c. Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.	SSA
	d. Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.	OFO
	e. Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.	N/A
	f. For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report.	N/A
OFO	DELEGATED NNSA TASKS	Shared with:
	a. Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities	
	b. Prepare Site Office FRAM, submits for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.	SSA
	c. Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.	
	d. Conduct line oversight of safety management systems to ensure effective implementation and maintenance.	
	e. Ensure that contractors describe, document, implement, and maintain their safety management systems.	
	f. Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.	BA/SM
	g. Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provides this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).	
	h. Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.	

ATTACHMENT 1, NNSA TASK FLOW DOWN

OFO	DELEGATED NNSA TASKS	Shared with:
	w. Require contractors to report occurrences on ORPS. Review and approve reports, as delegated, including proposed corrective actions and lessons learned. Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.	
	x. As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.	
	y. Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.	
	z. Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed.	
	aa. Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.	
	bb. If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.	
	cc. Perform management assessments of contractors to evaluate their success in doing work safely.	
	dd. Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised. Shared duty with SSA.	
BA	NNSA FRAM Rev 0.0. Delegated Tasks from Section 3.8	Shared Duties
	a. Ensure that the safety management systems adequately prioritize work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.	OFO
SM/BA	NNSA FRAM Rev 0.0. Delegated Tasks from Section 3.8	
PM	NNSA FRAM Rev 0.0. Delegated Tasks from Section 3.8	
	a. Review and approve contractors' Quality Assurance Plans (QAPs), and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs.	
	b. Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents. Submit integrated site FRAM/QAP to the Deputy Administrator for review and concurrence. Submit site office QAPs to the Deputy Administrator for approval.	

ATTACHMENT 1, NNSA TASK FLOW DOWN

OPL	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	
	a. Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.	
SSA	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	
	a. Prepare Site Office FRAM, submits for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.	OFO
	b. Ensure that a documented PAAA coordination process exists in accordance with NNSA policies and procedures, including a process for tracking and verification of closure of contractor corrective actions.	
	c. Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.	
	d. Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator.	
	e. As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date.	
	f. Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE-wide sharing of lessons learned.	OFO
	g. Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement and Investigation.	
	h. Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.	OFO

SEPARATION

PAGE



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Department of Energy
National Nuclear Security Administration
Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, NEVADA SITE OFFICE

FROM

Everet H Beckner
Deputy Administrator
for Defense Programs

Handwritten signature of Everet H Beckner.

SUBJECT

**ACTION: APPROVAL OF THE NEVADA SITE OFFICE
(NSO) FUNCTIONS, RESPONSIBILITIES AND
AUTHORITIES MANUAL (FRAM)**

In accordance with my responsibilities and authorities covered in Section 3 4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached NSO FRAM, dated February 3, 2004. Our review has determined that most of the functions, responsibilities and authorities required by NNSA FRAM are covered in the submitted FRAM and the remainder will be covered in the next revision.

During the review we noted that responsibilities and authorities for quality assurance are covered in Section 4, Assistant Manager for Safety and Security Programs, without specific reference to software quality assurance. We request that you highlight the quality assurance and software quality assurance responsibilities and authorities in the next update of the FRAM to meet the requirements of Action 1 4 4 of the Quality Assurance Improvement Program and Commitment 4 1 6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-1.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy FRAM (DOE), DOE M411 1C. This will require an update of the Site Office FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the Site Office FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment
L Brooks, NA-1
T Przybylek, NA-2



Printed with soy ink on recycled paper

**U.S. DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
NEVADA SITE OFFICE**

MANUAL

NV M 111.XC

**Approved: 02-03-04
Review Date: 02-03-06
Expires: 02-03-08**

**FUNCTIONS, RESPONSIBILITIES,
AND AUTHORITIES MANUAL**



02-03-08
02-03-08

**INITIATED BY:
Office of Business Affairs**

FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

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1 (and 2)

1. OBJECTIVE. This Manual defines the National Nuclear Security Administration (NNSA) Nevada Site Office (NNSA/NSO) Functions, Responsibilities, and Authorities (FRA) associated with its major organizational elements and position categories. The Manual also incorporates the requirements of the NNSA Functions, Responsibilities, and Authorities Manual (FRAM), the Department of Energy (DOE) corporate FRAM, and the Environmental Management (EM) FRAM. The Office of Business Affairs (OBA) will serve as the Office of Primary Responsibility (OPR).
2. CANCELLATION. NV M 111.XB, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 7-3-02.
3. APPLICABILITY. This Manual applies to all NNSA/NSO organizational elements.
4. RESPONSIBILITIES. See Chapters II, III, and IV.
5. REFERENCES.
 - a. DOE P 411.1, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES POLICY, dated 1-28-97.
 - b. DOE M 411.1-1C, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 12-31-03.
 - c. NNSA, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 10-15-2003.
 - d. Office of EM, *Safety Management Functions, Responsibilities, and Authorities Manual*, Draft, dated October 1998.
 - e. Circular A76, *Office of Management and Budget*, dated May 2003.
6. CONTACT. Questions concerning this Manual will be directed to OBA at (702) 295-0394.

 Kathleen A. Carlson
Manager

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CHAPTER I

NNSA/NSO PHILOSOPHY

1. INTRODUCTION.

- a. NNSA/NSO is committed to performing its federal functions safely and with the highest degree of work performance and respect for the environment. The operations office objective is to understand and meet the technically complex needs of its customers while ensuring the protection of workers, the public, and the environment. To accomplish this objective, NNSA/NSO ensures work is properly defined, planned, and executed and trained/experienced federal personnel are knowledgeable of their roles and responsibilities.
- b. This Manual describes NNSA/NSO's overall management approach to performing the management and oversight roles and responsibilities associated with NNSA/NSO operations and serves as a key element of NNSA/NSO's Integrated Safety Management (ISM) System and Quality Assurance (QA) Program (QAP). The Manual integrates field element responsibilities and authorities assigned in the DOE corporate FRAM, NNSA FRAM, and the EM FRA documents. The NNSA/NSO organizational structure, work assignments within that structure, and roles and responsibilities for assigned work scopes are formally defined within the Manual, which also provides a framework for the development of lower-tier documents to describe further roles, responsibilities, and authorities.

2. MANAGEMENT APPROACH.

- a. NNSA/NSO manages the Nevada Test Site (NTS), a unique national asset and the nation's largest expanse of DOE and NNSA land. Surrounded on three sides by the Nellis Air Force Range (also known as the Nellis Test and Training Range), the NTS provides government and private organizations the ability to conduct tests and operations in a safe and secure environment. NNSA/NSO also manages the Remote Sensing Laboratory-West in Las Vegas, Nevada; the Special Technologies Laboratory at Santa Barbara, California; Los Alamos Operations at Los Alamos, New Mexico; and the Remote Sensing Laboratory-East at Andrews Air Force Base, Maryland; and the North Las Vegas Complex. These facilities provide scientific and engineering expertise for activities conducted in support of DOE and NNSA National Laboratories, Emergency Response, Weapons Test and Stockpile

Maintenance Programs. In addition, DOE and NNSA has responsibility for environmental restoration activities at eight off-site locations in five states: Alaska, Colorado, Mississippi, New Mexico, and Nevada.

- b. NNSA/NSO personnel perform activities in support of its current missions: National Security (NS), EM, Technology and Economic Diversification, and NTS Stewardship. With respect to the NS mission, NNSA/NSO provides vital support to the NNSA Stockpile Stewardship Program through the conduct of test readiness activities, i.e., subcritical and other weapons physics experiments; Emergency Management Programs; Work for Others (WFO) NS organizations; and other experimental programs. EM Programs are conducted under NNSA/NSO's cognizance to remediate the environmental legacy of nuclear weapons testing and to dispose safely of low-level waste generated by activities throughout the DOE and NNSA complex. The NNSA/NSO Technology and Economic Diversification initiative supports the traditional and nontraditional Departmental Programs and commercial activities that are compatible with the Stockpile Stewardship Program. Finally, NNSA/NSO seeks to develop long-term strategies that will institutionalize and enhance the experimental complex and ensure NTS land and facilities are managed as a valued national resource.**
- c. NNSA/NSO interfaces with a number of entities including DOE and NNSA; the Defense Nuclear Facilities Safety Board (DNFSB); other federal agencies; state regulators in five states; county and local governments; Indian Tribes; and stakeholders. For management of its missions, NNSA/NSO's key interfaces are with NNSA and EM. NNSA/NSO conducts its DNFSB activities in compliance with DOE M 140.1-1B, INTERFACE WITH THE DEFENSE NUCLEAR FACILITIES SAFETY BOARD; and interfaces with other federal agencies and regulatory entities are conducted under the auspices of applicable Memorandum of Agreements (MOA), Memorandum of Understandings (MOU), fiscal year task plans with the applicable agencies, and formal regulatory agreements. Interfaces with county and local governments are coordinated through the Manager's Office, and key stakeholder interfaces are coordinated through the Office of Public Affairs (OPA) and the Community Advisory Board for NTS Programs. Tribal government interfaces are coordinated through the Office of Assistant Manager for Safety and Security Programs (AMSSP).**
- d. Because of the diversity of customers including the National Laboratories, federal agencies, universities, and private organizations, NNSA/NSO serves as**

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the integrator for activities conducted under its purview. This unique federal role provides enhanced flexibility to accomplish the NS and EM missions, while supporting highly sensitive NS customers and their operations.

- e. In accomplishing its mission, NNSA/NSO utilizes a Performance-Based Management Contractor (PBMC) to perform work at its facilities, provide support to users of the NTS, and manage and operate the NTS infrastructure. Other contractors are utilized to provide security services, environmental restoration support, and other mission-related work. Formal direction of contract activities is through NNSA/NSO Contracting Officer for the PBMC and security contractors.
- f. NNSA/NSO utilizes formal work control mechanisms to ensure work is properly screened to determine if it is appropriate for performance under NNSA/NSO's purview; to ensure work is properly planned, risks are analyzed, and risk controls identified; and to ensure work is appropriately authorized and appropriate documentation maintained. Once work is initiated, NNSA/NSO provides oversight commensurate with the inherent risks associated with the work performed. Work is evaluated and measured, and feedback is provided using award fee and performance-based management principles and practices. Input from the National Laboratories is considered in this evaluation and feedback process. Practices that result in key Lessons Learned are reported through the NNSA/NSO's Lesson Learned Program.
- g. NNSA/NSO work requires the effective teaming of diverse federal professionals to accomplish the mission. NNSA/NSO is committed to creating an environment wherein high performance teams and partnerships are empowered to accomplish an objective through the combined talents of the participants. Technical skills are fostered through the Technical Qualification Program (TQP), which provides ongoing training and evaluation to ensure federal staff maintains the highest levels of technical expertise. The Succession Planning Program is another tool utilized by NNSA/NSO to ensure the availability of highly trained professionals for a variety of management, technical, and administrative positions.
- h. Work is assigned throughout the NNSA/NSO organization in accordance with the organizational elements' functional assignments defined in Chapter II. The approved NNSA/NSO organizational structure does not include formally recognized Divisions. However, the term "Office/Division Director" as used in this Manual represents a level of supervision responsible for managing a specific function with an Assistant Manager's (AM) organization. Heads of

organizational elements further distribute work assignments to individual employees. Safety responsibilities of NNSA/NSO management officials and staff are an integral component of each individual's job and cannot be delegated. Authorities, which flow from DOE and NNSA, may be further delegated below the Manager.

- i. The NNSA/NSO organization depends upon a blend of management, technical, and administrative personnel to accomplish its missions through assigned roles.
- j. NNSA/NSO has defined position categories to identifying common responsibilities and authorities throughout the NNSA/NSO organization, which are described in Table 1. The differentiation between Program and Project Manager in Table 1 is associated with the duration of the work scope, i.e., programs continue year after year, whereas projects have a defined beginning and end date. Key responsibilities and authorities assigned to specific position categories are defined in Chapters III and IV. Chapter IV also serves to integrate safety responsibilities and authorities from the DOE corporate FRAM, NNSA FRAM, and the EM FRA documents. Qualification standards for NNSA/NSO position categories are specified in the NNSA/NSO Training Directive. It is the responsibility of the first line supervisor to ensure work is assigned to personnel qualified in applicable position categories based on the nature of the work.
- k. Major changes to the organizational components of the Manual must be approved by the Manager; normal clarifying or refining of duties and responsibilities outlined within the Manual will be changed in accordance with NV M 251.1-1B, NNSA/NV DIRECTIVES SYSTEM MANUAL. OBA will serve as the OPR.
- l. In the event of conflicts between responsibilities and authorities identified in regulations, DOE and NNSA Directives, and the provisions of this Manual, the regulatory DOE and NNSA Directives requirements take precedence. If there are any conflicts between this Manual and other NNSA/NSO Directives, position description, or performance appraisals regarding roles and responsibilities, the provisions of this Manual take precedence.
- m. This Manual, coupled with individual position descriptions and performance appraisals, forms the basis for accountability of all NNSA/NSO employees. Employees are trained on the content of this Manual. Employees are encouraged to identify inconsistencies and/or inaccuracies with this, or any

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other NNSA/NSO Directive, so that they can be addressed by the appropriate OPR(s). This will provide the feedback necessary to strive for continuous improvement in our NNSA/NSO management systems.

TABLE 1—NNSA/NSO POSITION CATEGORIES

<u>Manager and AMs.</u>	Senior Managers are responsible for developing the overall mission; establishing broad priorities; providing technical direction; preparing and defending the mission budget; integrating all components of the mission; providing liaison with management, DOE and NNSA, and the public; and retaining overall accountability for safe delivery of all products associated with the mission. Some of these Senior Managers are formally designated by the Manager as a "Program Manager" as defined by the Procurement Integrity Act definition of a "Program Manager." This formal designation has no relationship to the term as it is used below and any other place in this document as a NNSA/NSO position category nor does it have any relation to the Office of Personnel Management (OPM) position classification: Series 340—Program Manager.
<u>Contracting Officer Representatives (COR).</u>	A COR is an individual appointed by the Contracting Officer to act as an authorized representative for such functions as technical monitoring, inspection, and other functions of a more technical nature not involving a change in the scope, terms, and conditions of the contract. The contractor must comply with written direction provided by the COR. that does not change the scope, terms, and conditions of the contract.
<u>Office/Division Director.</u>	Office/Division Directors are responsible for ensuring assigned programs/projects are properly planned, executed, and evaluated; ensuring the quality and effectiveness of assigned functions; and for ensuring qualifications of assigned personnel. The Office/Division Directors are responsible for establishing priorities, setting goals, and providing overall strategic and technical direction; ensuring availability of human and budgetary resources; negotiating and reconciling conflicting or competing requirements and/or priorities within the assigned projects and functions; and ensuring work is performed safely. Office/Division Directors must coordinate and integrate the efforts of Program/Project Managers, Task Managers, Functional Managers, Facility Representatives (FR), and Subject Matter Experts (SME) that report to them.

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TABLE 1—NNSA/NSO POSITION CATEGORIES	
<u>Program/Project Manager.</u>	An NNSA/NSO employee, formally designated by an AM or Office/Division Director, who is assigned program/project management responsibilities for a defined work scope. The Program/Project Manager is the single Point of Contact (POC) for management and oversight of the work scope and in this role is accountable for ensuring an adequately defined work scope, cost, schedule, and for monitoring contractor performance. The Program/Project Manager is responsible for ensuring adequate planning and organizing, directing, controlling, and reporting of all activities within the assigned scope of work has been accomplished to provide a defined product(s) in a safe manner. Program/Project Managers may reside in any of the AM organizations. Neither Program Manager nor Project Manager responsibilities are further delegable. For DOE O 413.3 projects, the title Federal Project Director (FPD) is used, and designation is by the Manager or Headquarters Acquisition Executive. Refer to NV O 413.X.
<u>Task Manager.</u>	An NNSA/NSO employee, formally designated by an Office/Division Director, who is responsible for oversight of specific tasks within a program/project to ensure compliance with approved plans. The Task Manager is accountable to the Director for providing appropriate support to designated Program/Project Managers. The Task Manager is responsible for monitoring performance in accordance with approved plans, notifying the Program/Project Manager of deviancies from plans and unsafe conditions, and providing recommendations to the Program/Project Manager to ensure the delivery of specific project deliverables.
<u>Functional Manager.</u>	An NNSA/NSO employee, formally designated by an Office/Division Director, who is assigned the responsibility to monitor the performance of a function(s) that supports multiple NNSA/NSO missions/programs/projects. The Functional Manager has no responsibility for the contractor's/user's development of cost, scope, or schedule. However, the Functional Manager ensures assigned functions does satisfy defined requirements and are performed in a manner that adequately controls associated risks.
<u>Facility Representative.</u>	NNSA/NSO personnel designated by the Manager. The FR is assigned to monitor the performance of facility operations from an Environment, Safety, and Health (ES&H) perspective. In particular, FRs provide day-to-day oversight of contractor operations at the NNSA/NSO facilities so that senior staff, technical SMEs, and designated Managers have accurate and up-to-date information on safe work performance. FRs assist in the development and implementation of Validation/Assessment (V/A) Plans. They provide an on-site presence and maintain a constant vigil on operations to ensure hazard controls are functioning as planned and work is being performed safely. FRs maintain stop work authority, as necessary, to protect the health and safety of workers and the public, to protect the environment, or to protect the facility and equipment.

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<u>Subject Matter Expert.</u>	An NNSA/NSO support staff employee, who by virtue of a combination of education, training, and experience, possesses knowledge and skills in a particular field/discipline sufficient to provide Managers with sound advice and direction relating to their area of expertise. SMEs are formally designated by the applicable Office/Division Director with responsibility for the area of expertise.
<u>Administrative Staff.</u>	NNSA/NSO employees providing clerical and administrative support to the organization.

(NOTE: The term Program Manager is used in this Manual to establish an overall NNSA/NSO management system and has no association with the OPM position classification, "Series 340—Program Manager.")

3. DELEGATION OF AUTHORITY.

- a. The NNSA Administrator is the source for all NNSA authority and may delegate that authority throughout DOE and NNSA. The Cognizant Secretarial Office (CSO) of the NNSA Program Office delegates NNSA/NSO operating authority to the Manager, who in turn, delegates operating authority to the AMs of NNSA/NSO organizational elements. Authority may be delegated by DOE and NNSA Directives, mission statements, position descriptions, and FRA memorandums.
- b. The following restrictions apply to the NNSA/NSO delegation of authority:
 - (1) All delegations must be in writing, which must be provided to the designee. This document will establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances under which the authority may be exercised including any restrictions or prohibitions related to further delegation.
 - (2) The delegation may be rescinded by the delegating authority in writing at any time.
 - (3) Permanent delegations remain in effect until rescinded in writing by the delegating official. Temporary delegations will specify when authority is to be terminated.

(4) Any time an NNSA/NSO signature is required, the signing official will have written authority.

4. **WORK CONTROL.** Those activities that define and shape the missions of the Department, such as the development of strategic plans, budget execution plans, and safety policies and requirements, are considered direction. The five core management functions, together with corporate direction, define the necessary structure for any work activity that could impact the Department. The degree of rigor in addressing these functions will vary based on the work activity and the risks involved. Collectively, execution of NNSA/NSO's system of Directives will provide reasonable assurance that work will be effectively controlled (see Figure 1).

NNSA/NSO MANAGEMENT FUNCTIONS

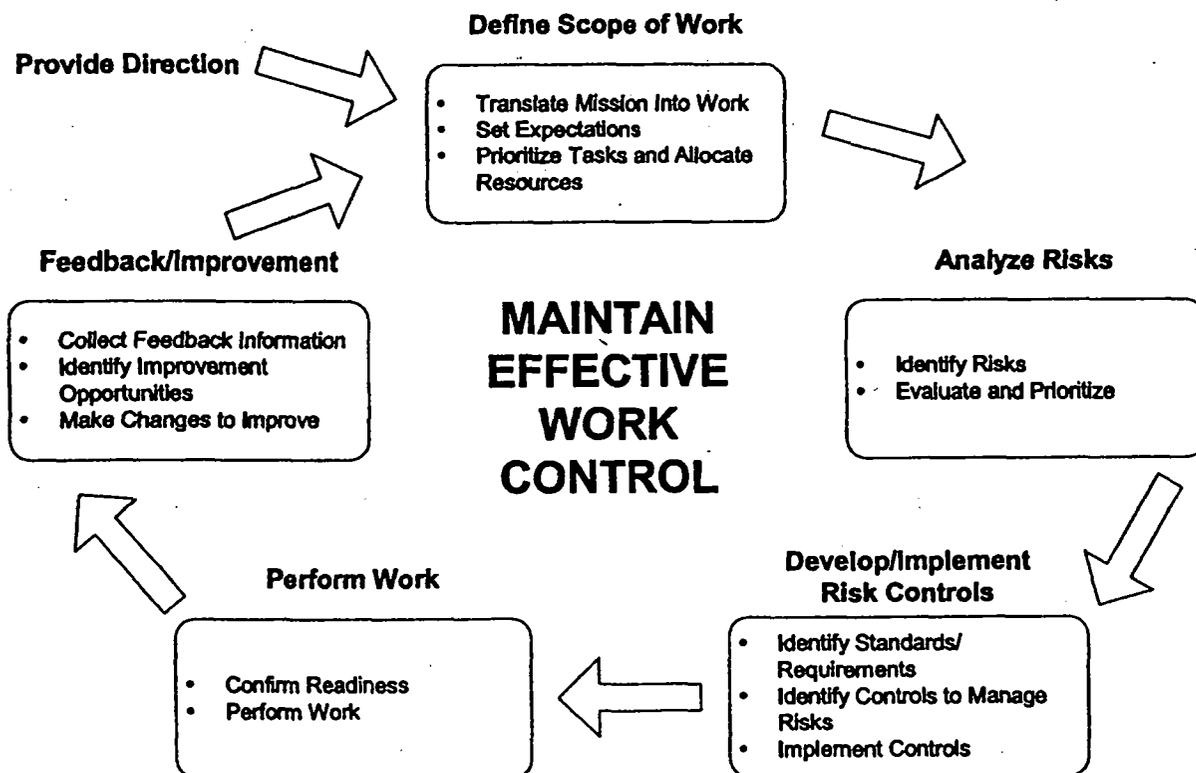


FIGURE 1

CHAPTER II

NNSA/NSO ORGANIZATIONAL MANUAL
FUNCTIONAL ASSIGNMENTS

1. OFFICE OF THE MANAGER.

a. Mission.

- (1) The role of the Office of the Manager is to ensure assigned NNSA/NSO missions are successfully accomplished in a manner that protects the health and safety of workers, the public, and the environment; and promotes public trust. NNSA/NSO's five current missions are:**
 - (a) National Security.**
 - (b) Environmental Management.**
 - (c) Technology and Economic Diversification.**
 - (d) Energy Efficiency and Renewable Energy.**
 - (e) Stewardship of the NTS.**
- (2) The NNSA/NSO organizational structure to accomplish these missions is depicted in Figure 2.**

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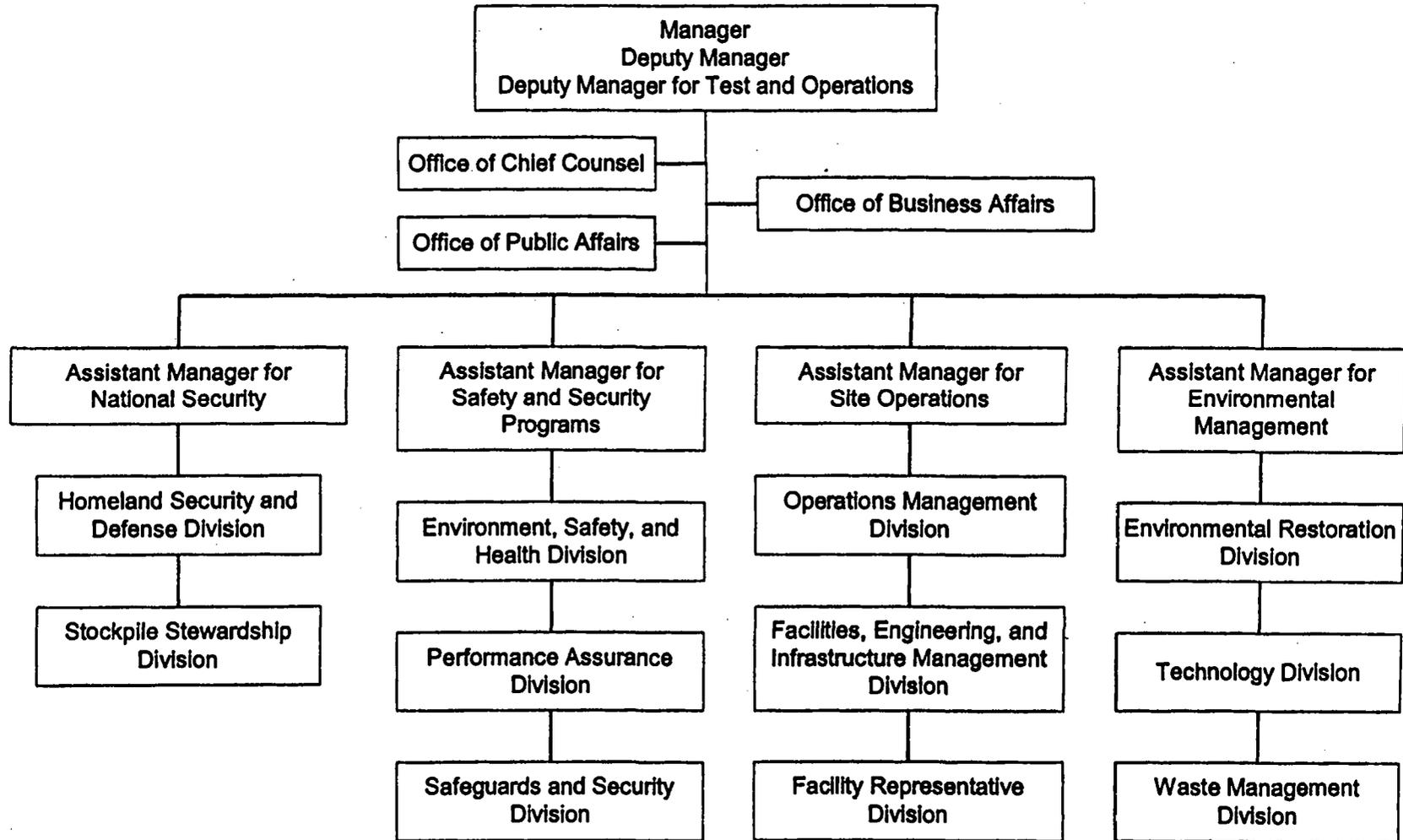


FIGURE 2

- b. Components. The Office of the Manager is comprised of the Manager, Deputy Manager, Deputy Manager for Test and Operations, Office of Chief Counsel (OCC), OPA, and OBA.
- c. Functions.
- (1) Manager. The Manager provides executive direction of program, project, and administrative functions and activities assigned to NNSA/NSO.
- (a) Approves nuclear facility Safety Basis (SB) documentation as delegated by NNSA or DOE. When the approval authority is not delegated, the Manager and staff serve in a support role to NNSA processes. This SB documentation includes:
- 1 Nuclear and radiological facility hazard categorization level performed per DOE-STD-1027-92.
 - 2 Documented Safety Analysis (DSA) pursuant to Title 10 Code of Federal Regulations (CFR), Part 830.202(c)(2), Preliminary DSA (PDSA) pursuant to 10 CFR 830.206(b)(2), and NNSA/NSO issued Safety Evaluation Reports (SER) for nuclear facilities.
 - 3 Technical Safety Requirements (TSR) pursuant to 10 CFR 830.205(a)(2) for nuclear facilities.
 - 4 Access Authorizations for Category 1 and 2 nuclear facilities pursuant to DOE M 411.1-1C, Section 9.4.1.
- (b) Approves startup and restart of nuclear facilities pursuant to DOE O 425.1C as delegated by NNSA or DOE. This includes Plans of Action (POA) for both contractor and NNSA/NSO readiness reviews.
- (c) Approves startup and restart of radiological facilities where deemed appropriate.
- (d) Appoints SB Review Team (SBRT) and Readiness Review Team Leaders as recommended by AMSSP.

- (e) Approves contractor Unreviewed Safety Question (USQ) procedures pursuant to 10 CFR 830.203.
 - (f) Approves contractor positive USQ Determinations (USQD) pursuant to 10 CFR 830.203(e) and 203(g)(4).
 - (g) Concurs and transmits to NNSA or nuclear facility alternative safety analysis methodology pursuant to 10 CFR 830.204(a).
 - (h) Approves startup and restart of hazardous nonnuclear facilities where deemed appropriate.
 - (i) Approves the QAP for NNSA/NSO and contractors per 10 CFR 830, Subpart A.
- (2) **Deputy Manager.** The Deputy Manager assists the Manager in the executive direction of program, project, and administrative functions and activities assigned to NNSA/NSO.
- (3) **Deputy Manager for Test and Operations.** The Deputy Manager for Test and Operations serves as the Senior Manager for operations at the NTS and ensures overall integration among all NTS field operations.
- (4) **Office of Chief Counsel.** OCC performs the following functions:
- (a) **Legal Advice.** Provides legal review and advice on matters of legal significance arising in areas including, but not limited to, NS, nuclear safety, contracts, environment, etc.
 - (b) **Litigation and Claims Management.** Takes legal action on claims, litigation, and administrative proceedings. Monitors and approves outside counsel billings. Reviews and/or approves claims. Represents NNSA/NSO management in litigation and administrative proceedings.
 - (c) **Preparation of Legislative Material.** Prepares or coordinates review of legislative material.
 - (d) **Legal Library.** Maintains legal library resources for NNSA/NSO use.

- (e) Ethics and Financial Disclosure Reporting. Distributes financial disclosure reporting documents and information. Reviews financial submissions. Provides ethics advice.
- (5) Office of Public Affairs. OPA performs the following functions:
- (a) News and Public Media Interface and Coordination. Produces news releases, newsletters, fact sheets, and biographies; coordinates advertising, news monitoring, news dissemination, and video/film production. Serves as the primary interface for media and public inquiries related to NNSA programs and activities. Coordinates responses to media and public with appropriate NNSA program element.
 - (b) Education Outreach Program. Coordinates NNSA/NSO's efforts in science and mathematics education through Science Now, Science Bowl, JASON, Professional and Youth Building a Commitment, Solar Sprint, etc.
 - (c) Community Outreach Program. Coordinates NNSA/NSO's community outreach efforts in conducting public meetings, input into the Equipment Loan Program, the NNSA/NSO Speakers' Bureau, etc.
 - (d) Freedom of Information Act Program. Provides for the release of government records to the public. Freedom of Information Act requests pertaining to intelligence and intelligence-related activities are coordinated through the Nevada Intelligence Center (NVIC).
 - (e) Privacy Act Program. Provides employees' personal information maintained by NNSA/NSO and predecessors, e.g., Dosimetry Research Project.
 - (f) Facility and Site Tours Program. Coordinates public and programmatic visits and tours to the NTS and other facilities and sites. Facility and site tours involving members of the Intelligence Community (as visitors or briefers) are coordinated through NVIC. Coordinates visits and tours to the NTS and to those facilities with the appropriate NNSA Program Office and the FR for those facilities that have an assigned FR.

- (g) Nuclear Testing Archives. Manages the nuclear weapons testing document collection and provides copies to requesters.
 - (h) Public Reading Room. Manages the Public Reading Room facility and provides recently released government reports and records to the public.
 - (i) Governmental Affairs. Coordinates governmental and intergovernmental affairs for NNSA between local, county, state, and Congressional offices.
- (6) Office of Business Affairs. The OBA performs the following functions:
- (a) Management and oversight of functional responsibilities of OBA.
 - (b) Contracting Officer responsibilities for major NNSA/NSO contractors.
 - (c) Management Control Action Officer. Ensures adequacy and accuracy of the Financial Manager's Report to the Secretary.
 - (d) Budget Management.
 - 1 Budget Planning and Formulation. Develops and issues budget guidance and calls; prepares and submits quality budget materials; and conducts budget validations.
 - 2 Budget Execution. Develops and manages an administrative control of funds system to ensure compliance with Anti-Deficiency Statutes and Appropriations Act limitations; develops and manages a funds distribution system for allocating resources; and coordinates budget requests, reprogramming, and other funding adjustment actions.
 - 3 Project Control System. Manages and maintains a project control system, which includes a cost/schedule monitoring component.
 - 4 Work Authorization and Control System. Provides direction for initiation of programmatic scope of work.

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- 5 Program Support.** Provides program budget and cost reporting. Recommends reallocation of available resources based on project requirements.
- 6 Multi-Year Planning Coordination.** Coordinates the development of programmatic or office-wide plans used to develop the NNSA/NSO Strategic Plan and budget formulation.
- 7 Inspector General (IG) and General Accounting Office (GAO) Coordination.** Coordinates IG and GAO requests for financial information, interviews, and report review in accordance with DOE or NNSA Policy. Coordinates the review of financial statements with the IG and Certified Public Accounting firms contracted with DOE or NNSA.
- 8 Integrated Management Schedule.** Maintains the NNSA/NSO Integrated Management Schedule and issues notices and calls regarding the initiation/completion of activities identified within the schedule.
- 9 Indirect Cost Management.** Prepares and updates five-year reports of contractor indirect costs. Coordinates and reviews the NNSA/NSO submission of Functional Indirect Cost information to DOE or NNSA. Reviews and approves contractor indirect cost rates. Reviews and analyzes indirect pool variances.
- 10 Contractor Financial Liaison.** Conducts financial liaison activities with contractors to transmit guidance and direction, exchange information, and resolve issues in a timely manner. Attends weekly and monthly financial steering meetings to discuss financial issues and potential resolutions.
- 11 Budget Interface.** Coordinates with the NNSA Service Center (NNSA/SC) BRMD to ensure the Funds Control Distribution System interfaces with the departmental accounting system.
- 12 NNSA/SC Liaison.** Provides coordination and liaison with NNSA/SC on financial systems support, travel, and payment processing.

(e) Contract Administration.

- 1 Performance-Based Management Contract Administration.** Ensures proper administration to include negotiation of award or incentive fees; development of annual performance measures and scorecards; periodic assessment of accomplishment of performance measures, changes to scope, terms, conditions, funding modifications, and communication of issues requiring coordination between NNSA/NSO and the contractor. Includes the development and maintenance of Management and Operating (M&O) and site-specific non-M&O Contract Management Plans. Efforts also include maintaining qualified Contracting Officers and CORs to provide support to the Site Office Manager in the administration of the contract. Ensures adequate M&O contractor self-appraisal plans are in place, such as Performance Objectives Matrix. In addition, oversees the administration of those contracts/actions assigned to the M&O to administration and payment.
- 2 MOU or MOA.** Coordinates and assists program offices with the establishment of MOUs and MOAs.
- 3 WFO Program Administration.** Develops and implements procedures for the review, acceptance, authorization, and monitoring of WFO that are consistent with DOE and NNSA Policies and procedures; coordinates scope of work estimates; and develops and manages the proposed work review and acceptance process including assessing field performance and effectiveness of local WFO processes using the Balanced Scorecard Compliance Program performance objectives, measures, and expectations; and subsequent improvements and/or additional requirements, as appropriate. Acts as focal point for WFO program-related issues. Develops and implements management systems to ensure effective administration of the process.
- 4 NNSA/SC Liaison.** Provides coordination and liaison with the NNSA/SC Office of Business Services (OBS) on acquisition, financial assistance and M&O contract support.

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(f) Information Technology/Information Management.

- 1 Computing Resources. Provides NNSA/NSO employees with the capability to acquire, share, protect, disseminate, and store readily the electronic information needed to accomplish their jobs successfully. Designs and implements, through appropriate resources, intelligent and cost-effective technology solutions for NNSA/NSO's information needs. Develops and implements plans for the acquisition, management, and utilization of computing equipment, networks, software, and related services for NNSA/NSO and provides oversight of contractor activities.
- 2 Telecommunications. Administers voice, data, video, image, and scientific cable activities at NNSA/NSO; use of secure and nonsecure telephones; and coordinates use of radio frequencies. Coordinates installation and access to intelligence-related communication capabilities through NVIC.
- 3 Records Management Program. Coordinates, plans, and executes the NNSA/NSO Records Management Program. Ensures effective use, retention, disposition, and retirement of official NNSA/NSO files and records.
- 4 Directives Management Program. Coordinates, plans, and executes the NNSA/NSO Directives Management Program. Oversees contractor functions in the Directives Management Center.
- 5 Printing and Reproduction Coordination. Manages the Printing and Reproduction Program. Oversees contractor-operated printing and reproduction functions.
- 6 Mail Services and Distribution. Provides comprehensive mail services including express mail shipments and internal distribution of mail. Processing includes classified documents.
- 7 Word Processing Center. Provides word processing service within the Word Processing Center and support service at satellite locations. Includes word processing support for classified and unclassified document material.

- 8** Forms Management Program. Provides the ordering, stocking, and distribution of Standard, Optional, DOE, NNSA, and local forms. Reviews, analyzes, and recommends approval of new and revised NNSA/NSO forms.
- 9** NNSA/SC Liaison. Provides coordination and liaison with the NNSA/SC Office of Federal Services (OFS) on information technology and information management.

(g) Human Capital Management.

- 1** Organization Change Control. Develops and retains supporting documentation for organizational structure changes. Coordinates approval and implementation of changes as they relate to the FRAM.
- 2** Human Resources. Advises management on appropriate staffing process. Provides advice to management in the description of positions, establishing title, series, grade, and pay. Provides recruitment and staffing advisory services to management and guidance on the application process to prospective job candidates. Tracks and reports organizational and contractor manpower utilization.
- 3** Federal Employee Performance Management and Recognition Program. Administers the organization's Performance Management and Recognition Program. Provides advice to management in the establishment of effective work plans, as well as provide advice to management and employees on the program requirements.
- 4** Federal Employee Relations Program. Provides advisory services to management and employees on workplace discipline and the administrative grievance process including performance and leave abuse issues. Coordinates contact with the Employee Assistance Program for management and employees. Coordinates with NNSA/SC for mediation services when necessary to resolve conflicts.

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- 5 Employee Training and Development.** Administers the organization's Training Programs; implements Training Qualifications Programs; and performs oversight of Contractor Training Programs with enhanced focus on compliance requirements training.
- 6 Equal Employment Opportunity/Diversity Management.** Develops and implements diversity management and the special emphasis programs.
- 7 NNSA/SC Liaison.** Provides coordination and liaison with NNSA/SC OFS on human resources, and training and development.

(h) **Personal Property.**

- 1 Contractor Personal Property Management.** Provides Functional Manager and Real Estate/Operations Permit (REOP) assessments of contractor personal property management and ISM implementation. Ensures NNSA/NSO's contractor personal property management operations are efficiently utilized and maintained to satisfy federal DOE and NNSA regulatory mandates, contract requirements, and satisfy customer needs. Provides guidance and direction to NNSA/NSO contractors through interpretation of federal DOE and NNSA Directives and requirements. Provides oversight for contractors through implementation of the Objectives Matrix Program. This oversight is achieved through continued operational awareness, feedback, application of Lessons Learned, and the development of a close working partnership. Provides personal property task plan guidance to the PBMC. Interfaces with all users of NNSA/NSO contractor personal property services to provide a forum for feedback and understanding of property issues.
- 2 NNSA/SC Liaison.** Provides coordination and liaison with NNSA/SC OBS on personal property support.

2. ASSISTANT MANAGER FOR NATIONAL SECURITY (AMNS).

- a. **Mission.** AMNS ensures assigned missions are accomplished in a manner that protects the health and safety of workers, the public, and the environment; and promotes public trust. AMNS provides the programmatic direction and technical project management necessary to:
- (1) Maintain nuclear test resumption capability.
 - (2) Support field experiments gathering stockpile related physics data.
 - (3) Oversee the Device Assembly Facility (DAF), the U1a Complex, the Big Explosive Experimental Facility (BEEF), the Joint Actinide Shock Physics Experimental Research (JASPER) Facility, Nevada Energetic Materials Operations Facility (NEMOF), Augmented Test Logistics Assembly System (ATLAS), the Hazardous Materials Spill Center (HSC), Remote Sensing Laboratories, and Special Technology Laboratory (STL).
 - (4) Manage key elements of national nuclear emergency response.
 - (5) Host Department of Defense (DoD) and Defense Threat Reduction Agency (DTRA) special projects, and other WFO projects.
 - (6) Provide federal presence, intelligence support, and oversight to NTS programmatic and operational activities including Test Controller and Hazardous Operations Controller (HOC) programs.
 - (7) Maintain and operate the National Center for Combating Terrorism.
- b. **Components.** The Office of AMNS is comprised of NVIC and two divisions: Stockpile Stewardship Division (STD) and Homeland Security and Defense Division (HSDD).
- c. **Functions.**
- (1) **Office of AMNS.** The Office of AMNS performs the following functions:
 - (a) Oversight of functional responsibilities of AMNS.
 - (b) Oversight of the Nevada Work Smart Standards (NV-WSS) process.

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- (c) Management and oversight of intelligence activities including the federal Field Intelligence Element (FIE), foreign intelligence, intelligence collection management, intelligence security, and intelligence education and training.
 - (d) Program administration, intergovernmental coordination, and day-to-day operations of the National Center for Combating Terrorism.
 - (e) Crosscutting activities including development of programmatic budgets and strategic planning.
 - (f) DNFSB coordination.
- (2) Stockpile Stewardship Division. STD performs the following functions:
- (a) Stockpile Stewardship Program. Provides programmatic Management for Stockpile Stewardship projects and facilities assigned to NNSA/NSO including the DAF, U1a, BEEF, JASPER, ATLAS, G-Tunnel, NEMOF, and for the transition of TA-18 missions from Los Alamos to the DAF at the NTS.
 - (b) Subcritical and High Explosive (HE) Experiments and Other Stockpile Stewardship Program Work. Ensures contractor work associated with subcritical and HE experiments and other related Stockpile Stewardship Program work is defined, meets user laboratory requirements, complies with the principles of ISM, and meets all applicable DOE and NNSA regulatory requirements.
 - (c) Test Readiness Program. Manages test readiness activities related to the five Major Technical Emphasis Areas defined as: Planning; Authorization Basis; Training and Diagnostics; Facilities and Heavy Equipment; and Operations with the objective to transition from the current 24- to 36-month nuclear test readiness posture to an 18-month posture by September 30, 2005. Manages the work associated with the four principal participating scientific and technical organizations: Los Alamos National Laboratory; Lawrence Livermore National Laboratory; Sandia National Laboratories; and Bechtel Nevada. Ensures overall planning and integration; monitors project execution at a high level for each organization; participates in a formal change control process; and tracks and reports performance.

- (d) Disposition of a Nuclear or Radiological Device at the NTS. Program management for the receipt, staging, assessment, disassembly, and/or destruction of a nuclear or radiological device at the NTS. Under guidance of the policy letter from the Deputy Administrator for Defense Programs (NA-10), dated 10-25-99, and the Service Level Agreement between NNSA/SC and NNSA/NSO, the NTS can be the location for the disposition of a damaged United States nuclear weapon, an improvised nuclear device or a radiological dispersal device.
- (e) Programmatic Construction Activities. Manages and/or oversees all programmatic construction activities and associated REOPs.
- (f) DNFSB Coordination. Provides NNSA/NSO a single POC for interactions with DNFSB personnel regarding Defense Programs Nuclear Facilities and NNSA/NSO activities of interest to the DNFSB. Provides technical expertise to AMNS and the NNSA/NSO Management Team in coordinating DNFSB activities.
- (g) Nuclear Explosive Safety (NES). Provides a NES Program Manager who in support of NES activities for NNSA/NSO and its customers, performs Nuclear Explosives Safety Studies on operations and facilities involving the use of Special Nuclear Material (SNM). Provides reciprocal support to NNSA/SC
- (h) Subcritical Experiment (SCE) SER. STD establishes and chairs the PDSA Review Team for SCEs (if a PDSA is submitted to NNSA/NSO for review and approval) and the DSA Review Team that provides expert technical and safety review for all SCEs. (The Review Teams will also include appropriately qualified SMEs provided by the Performance Assurance Division [PAD].) The chairperson will be responsible for the development of the SER, and for preparation of the final recommendation of approval/nonapproval to the Manager.
- (i) HOC Program. Manages and administers the HOC Program for NNSA/NSO and assigns an HOC for applicable operations.

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- (3) Homeland Security and Defense Division. HSDD performs the following functions:
- (a) Combating Terrorism Program. Support of the Department and other agencies in the execution of their antiterrorism commitments. These efforts include serving as the NNSA Managers and providing oversight for the National Center for Combating Terrorism, Counterterrorism Operations Support, Counterterrorism Technologies, Counterterrorism Test and Evaluation, DTRA Hardened and Buried Target projects, Civil/Military WFO, and Special Nuclear Projects. Oversees the Test and Evaluation Center for the Department of Homeland Security (DHS), and manages the HSC with its applications to chemical spill test and evaluation and counterterrorism systems development and training. Supports the efforts of the Defense Nuclear Nonproliferation in their nonproliferation role of dealing with foreign radiological sources. Provides support to the Department of State in an advisory capacity for the response to radiological incidents overseas.
 - (b) NS Response Program. Management of NS Response through the execution of Consequence Management, Crisis Response, and the development of Counterterrorism Technologies and Special Programs, Nonproliferation Technology, and Test and Evaluation Technologies. Manages the assets and deploys in support of the DHS for all radiological consequence management responses, and is the national responder for the search component of the Nuclear Emergency Support Team for DHS.
 - (c) Work for Others. Manages all DoD Demilitarization Programs conducted at the NTS. Coordinates and oversees DTRA projects. Coordinates and oversees all DoD conventional weapons tests carried out at the NTS. Coordinates and oversees other assigned defense/NS project activities on the NTS such as NTS imaging, chemical/biological projects, military training, or special projects. Oversees commercial and special WFO projects as assigned. Manages the applied technology equipment development at the Remote Sensing Laboratory-West and at the STL. All intelligence and intelligence-related WFO including imaging of the NTS, is coordinated through NVIC.

- (d) **Aviation Management.** Management, safety, and oversight of all NNSA/NSO and Office of Repository Development aviation assets and their operations. Utilizes input from the NNSA/NSO Aviation Safety Officer to evaluate the overall Aviation Program and provide technical direction when needed. Coordinates intelligence activities through NVIC.
- (e) **Communications.** Maintains the emergency communications network for DOE for NNSA/SO. Develops and installs communication walls for emergency operations centers for the Office of Intelligence (IN-1).
- (6) **Nevada Intelligence Center.** As the only federal DOE or NNSA FIE, NVIC is an extension of IN-1 and is responsible for the following functions:
 - (a) **Intelligence Oversight.** Serves as the Departmental Senior Intelligence Officer's (SIO) representative for oversight of intelligence and intelligence-related activities (including intelligence-related WFO) under the purview of NNSA/NSO at the NTS and DOE-sponsored intelligence and intelligence-related activities at the Tonopah Test Range (TTR). As such, the FIE Director has direct reporting authority to the Manager and the SIO. Implements Executive Order 12333, Presidential Decision Directive 61, and applicable Director of Central Intelligence Directives (DCID).
 - (b) **Intelligence Collection Management.** In consonance with agreements among NNSA/NSO, the United States Air Force, and DOE and NNSA, coordinates any Intelligence Community collection activities involving the NTS- and DOE-sponsored intelligence and intelligence-related activities at the TTR. Coordinates all imagery, Signals Intelligence, Measurement and Signature Intelligence, etc., with all relevant organizations to ensure proper deconfliction. Ensures DOE, NNSA, and NNSA/NSO management is cognizant of intelligence activities within their respective jurisdictions.
 - (c) **Foreign Intelligence.** Provides research and analysis resources for NNSA/NSO foreign intelligence consumers. Maintains connectivity with national-level Intelligence Community databases providing current information on a variety of topics applicable to the NNSA/NSO mission.

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- (d) Counterintelligence Program. Accommodates the local representatives of the Office of Counterintelligence and supports their activities in so far as access to foreign intelligence and analysis collaboration is involved.
- (e) Intelligence Security. In accordance with DCID, DOE, and NNSA procedures for Sensitive Compartmented Information (SCI) Facilities (SCIF), manages and operates the NNSA/NSO federal SCIF. Controls, processes, and protects classified foreign intelligence information. Manages and ensures proper operation of communications security, computer security, SCI couriers, SCI clearances, and SCI Security Awareness Programs.
- (f) Intelligence Education and Training Program. Plans and executes the DOE and NNSA Underground Nuclear Weapons Testing Orientation Program for the benefit of the United States arms control, intelligence, and nonproliferation communities. Provides additional NTS orientation tours as requested by the Intelligence Community. In coordination with IN-1, facilitates professional intelligence training for qualified NNSA/NSO staff at Intelligence Community training facilities in the Washington, D.C., area. Conducts Executive Order 12333 and DOE and NNSA procedures for intelligence activities training as prescribed by DOE and NNSA regulations.

3. ASSISTANT MANAGER FOR ENVIRONMENTAL MANAGEMENT (AMEM).

- a. Mission. The role of AMEM is to ensure assigned missions are successfully accomplished in a manner that protects the health and safety of workers, the public, and the environment; and promotes public trust. AMEM provides the programmatic and technical project management necessary to:
 - (1) Conduct environmental restoration project work including all investigation, assessment, and Corrective Action (CA) work in accordance with required regulatory parameters.
 - (2) Manage staged, stored, treated, and disposed waste in accordance with required regulatory parameters.
 - (3) Manage environmental technology development and deployment activities.

- (4) Provide federal oversight of contractor efforts for the Marshall Islands Programs.
 - (5) Manage the NNSA/NSO Transportation Program.
 - (6) Manage the NNSA/NSO Resource Conservation and Recovery Act (RCRA) Program.
- b. Components. The Office of AMEM is comprised of a Senior Laboratory Advisor, the Environmental Restoration Division (ERD), the Waste Management Division (WMD), and the Technology Division (TD).
- c. Functions.
- (1) Office of AMEM. The Office of AMEM provides the following functions:
 - Laboratory Advisor. Provides senior-level guidance and advice for the NNSA/NSO EM Program pertaining to issues such as hydrologic modeling, Performance Assessment (PA) criteria, integrated closure cap design, monitoring, transportation, and regulatory interfaces.
 - (2) Environmental Restoration Division. ERD performs the following functions:
 - (a) Federal Facilities Agreement and Consent Order (FFACO). Manages the FFACO, which defines the regulatory requirements and CA strategies for NNSA/NSO environmental restoration responsibilities within the state of Nevada.
 - (b) Underground Test Area (UGTA) Project. Manages the UGTA project to model and monitor the effects of historical underground nuclear testing on and around the NTS.
 - (c) Soils Project. Manages the Soils Project to assess and perform applicable CAs for contaminated surface and near-surface soils on and off the NTS.
 - (d) Industrial Sites Project. Manages the Industrial Sites Project to assess and perform applicable CAs for abandoned industrial-type contaminated sites and facilities on the NTS and TTR.

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- (e) Off-Sites Project. Manages the Off-Sites Project to assess and perform applicable CAs for non-NTS underground nuclear testing locations in Alaska, Colorado, Mississippi, Nevada, and New Mexico.
- (3) Waste Management Division. WMD performs the following functions:
- (a) Federal Facility Compliance Act Consent Order (FFCAct), Mutual Consent Agreement (MCA), and Site Treatment Plan (STP). Manages the FFCAct, MCA, and STP that define regulatory requirements associated with NNSA/NSO waste management activities.
 - (b) Low-Level Waste Project. Manages low-level waste disposal facilities at the NTS for approved generators.
 - (c) Transuranic Waste (TRU) Project. Manages the storage, characterization, and shipment of legacy TRU off-site to the Waste Isolation Pilot Plant.
 - (d) Mixed Waste Project. Manages the storage, characterization, treatment, and disposal of low-level mixed waste in accordance with required regulatory activities; and manages and maintains the NTS RCRA Part B Permit.
 - (e) Solid Waste Project. Manages the disposal of solid and hazardous waste for NNSA/NSO activities.
 - (f) Radioactive Waste Acceptance Program (RWAP). Manages the RWAP to ensure waste generators develop and maintain a Compliant Program when shipping low-level and mixed radioactive waste to the NTS for disposal.
 - (g) NNSA/NSO RCRA Program. Manages the NNSA/NSO RCRA Oversight Program and coordinates NNSA/NSO RCRA Hazardous Waste Permit activities including maintenance of the Hazardous Waste Permit.
 - (h) NNSA/NSO Transportation Program. Manages the NNSA/NSO Transportation Program including traffic management, packaging, transportation of waste, and coordination with DOE and NNSA transportation initiatives. WMD is responsible for transportation

safety programmatic oversight. Additionally the NNSA/NSO onsite transfer of hazardous materials or materials of NS interest and the NNSA/NSO responsible onsite portions of the Office of Secure Transportation, Transportation Safeguards System, shipments that originate or terminate on the NTS are also within the purview of the WMD.

- (i) Radioactive Waste Management Basis. Provides for the establishment, implementation, and maintenance of the integrated Solid Waste Radioactive Waste Management Program and program oversight. WMD also approves Radioactive Waste Information Documents (RWID) for applicable radioactive waste activities, approves requests for exemption from specific processes or elements within the RWID, manages the PAs and CAs effort, and provides technical expertise in the management of disposal operations for the DOE complex including disposal of Waste With No Identified Path to Disposal.
- (4) Technology Division. TD performs the following functions:
- (a) EM Program Integration. Responsible for all crosscutting activities associated with NNSA/NSO EM Program functions including strategic planning, scope, cost, and schedule development; project control; performance reporting; health and safety; QA; technical and regulatory support; long term stewardship planning; and management of agreements and grants. Also oversees the Pollution Prevention Program.
 - (b) Public Accountability. Manages activities for the NNSA/NSO EM Program; provides guidance and advice to the Community Advisory Board to the NTS EM Program; and coordinates stakeholder meetings with state and local agencies, the public, and other interested groups.
 - (c) EM Technology Development. Manages the effort to investigate, demonstrate, and deploy innovative technologies that have the potential to provide more effective or cost efficient methods for environmental restoration and waste management activities.

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- (d) Advanced Monitoring Systems Initiative. Manage the effort to develop state-of-the-art microtechnology sensor systems for remote monitoring, with integration of the detection, data collection, communication, and display capability.
- (e) Nevada Environmental Research Park (NERP). Provides leadership and coordination of the research relationship with Nevada universities to develop new and innovative science and technology for EM.
- (f) Marshall Islands Environmental and Medical Surveillance. Provides federal oversight for logistical support for the annual terrestrial science missions, the continuing medical support to the Marshallese affected by atmospheric fallout from nuclear testing activities, and the resettlement efforts for the displaced populations.

4. ASSISTANT MANAGER FOR SAFETY AND SECURITY PROGRAMS.

- a. Mission. The role of AMSSP is to manage Crosscutting Functional Programs and to ensure safety and security programs are successfully accomplished in support of operations conducted at the NTS in support of NNSA/NSO missions.
- b. Components. The Office of AMSSP is comprised of three divisions: Environment, Safety, and Health Division (ESHD); Facility Representative Division (FRD); Safeguards and Security Division (SSD); and PAD.
- c. Functions.
 - (1) Office of AMSSP.
 - (a) The Office of AMSSP is responsible for management and oversight of AMSSP functional responsibilities including ES&H, safeguards and security, and nuclear safety. Oversight of the long-term maintenance of the NNSA/NSO ISM Program.
 - (b) Provides independent evaluation and recommendations to NNSA/NSO management on the adequacy of nuclear, radiological and hazardous nonnuclear facility safety management programs inclusive of SB documentation, readiness review and USQ process.

- (c) Implements nuclear and nonnuclear ES&H regulatory authority for the Manager.
- (2) Environment, Safety, and Health Division. ESHD performs the following functions:
- (a) Environmental Planning. National Environmental Policy Act (NEPA) Coordination. Provides the focal point for the coordination of all NEPA documentation including Environmental Impact Statements (EIS), environmental assessments, findings of no significant impact, and records of decision. Serves as the NEPA Compliance Officer for NNSA/NSO. Manages the NNSA/NSO Site-Wide EIS. Manages NNSA/NSO's effort to comply with Environmental Justice. Natural Resource Management. Federal management and oversight of the cultural resources management, American Indian and ecological monitoring, and Compliance Programs to comply with federal and state regulations and DOE, NNSA, and NNSA/NSO Directives and contract requirements. Coordinates and facilitates all non-EM funded NERP Projects.
- (b) Environmental Compliance. Environmental Reporting Coordination. Coordinates and performs the reporting of all spills in accordance with environmental regulations. Also manages the preparation and reporting of the NNSA/NSO Annual Site Environmental Report; Environmental Liabilities Report; Chemical Accident Prevention Plan; Toxic Substance Control Act, Polychlorinated Biphenyl, and Asbestos Reports; Nevada Combined Report; Toxic Chemical Release Inventory (TRI) Report; State Fire Marshall Report; TRI/Superfund Amendments and Reauthorization Act of 1986 Title III Report; and unregulated tanks. Coordinates the efforts of NNSA/NSO and contractor ES&H input to the ES&H Management Plan planning process and serves as the POC with DOE or NNSA for NNSA/NSO's input. Environmental Permits. Federal management and oversight of various environmental permits that include air, water, wastewater, food, septic tanks, and storm water.
- (c) Environmental Monitoring Programs. Federal management and oversight of the Comprehensive Environmental Monitoring Program including the Routine Radiological Environmental Program and Community Environmental Monitoring Program. Compliance with 40 CFR 61, *National Emission Standards for Hazardous Air*

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Pollutants. Hydrology Program. Manages the coordination of hydrology studies and water resource planning. Establishes policy for use, protection, and study of groundwater. Ensures coordination of all programs and projects related to groundwater assessment, monitoring, or development. Ensures technical basis for expanded water use; determines impact of increased off-site use. Ensures all work is completed in accordance with state and federal regulations in order to protect groundwater resources. **Maintenance of Test Capability Geology.** Geologic/hydrologic support by U.S. Geological Survey to NTS environmental and technical studies associated with nuclear test readiness activities and site capability. Supporting activities include: 1) Verification of NTS emplacement hole conditions; 2) Maintenance of NTS Core Library; 3) Water level monitoring of supply/production wells; 4) Monitoring of site tectonic (fault) conditions through aeromagnetic, gravity, and geologic mapping; and 5) Support to regional groundwater model development and maintenance.

- (d) **Occupational Safety Program.** Federal management and oversight of the contractor-operated Occupational Safety Program, which addresses: Fall Protection, Excavations, Mobile Equipment (powered industrial trucks, cranes, manlifts, hoists, earth moving equipment, etc.), Hazard Communication, Hoist/Rigging, Required Inspection Programs (elevators, pressurized vessels, conveyors, etc.), Voluntary Protection Programs, and Firearm and Safety Training. **ES&H Authorization Basis Assurance.** Supports Management Program Offices to ensure all work performed under the purview of NNSA/NSO has an adequate ES&H Authorization Basis. **Type A and B Accident/Incident Investigation Coordination.** Federal management and oversight of all Type A and B accident/incident investigations. Provides trained investigators to support DOE or NNSA Accident Investigation Teams and NNSA/NSO chaired investigations.
- (e) **Fire and Rescue.** Federal oversight of the contractor's fire stations, paramedics, and associated facilities and equipment. Manages the contractor's Fire Engineering Program that includes fire suppression, alarm, and review engineering drawings to ensure compliance with National Fire Protection Association requirements.

- (f) Underground Operations. Federal management and oversight of the contractor's Mine Safety Program that consists of ground control, ventilation, electrical systems, fire protection, loading, hauling, dumping, travel-ways, escape-ways, compressed air, illumination, hoisting systems, mine rescue, and MOUs with the state of Arizona regarding mine rescue.
- (g) Explosive Safety. Federal management and oversight of the contractor's Explosive Safety Program that includes storage and use (demolition, construction, and nonmilitary). Integrates with various NTS users regarding explosive safety.
- (h) Construction Safety. Federal management and oversight of the contractor's Construction Safety Program that includes Occupational Health/Environmental Controls, Personal Protective Equipment (PPE), Fire Protection, Materials Handling, Hand and Power Tools, Welding/Cutting, Scaffolding, Fall Protection, Hoisting/Rigging, Excavation, Compressed Air, and Demolition.
- (i) Electrical Safety. Federal management and oversight of the contractor's Electrical Safety Program. This includes: electric utilization systems; lockout-tagout; high voltage; wiring design and protection; wiring methods, components, and equipment; hazardous locations; use of equipment; PPE; specific purpose equipment and installation; and training.
- (j) Industrial Hygiene Program. Federal management and oversight of the contractor-operated Industrial Hygiene Program that provides traditional industrial hygiene services to NTS workers and users. Subfunctions include: Health Hazard Inventories, Workplace Air Monitoring, Hearing Conservation, Carcinogen Control Program, Hazard Communication, Nonionizing Radiation, Lead, Ergonomics, Confine Space Entry, Asbestos, Field Survey Equipment, Sanitation, Beryllium, High Efficiency Particulate Air Filters, Respiratory Protection, and Toxic/Hazardous Substances.
- (k) Radiation Protection Program (RPP). Federal management and oversight of the contractor-operated RPP that provides traditional health physics/radiation protection services to NNSA/NSO customers. Ensures consistency and completeness of contractor RadCon Manuals. Coordinates NNSA/NSO efforts to respond to

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nuclear safety regulations and Price-Anderson Amendment Act coordination uniformly. Functions include: radiological posting, employee protection, health protection equipment, radiation/contamination monitoring, radiography, X-rays, accelerators, workplace air monitoring, radiation protection training, radiation work planning, material/radioactive producing devices, radioactive material packaging/transportation, NTS decontamination operations, as low as reasonable achievable, dosimetry (internal/external), bio-assay, and DOE or NNSA Limited Access Program accreditation. Supports Management by providing a Health Physics Advisor and Radiation Operations Officer.

- (l) Occupational Medical Services Program. Federal management and oversight of the contractor-operated Occupational Medical Program, which provides medical emergency response, occupational medical services, and nonoccupational medical services to the NNSA/NSO community. Manages the human health study, state of Nevada cancer registries, worker compensation, Boston University human health studies, and the University of Nevada Las Vegas records project. Federal Employee Occupational Safety and Health (FEOSH) Program. Manages a Federal Program in accordance with 29 CFR 1960, and DOE's or NNSA's implementation of that program in accordance with DOE and NNSA Directives Including injury/illness reporting.
- (m) Aviation Safety. Responsible for the oversight of aviation safety for NNSA/NSO. Reviews policies, procedures, training, maintenance, and other oversight functions to verify the PBMC is complying with federal regulations.
- (3) Safeguards and Security Division. SSD performs the following functions:
 - (a) Safeguards and Security Program Management. Provides planning, management, and administration of the Safeguards and Security Program. Identifies and assesses threats through liaison with local law enforcement agencies. Oversight of the NNSA/NSO Integrated Safeguards and Security Management System.

- (b) **Facility Approvals**. Grants approval to facilities to access, possess, and store classified information, nuclear material, and government property. This includes registering safeguards and security activities in the Safeguards and Security Information Management System.
- (c) **Foreign Ownership, Control, or Influence (FOCI)**. Renders determinations of FOCI prior to award of contracts involving personnel security clearances.
- (d) **Safeguards and Security Surveys**. Conducts Safeguards and Security Surveys and assessments of approved facilities. Monitors deficiencies to ensure CA.
- (e) **Incidents of Security Concern**. Manages the program for security incident reporting. Reports security incidents to the appropriate offices both within and outside of DOE and NNSA. Ensures CAs are developed to prevent recurrence of security incidents.
- (f) **Protection Program Operations**. Manages the contractor-operated Protective Force, which provides protection for SNM, property, and classified matter. Manages physical security systems including closed circuit television, intrusion detection, and duress alarms systems for all NNSA/NSO facilities.
- (g) **Information Security**. Administers the Information Security Program for protecting classified and sensitive unclassified information. This includes managing the Classified Matter Protection and Control Program. Provides security coordination for Special Access Programs.
- (h) **Technical Surveillance Countermeasures**. Ensures an effective program to counter electronic penetration of NNSA/NSO and NNSA/NSO facilities.
- (i) **Operations Security**. Implements *National Security Decision Directive 298* requiring protection of sensitive information and establishes a Risk Management Program.
- (j) **Cyber Security**. Manages the unclassified and classified Cyber Security Programs including the Designated Accrediting Authority

and Information Systems Operations Management functions, for the NNSA/NSO enterprise. Manages the Public Key Infrastructure Program for the NNSA/NSO enterprise.

- (k) Nuclear Materials Control and Accountability. Manages the Nuclear Material Control and Accountability Program for SNM including detection and prevention of unauthorized diversions of SNM; and receipt, shipment, storage, and use of SNM.
- (l) Personnel Security. Administers the program for providing DOE and NNSA identification and access to NNSA/NSO facilities. Conducts interviews, arranges administrative review hearings, and initiates additional investigations to resolve questions of clearance eligibility.
- (m) Badges and Credentials. Manages the issuance of security badges, credentials, and shields.
- (n) Security Awareness. Provides initial, comprehensive, refresher, and termination security awareness training.
- (o) Human Reliability Program. Administers the Human Reliability Program to certify employees to critical NES and critical security duties.
- (p) Visitor Access Program. Controls classified visits and unclassified visits by foreign nationals. Ensures request for all classified visits to NNSA/NSO facilities have been authorized and approved. Notifies NNSA/NSO personnel of sensitive out-of-country travel issues. Coordinates access for intelligence-related activities and visits with NVIC.
- (q) Employee Concerns/Confidential Hotline. Provides a 24-hour hotline for individuals to report areas of concern.
- (r) Information Classification Program. Provides information determinations, guidance, and reviews; designates, trains, and certifies classifiers; and performs declassification reviews. Classified intelligence-related information is coordinated with NVIC.

- (4) Performance Assurance Division. PAD performs the following functions:
- (a) Nuclear, Radiological, and Hazardous Nonnuclear Facility Authorization Basis. Manages an oversight program to ensure development, maintenance and implementation of nuclear facility SB in accordance with 10 CFR 830, Subpart B, or other applicable DOE and NNSA Directives, standards, and requirements (e.g., Safety Analysis Reports [SAR], DSATSRs, Operational Safety Requirements, USQs, Authorization Basis Agreements, Basis for Interim Operation, Justification for Continued Operation [JCO], and Hazards Analysis Reports), and recommends approval/disapproval to the Manager.
 - (b) SBRT Establishment and SER Preparation. For all nuclear facilities or activities (except SCEs), radiological facilities and hazardous nonnuclear when deemed appropriate by the Manager, establishes SBRT and recommends SBRT Team Leader for a DSA, TSR, PDSA, JCO, nuclear facility safety analysis methodology (when appropriate) or positive USQD (when appropriate) reviews that provides expert technical and safety review, prepares an SER, and recommends approval/disapproval to the Manager.
 - (c) Readiness Review Program. Manages and administers a program to provide NNSA/NSO readiness reviews in accordance with DOE O 425.1C, STARTUP AND RESTART OF NUCLEAR FACILITIES, the guidance of DOE-STD-3006, and, where designated by the Manager, a graded approach for radiological and hazardous nonnuclear facilities, and recommends approval/disapproval to the Manager.
 - (d) Nuclear Facility Systems Engineer Program. Manages an oversight program to ensure the development and maintenance of vital safety system at NTS nuclear facilities pursuant to DOE O 420.1A, and DOE and NNSA commitments to the DNFSB. Provides overall administration and coordination of federal cognizant system engineers assigned to oversee vital safety systems.

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- (e) DNFSB Technical Support. Provides technical expertise to the AMSSP in overseeing NNSA/NSO activities and interactions associated with DNFSB recommendations dealing with nuclear facilities SB, vital safety systems, and QA.
- (f) Quality Assurance. Responsible for overseeing the compliance with 10 CFR 830 and DOE O 414.1A (or latest edition) as they pertain to QA. Responsible for coordinating with management to ensure all requirements are identified and resolved in a timely manner. Coordinates and interprets 10 CFR 830, Subparts A and B, policy for NNSA/NSO sites. Provides guidance and technical expertise to NNSA/NSO Management on implementing the requirements of the rules, orders, guides, and standards.
- (g) Nuclear Facility Training Program. Manages an oversight program to ensure NTS nuclear facilities comply with training and qualification requirements pursuant to DOE Order 5480.20A
- (h) SCE Support. Provides nuclear safety SME support to SCE Safety Evaluation Panels as requested by AMNS.
- (i) Packaging and Transportation (P&T). Provides oversight of contractor onsite P&T operations for nuclear activities (non-SCE, nonnuclear explosive operations). Leads NNSA/NSO review of specific SAR for Packaging.

5. ASSISTANT MANAGER FOR SITE OPERATIONS (AMSO).

- a. Mission. As landlord of the NTS, the Office of AMSO will provide infrastructural services needed in support of our customers, the test site users. These services may be provided under contract, subcontract, or in-house. Three divisions functioning within the office will provide well-trained, qualified professionals to provide the quality services for site and facility maintenance; construction project management; day-to-day oversight of contractor operations for ensuring the safety envelopes and safe work practices at the facilities; ground and air space control for operational exclusivity; and on-call emergency management teams.

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- b. Components. The Office of AMSO is comprised of three divisions: Facilities, Engineering, and Infrastructure Management Division (FEIMD); Operations Management Division (OMD); and FRD.
- c. Functions.
- (1) Office of AMSO. The Office of AMSO performs the following functions:
- (a) Management and oversight of functional responsibilities of AMSO.
 - (b) COR responsibilities for major NNSA/NSO contractors.
 - (c) Oversight of principles and practices of project management at NNSA/NSO.
 - (d) Leads and/or participant on Office of Project Management and System Support Independent Project Reviews.
 - (e) Secretariat for the NNSA/NSO Energy System Acquisition Advisory Board Equivalent process for line item projects with delegated Acquisition Executive authority assigned to NNSA/NSO.
 - (f) NNSA/NSO Administrator for the DOE Project Acquisition and Reporting System.
 - (g) Lead for Strategic Site Development Planning. Provides the Executive Secretary for the Site Development Steering Committee and co-chairs the Integration Committee.
- (2) Facilities, Engineering, and Infrastructure Management Division. FEIMD performs the following functions:
- (a) Facilities and Infrastructure Recapitalization Program (FIRP) and Operational Planning. Performs federal management and oversight of the FIRP to restore, rebuild, and revitalize the physical infrastructure of the NTS and the North Las Vegas Complex. Ensures the integration and prioritization of infrastructure and programmatic requirements (in coordination with the NS and EM Programs) to sustain the operational efficiency and effectiveness of NNSA/NSO missions. For nonprogrammatic constructions projects, coordinates and reviews project data sheet information required for

the annual NNSA field budget call, reviews preconceptual activities, prepares conceptual designs, conducts project validations, and prepares/reviews program execution plans. In addition, FEIMD is responsible for developing, reviewing, and submitting the Ten-Year Comprehensive Site Plan to NNSA in accordance with defined requirements.

- (b) Construction Project Execution. Manages and oversee the design and execution of all nonprogrammatic capital construction projects regardless of funding source. Provides project management/project engineering expertise to manage and oversee all design and construction-related activities and their associated REOPs. Division activities include serving as the main field office liaison to NNSA personnel on implementation of procedures flowing from DOE O 413.3. Functional project management interpreter for system requirements to be performed by the PBMC and other FPDs.
- (c) Facility/Infrastructure/Utility Management and Maintenance. Provides direction and guidance to the NNSA/NSO community for NNSA/NSO implementation of DOE, NNSA, and Federal Agency Directives and direction for management of facilities, roads, water, steam, and electrical distribution systems. Functional Managers provides oversight of facility, infrastructure, and utility management and maintenance. Provides guidance to and reviews NNSA/NSO contractor execution of the DOE Facility Information Management System. Interfaces with all users of NNSA/NSO infrastructure to provide a forum for feedback and understanding of facility and infrastructure issues.
- (d) Nevada Support Facility Management and Maintenance. Provides a Statement of Work and a COR to ensure the Nevada Support Facility, along with the General Services Administration federal fleet, the direct operations personal property, building utilities, office supplies, and associated equipment are maintained to satisfy the user's needs. Provides maintenance management services for building occupants including additions, modifications and/or demolitions to the current facility structure, modification to building as-built drawings, space utilization management, logistics for personnel moves, and access controls to nonsecure areas of the facility including key control. Also provides for conference room management including setups, coordination of equipment/supplies,

and maintenance of the automated reservation system. Provides oversight of contractors performing maintenance work within the facility to ensure compliance with applicable standards, contractual requirements, and DOE and NNSA Directives.

- (e) Motor Vehicle/Equipment Management and Maintenance. Provides Functional Manager and REOP assessments of NNSA/NSO vehicle/equipment operations and ISM implementation. Provides oversight of vehicle and equipment fleet operations. Ensures NNSA/NSO vehicle and equipment operations are efficiently utilized and maintained to satisfy federal, DOE, and NNSA regulatory mandates contained in 41 CFR, Chapters 102 and 109. Reviews contractor fleet operations for adherence to contract requirements and meeting of customer requirements. Provides vehicle and equipment fleet management and maintenance task plan guidance to the NNSA/NSO community and documents attainment of agreed to milestones and deliverables. Coordinates, reviews, and provides oversight of NNSA/NSO contractor motor vehicle budgets. Approves additions to the motor vehicle fleet. Develops and assesses the NNSA/NSO community's implementation of NNSA/NSO's policy for meeting alternative fuel objectives outlined in Executive Order 13149 and the Energy Policy Act of 1992. Provides guidance and direction to the NNSA/NSO community through interpretation of federal, DOE, and NNSA Directives and requirements. Acts as the NNSA/NSO focal point for motor vehicle and equipment fleet operations. Interfaces with all NNSA/NSO users and federal, DOE, and NNSA organizations to provide a forum for feedback and understanding of motor vehicle/equipment fleet issues.
- (f) Energy Management. Manages the NNSA/NSO Energy Management Program to control and reduce energy consumption on NNSA/NSO facilities. Defines the PBMC requirements and provides task plan guidance for energy management activities including reporting through the EMS4 Reporting System, development of energy management studies, retrofit projects, and energy savings performance contracts. Plans, coordinates, and provides federal technical administration for utility service contracts.
- (g) Labor Standards Committee. Chairs the NNSA/NSO Labor Standards Committee for determination of coverage or noncoverage of the Davis-Bacon Act on work performed by NNSA/NSO,

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contractors, and subcontractors through the review of pertinent work orders, proposed contracts, subcontracts, and work site visits, as appropriate. Reviews appeals made by union or unions regarding labor standards determination.

- (3) Operations Management Division. OMD performs the following functions:
- (a) NTS Operational Coordination. As the single POC for coordination, scheduling, and deconfliction of all operations and activities occurring outside of facilities on the NTS, develops and maintains an integrated schedule, current and projected, for distribution to NNSA/NSO personnel, National Laboratories, contractors, and other site users.
 - (b) On-Site Aviation/Airspace Management. Exercises sole control of NTS airspace to ensure protection of high-risk facilities and activities and safe conduct of special operations and tests. Functions as the single POC for airspace coordination with other entities including Nellis Air Force Base 98th Range Wing. Coordinates all intelligence-related activities with NNSA/NSO Intelligence Center.
 - (c) Test Readiness Requirements. Provides support to NNSA/NSO, National Laboratories, contractors, other federal agencies, and other site users prior to and during conduct of tests and experiments at the NTS. Provides support during readiness training, drills, exercises, and, should underground nuclear testing be resumed, will support planning operations associated with the conduct of tests.
 - (d) Functional Management Responsibilities. Provides functional management of NTS ranges and training/testing areas where hazardous operations involving use of military munitions, explosives, and other hazardous activities are conducted. Provide function, oversight and training for NNSA/NSO Operations Controllers. Serve as the NNSA/NSO representative to the DOE Explosives Safety Committee and the Range Commander's Council. Provide interface with environmental regulatory agencies to program and project organizations ensuring operational compliance. Provide mechanism addressing unexploded ordnance.
 - (e) NTS Access and Area Control. Oversees and coordinates or denies all access to specific, designated areas of the NTS for authorized purposes ensuring safety and security. Operations and activities in

these areas are authorized under primary REOPs maintained by the PBMC and are conducted under the primary or a secondary REOP. Controls ground access between the NTS and Nellis Air Force Range Complex.

- (f) NTS Duty Officer Program Management. Duty Officers from multiple NNSA/NSO organizations provides federal oversight at the NTS after normal working hours and on weekends. They are responsible for multiple aspects of NTS stewardship including oversight of safety and security.
- (g) NTS Explosive Operations. Provides oversight for the tracking of explosives on the NTS during normal working hours and, via the Duty Officer Program, after normal working hours and on weekends.
- (h) Coordination of NTS Land Use. Planning and NTS project siting occurs via the Site Use and Development (SUD) Working Group and the Project Screening and Location Process. OMD chairs the SUD Working Group, supports the SUD Board, and maintains NNSA/NSO Directives that implement DOE's land use policies.
- (i) Real Estate/Operations Permit. Provides the administrative function for the REOP process including oversight of the PBMC administration of the REOP database.
- (j) Test Group Director Support. Provides administrative support for Test Group Director meetings.
- (k) NTS Management Plans. Maintains and updates the NTS Resource Management Plan and NTS Range and Airspace Management Plan consistent with DOE and NNSA policy.
- (l) Local Emergency Management Program. Manages the comprehensive Emergency Management Program for NNSA/NSO facilities. As such, provides programmatic direction and oversight of the program in accordance with DOE O 151.1B, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, and DOE G 151.1-1, EMERGENCY MANAGEMENT GUIDE. The comprehensive Emergency Management Program includes emergency planning,

preparedness, response, recovery, and readiness assurance activities and effectively integrating these activities under a comprehensive, all-emergency concept.

- (4) Facility Representative Division. FRD performs the following functions:
- (a) Manages and administers an FR Program for all nuclear and higher hazard nonnuclear facilities under the purview of NNSA/NSO. The FR work activities will be conducted according to DOE-STD-1063-2000 (latest edition), *Facility Representative Program*, as implemented by the FRD procedures.
 - (b) The FR is the primary POC to monitor the operational performance of assigned facilities from a safety perspective.
 - (c) Tracks and verifies resolution of concerns and completion of improvement actions.
 - (d) Occurrence Reporting. Provides the NNSA/NSO functional management for all occurrence reports including program administration, notification protocols, and trending/analysis reports.
 - (e) Provides expert knowledge for walkthroughs, surveillances, and audits in facilities assigned by the FRD Director.
 - (f) Lessons Learned sharing.

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CHAPTER III

NNSA/NSO FEDERAL WORK

NNSA/NSO FEDERAL WORK		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
1.0 Leadership	<p>Manager</p> <ul style="list-style-type: none"> • Defines the corporate vision. • Leads the development of values, mission statement, and strategic plan that is consistent with the Secretary's Strategic Plan, and various Program Secretarial Office (PSO)/Lead PSO planning documents. • Establishes forums to achieve corporate coordination and integration such as the Manager's Staff meeting, the Executive Council, and the Leadership Team. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Communicate corporate vision/values/mission into their organization. • Define the work, resources, goals, objectives, performance indicators at the Office of AM level. • Establish expectations of behaviors for the management team that emulate the organizational values. • Create a continuous improvement environment through process improvement mechanisms, i.e., benchmarking/reengineering/ Lessons Learned, etc. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Communicate corporate/AM vision/values/mission into their organization. • Define the work, resources, goals, objectives, performance indicators at the division/office level. • Establish expectations for staff behavior that emulate the organizational values. • Create a continuous improvement environment through process improvement mechanisms, i.e., benchmarking/reengineering/ Lessons Learned, etc. • Coach/mentor/motivate/empower staff utilizing established boundaries. <p>All Employees</p> <ul style="list-style-type: none"> • Perform assignments with an understanding of and commitment to the organization's vision/values/mission. • Establish behavioral patterns that emulate the organization's values. • Raise opportunities for improvement (technical, management, system, work place safety, etc.) to supervisor. 	NV M 111.X

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NNSA/NSO FEDERAL WORK		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>2.0 Technical Qualification and Competency</p>	<p>Manager</p> <ul style="list-style-type: none"> • Provides adequate resources and support to meet expectations of the Federal Technical Capability Program (FTCP). • Designates Senior Technical Safety Managers (STSM). • Establishes a culture committed to developing and maintaining employee technical competency commensurate with the degree of risk in assigned work. <p>FTCP Agent</p> <ul style="list-style-type: none"> • Assists the Manager in establishing a formal STSM Program for the organization. • Facilitates recruitment to fill open positions with technically competent individuals. • Concurs with STSM vacancy announcements and crediting plans to ensure the inclusion of adequate selection criteria. • Represents, to the FTCP, the office's justification regarding the identification and qualification of STSM incumbents. • Maintains a list of STSMs. • Coordinates the periodic self-assessment of the NNSA/NSO Employee Qualification Program. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Designate TQP participants. • Implement the FTCP. • Direct the performance of self-assessments of the FTCP in the second quarter of odd years. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Identify professionals in defined position categories per this Directive. • Ensure personnel are qualified to perform their safety management and/or oversight functions through the Professional Development Program. • Ensure technical skills and knowledge related to safety management functions are reflected in position descriptions and performance criteria. • Ensure employee Individual Development Plans (IDP) document qualification and continuous training requirements. • Participate in annual training needs assessments to determine technical training requirements. • Recruit and hire technically capable personnel. <p>STSM/TQP Participants</p> <ul style="list-style-type: none"> • Complete training in accordance with approved IDPs. 	<p>DOE O 360.1 DOE M 360.1-1 DOE P 426.1 NV M 360.1-1</p>

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NNSA/NSO FEDERAL WORK		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>3.0 Federal Employee Occupational Safety and Health</p>	<p>Manager</p> <ul style="list-style-type: none"> · Establishes the FEOSH Program and has overall responsibility for the program. <p>Assistant Managers</p> <ul style="list-style-type: none"> · Select an individual to represent their organization on the FEOSH Committee. <p>Office/Division Directors</p> <ul style="list-style-type: none"> · Ensure the specific requirements are properly implemented. · Conduct safety and health inspections of their areas. · Ensure complaints are promptly reported. · Ensure violations are promptly abated. · Ensure all employees are afforded the opportunity to attend hazard recognition training. · Ensure all employees are familiar with accident and injury reporting requirements. <p>All Employees</p> <ul style="list-style-type: none"> · Ensure they maintain a safe and healthy working environment. · Report any observed unsafe or unhealthful condition in their work environment. · Immediately report an accident or injury to their supervisor. 	<p>DOE O 440.1 DOE P 450.4</p>
<p>4.0 Employee Concerns</p>	<p>Manager</p> <ul style="list-style-type: none"> · Concurs with or disapproves with the recommended action for employee concerns. Reviews employee concerns quarterly and year-end concern statistics. <p>Assistant Managers</p> <ul style="list-style-type: none"> · Concur with or disapproves the recommended action for the employee concern. Reviews employee concerns quarterly and year-end concern statistics. Encourages employees to report concerns. <p>Office/Division Directors</p> <ul style="list-style-type: none"> · Encourage employees to report concerns; respond to management request to investigate concerns that fall within their assigned organizational purview; provide SME when applicable, etc. <p>All Employees</p> <ul style="list-style-type: none"> · Report concerns related to security, ES&H, mismanagement, theft, fraud, abuse, reprisal, or other concerns that hamper the employee's ability to accomplish assigned work, e.g., harassment, etc. 	<p>DOE O 442.1</p>

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NNSA/NSO FEDERAL WORK		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
5.0 Laws and Regulations	<p>Manager</p> <ul style="list-style-type: none"> Approves requests for exemptions from agency and state regulators, when delegated by NA-10 or DOE PSO for non-NNSA facilities. <p>Assistant Managers</p> <ul style="list-style-type: none"> Provide leadership for the implementation of applicable laws and regulations pertaining to assigned work. Determine if exemptions are required. <p>Office/Division Directors</p> <ul style="list-style-type: none"> Ensure staff is aware of laws and regulations pertaining to their assigned work. Prepare exemption requests, when required. <p>FRs/Program/Project Managers, Task Managers, Functional Managers/SMEs</p> <ul style="list-style-type: none"> Maintain awareness of laws and regulations pertaining to the work they are assigned. Assist in the development of rules with supporting SME participation on development teams. Determine actions necessary to ensure the implementation of the final rules. Provide comments on proposed rules and recommend technical and economical improvements, as appropriate. 	<p>DOE O 251.1 DOE M 251.1-1 NV P 251.1 NV M 251.1-1 NV O 1300.2</p>

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NNSA/NSO FEDERAL WORK		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>6.0 DOE, NNSA, and NNSA/NSO Directives Including DOE or NNSA Technical Standards</p>	<p>Manager</p> <ul style="list-style-type: none"> • Approves all NNSA/NSO Directives. <p>OPRs—Functional Managers (NOTE: An OPR is usually a Functional Manager assignment for certain DOE, NNSA, and NNSA/NSO Directives addressing a functional area, i.e., fire protection, emergency management, etc.).</p> <ul style="list-style-type: none"> • Maintain cognizance of related functional DOE and NNSA Directives, and develop and maintain content of NNSA/NSO Directives, within their assigned functional area of responsibility. • Propose local requirements, processes, procedures, and responsibilities for implementation of DOE and NNSA requirements applicable to federal employees. • Propose local requirements for NNSA/NSO contractors, where appropriate, for incorporation in appropriate contracts. • Coordinate review process of assigned DOE, NNSA, and NNSA/NSO Directives. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Provide leadership for the implementation of applicable DOE, NNSA, and NNSA/NSO Directives on programs and projects and in functional areas by employees. • Review and concur on NNSA/NSO Directives prior to Manager approval. • Provide leadership for use of technical standards that are developed or adopted by voluntary consensus standards bodies, as a means to carry out Department policy, objectives, missions, and activities. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Determine strategy and consensus actions necessary for employees to implement DOE, NNSA, and NNSA/NSO Directive System requirements. • Obtain Leadership Team consensus on proposed NNSA/NSO Directives. <p>Program/Project Managers</p> <ul style="list-style-type: none"> • Recommend applicability of necessary and sufficient DOE, NNSA, and NNSA/NSO Directives to assigned programs and projects. • Recommend the appropriate selection of standards (NV-WSS, NNSA/NSO, industry consensus standards, etc.) for assigned work scopes. 	<p>DOE O 251.1 DOE M 251.1-1 NV P 251.1 NV M 251.1-1 NV O 1300.2</p>

CHAPTER IV

NNSA/NSO WORK EXECUTION—MANAGEMENT AND OVERSIGHT

NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
1.0 Provide Direction	PSOs/Lead PSOs are responsible for defining mission, program objectives, high-level program performance measures, and programmatic expectations. The Manager and staff are responsible for directing the execution of contracts/agreements and identifying planned deliverables, schedules, and budget needs to accomplish specific missions, goals, and objectives as defined in the NNSA/NSO Strategic Plan.	DOE P 450.1 DOE P 450.4 DOE P 450.5 NV P 450.4
1.1 PSO/Lead PSO Mission Assignment to the Field	<p>Manager</p> <ul style="list-style-type: none"> • Executes contracts consistent with DOE, NNSA, and NNSA Policies and requirements. • Assigns AMs responsible for executing PSO/Lead PSO mission assignments. • Notifies NA-10, Lead PSO, when direction or guidance from multiple PSOs is inconsistent. • Approves Federal Project Managers (FPM) for DOE O 413.3 projects having delegated Acquisition Executive authority from the PSO/Lead PSO. • Recommends candidate FPMs for DOE O 413.3 projects to the PSO/Lead PSO for projects where the PSO/Lead PSO retains Acquisition Executive authority. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Involve appropriate NNSA/NSO organizations and stakeholders in reviewing proposed mission assignments. • Review input and provide comments on DOE and NNSA program guidance. • Provide support to resolve conflicts in PSO/Lead PSO direction or guidance. • Ensure implementation of final program guidance. • Recommend candidate FPMs to the Manager for DOE O 413.3 projects. 	DOE O 413.3 NV O 413.X

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>1.2 Budget Formulation</p>	<p>Manager</p> <ul style="list-style-type: none"> • Approves and transmits proposed budget request to the PSO/Lead PSOs for DOE or NNSA consideration regarding their inclusion in the Department's budget request to Congress. • Designates membership to NNSA/NSO's Resources Management Council. <p>OBA/Chief Financial Officer</p> <ul style="list-style-type: none"> • Coordinates the development of programmatic budget requests for the Manager to forward to PSO/Lead PSOs by providing mission level guidance that is consistent with the NNSA/NSO Strategic Plan to all applicable AMs and affected contractors. • Participates in preparation of budget and provides input to PSO/Lead PSO on adequacy of budget to support landlord activities and safety/security needs. • Determines the adequacy of budget requests to support programmatic objectives and functional and institutional objectives/requirements and documents the results of that determination to the Manager and the PSO/Lead PSO receiving the budget request. • Coordinates the submission of supplemental and crosscutting budget documents and corresponding execution year reports of status. • Identifies business and financial issues that may impact budget. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Ensure a coordinated review of proposed budgets among all appropriate stakeholders. • Ensure budget requests are consistent with the NNSA/NSO Strategic Plan and annual planning baselines covering assigned mission/program work. • Ensure preparation of, and concur on the proposed budget for their organization and provides input to the PSO/Lead PSO POC on the adequacy of the proposal to support missions, safety initiatives, and implement CAs. • Coordinate the development of programmatic budget requests for the Manager to forward to PSO/Lead PSOs by providing mission level guidance to Division/Offices, Program/Project Managers, and affected contractors. • Participate in preparation of budget and provide input to PSO/Lead PSO on adequacy of budget to support landlord activities and safety needs. • Formally assess the adequacy of the programmatic budget planning for functional and institutional responsibilities assigned to them; provide alternate plans to PSO when budgets are insufficient. • Develop and issue to appropriate contractors activity and priority guidelines for applicable mission/programmatic work and priority guidelines for ES&H activities. • AMSO maintains a system to prioritize the acquisition of physical assets. <p>Executive Council</p> <ul style="list-style-type: none"> • Reviews, assesses impacts, and approves annual planning baselines that represent a balanced approach to addressing the priorities of mission/program work and safety activities. 	<p>DOE O 130.1 DOE O 135.1 DOE M 135.1-1 DOE O 430.1 paragraph 7c(5) DOE G 430.1-1 NV O 124.X</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
	<p>Office/Division Directors</p> <ul style="list-style-type: none"> • Provide documentation in the form of scope of work descriptions, performance milestones, deliverables and funding requirements for submission to the PSO/Lead PSOs. • Develop programmatic budget requests consistent with the program guidance of PSO/Lead PSOs; coordinates programmatic budgetary planning for functional responsibilities with NNSA/NSO Functional Managers and contractor Programmatic Managers. • Ensure all functional planning documents are considered in developing the programmatic budget request. (ES&H Management Plan, Information Management Plan, and Safeguards and Security Plan, etc.) • Assess the adequacy of the programmatic budget request to support programmatic objectives and functional and institutional objectives/requirements and document the results of the assessment to all affected AMs. <p>Program/Project Managers</p> <ul style="list-style-type: none"> • Recommend budget requirements to accomplish objectives with a balanced consideration of related functional areas, i.e., safety, property management, technical information, etc., effectively. • Evaluate contractor budget submissions, planning documents, operating and capital budgets, and capital projects to ensure ES&H and other activities are appropriately addressed. 	
2.0 Define Scope of Work	<p>Once the organization has established its missions and resources, the specific work, which needs to be done in order to meet those missions, is determined. Department expectations, site and contractor capabilities, safety priorities, and available resources are considered in defining the scope of work to be performed. These activities are prioritized in order to ensure resources are most effectively applied.</p>	
2.1 Translate Mission Into Work	<p>Assistant Managers</p> <ul style="list-style-type: none"> • Ensure assigned AM missions are translated into defined work scopes. • Ensure Task Plans provide integrated support to strategic plans and mission objectives. • Identify and communicate key mission deliverables, schedules, and funding guidance to staff. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Define work scopes and appropriately delegate federal management and oversight responsibilities to accountable individuals who possess the requisite qualifications for the assignments. • Review and approve planning documents. <p>Program/Project/Functional Managers</p> <ul style="list-style-type: none"> • Provide program guidance to contractor/user counterparts. • Develop or review work scope planning documents. • Ensure appropriate functional and technical reviews are performed by NNSA/NSO organizational elements. 	

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>2.2 Set Performance Expectations</p>	<p>Manager</p> <ul style="list-style-type: none"> • Provides strategic vision from which priority incentives can be developed. • Approves contractor ISM System description documents. Serves as <i>Administrative Contracting Officer</i>. <p>Contracting Officer</p> <ul style="list-style-type: none"> • In accordance with contract regulations and supported by the AMs, prepares, approves, and issues contracts that establish clear expectations and performance measures regarding work to be performed and the mission and safety requirements based upon PSO/Lead PSO guidance and NNSA/NSO's strategic vision. • Ensures contracts clearly delineate contractor responsibilities. • Acts as a liaison between the contractor and Department staff regarding contract issues and performance expectations. • Ensures QA and ISM are appropriately integrated into procurement actions. <p>Office of Business Affairs</p> <ul style="list-style-type: none"> • Negotiates and awards contracts in accordance with contractual regulations and NNSA/NSO expectations. • Ensures contracts clearly delineate contractor responsibilities regarding subcontractors and supplies. • Ensures contracts establish clear expectations and performance measures regarding work to be performed and site mission and safety requirements. • Approves funding allocations and incentive fees. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Provide guidance and priorities, consistent with those of PSO/Lead PSOs to assist the contractor in developing work strategies. • Ensure planning documentation Provides a reasonable balance between mission accomplishment and ES&H priorities. • Define and communicate applicable contractors change control thresholds to ensure NNSA/NSO's appropriate involvement. • Ensure the development of program specific worker protection goals and objectives. • Develop performance measures and criteria to incentivize key areas of interest including mission performance, ISM, Emergency Management, Asset Management. • Ensure the development of performance indicators for critical areas of performance. • Redirect the contract effort, shift work emphasis, require pursuit of certain lines of inquiry, clarify the statement of work. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Propose performance indicators/measures for critical areas of performance. • Ensure planning documentation provide a reasonable balance between mission accomplishment and ES&H priorities. 	<p>NV M 210.X</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
	<p>Program/Project Managers</p> <ul style="list-style-type: none"> • Review contract statements of work, task plans, performance plans, etc., to ensure they adequately define NNSA/NSO objectives and expectations. • Ensure planning documentation Provides a reasonable balance between mission accomplishment and ES&H priorities. • Propose development of performance measures and criteria to meet regulatory requirements, and accomplish mission and safety initiatives. 	
3.0 Analyze Risks	In all planning processes, all types of risks must be analyzed. These may include cost, scope, schedule, security, safety, etc. Risks must be identified and analyzed to determine the appropriate levels of controls.	
3.1 Identify and Analyze Risks	<p>Manager</p> <ul style="list-style-type: none"> • Approves risk analysis and authorization basis documentation for nuclear and hazardous nonnuclear facilities. Determines if additional external technical review is warranted for proposed higher risk activities. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Ensure the Manager that all potential risks that may have substantial impact on the Office have been identified. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Ensure the AM that all potential risks that may have substantial impact on the office have been identified. • Acquire technical assistance (NNSA/SC and DOE assistance), as needed. <p>Program/Project Managers</p> <ul style="list-style-type: none"> • Ensure risk analysis provided by the contractor/user properly covers the appropriate risks associated with the work and provides sufficient information for the selection of standards and controls. • Involve NNSA/NSO support staff in the identifications/analysis of risks associated with proposed new work and changes to existing work in accordance with NV M 412.X1, REAL ESTATE/ OPERATIONS PERMITS. • Ensure the contractor has an acceptable process to identify and analyze new or increased risks that may warrant NNSA/NSO review. <p>Functional Managers/SMEs (NNSA/SC as needed)</p> <ul style="list-style-type: none"> • Review hazard identification/risk analyses and make formal recommendations. • Receive input from outside reviews regarding risk analysis and propose resolution. 	<p>DOE O 420.1 DOE O 440.1 DOE O 452.2 NV M 450.X DOE-STD-1022-94 DOE-STD-1063-00 DOE-STD-3009-94 EM-STD-5502 EM-STD-5503</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
3.2 Categorize Facility/Activity Based on the Hazards (Nuclear Facilities)	<p>Manager</p> <ul style="list-style-type: none"> Approves the final hazard categorization for Hazard Category 2 and below and accelerators not excluded in DOE O 420.2 if delegated, otherwise recommends approval to CSO. <p>Assistant Managers</p> <ul style="list-style-type: none"> Recommend to the Manager facility/activity hazard categorization for nuclear facilities. Recommend to the Manager the hazard class for accelerator facilities. <p>Office/Division Directors</p> <ul style="list-style-type: none"> Review facility hazard categorization and forward to the AM. <p>Program/Project Managers</p> <ul style="list-style-type: none"> Review the proposer's facility/activity classification (nuclear versus nonnuclear) and categorization (for nuclear facilities) and recommend approval to the Director for further action. 	<p>DOE O 452.2 NV M 412.X1 DOE-STD-1021-93 DOE-STD-1027-92 10 CFR 830, Subpart B</p>
4.0 Develop and Implement Risk Controls	<p>As risks are identified and analyzed, appropriate controls are planned to control, mitigate, or eliminate the risks. Relevant standards and requirements will be identified that relate to the risks. Operational controls may be engineered barriers or administrative in nature.</p>	
4.1 Identify Standards and Requirements	<p>Define DOE, NNSA, and NNSA/NSO requirements for contractors and user organizations through contracts, agreement instruments, and NV-WSS process.</p> <p>Manager</p> <ul style="list-style-type: none"> Signs MOU or Management Agreements with NNSA Los Alamos Site Office, NNSA Sandia Site Office, and NNSA Livermore Site Office regarding NNSA/NSO's role to establish NV-WSS and other requirements governing the activities of National Laboratories on real property assigned to NNSA/NSO. 	

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
4.2 Nevada Work Smart Standards	<p>NOTE: NV-WSS includes laws, regulations, DOE, NNSA, and NNSA/NSO Directives, industry standards, and other requirements documents determined applicable on an NNSA/NSO complex-wide basis. NV-WSS are referenced as mandatory requirements in various NNSA/NSO contracts and agreements.</p> <p>Contracting Officer</p> <ul style="list-style-type: none"> Serves as the NNSA/NSO agreement party signing agreements with NNSA/NSO contractors, laboratories, or other agency agreement parties on the adoption of NV-WSS for use in relevant contracts and agreements. Approves exemptions to NV-WSS, where authority to grant exemptions is not retained by a regulatory agency. <p>Deputy Manager</p> <ul style="list-style-type: none"> Serves as chairperson of the NNSA/NSO Change Review Group (CRG). As Lead Contracting Officer for NNSA/NSO and chairperson of the CRG, issues modifications to contracts and other agreements regarding recommended changes to NV-WSS contained in NNSA/NSO contracts. Dispositions identified impacts from contractors and other organizations and evaluates of pending contract or agreement modifications. As Lead Contracting Officer for NNSA/NSO, approves contract modifications incorporating changes to NV-WSS recommended by the CRG. <p>Contracting Officer</p> <ul style="list-style-type: none"> Dispositions contractor identified impacts of pending contract modifications. Approves contract modifications incorporating changes to NV-WSS as recommended by the NNSA/NSO CRG. <p>Assistant Managers</p> <ul style="list-style-type: none"> Provide leadership for the implementation of applicable NV-WSS requirements. Sign Authorization and Activity Agreements with contractors, National Laboratories, other agencies, and other users, which adopt NV-WSS on a facility-specific or operations basis. <p>Office/Division Directors</p> <ul style="list-style-type: none"> Develop proposed Baseline Change Requests on changes to NV-WSS for consideration by the CRG. Provide SME support from a functional perspective on work assignments established by the CRG. <p>Program/Project Managers</p> <ul style="list-style-type: none"> Determine adequacy of NV-WSS defined in contracts to meet the needs of programs and projects and raise issues to supervisor as needed. Propose/support Baseline Change Requests on NV-WSS to the CRG regarding assigned programs/projects. 	<p>DOE O 251.1 DOE O 420.1 DOE P 450.3 DOE M 450.3-1 DOE G 450.3-1 NV P 251.1 NV M 251.1-1 NV M 450.3X</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>4.3 Incorporate Requirements into Contracts or Agreements</p>	<p>Contracting Officer Authorizes standards/requirements to be included into contract/agreements.</p> <p>Assistant Managers Concur with the specific standards/requirements to be included in contracts or agreements.</p> <p>Office/Division Directors Review and concur with the specific standards/requirements to be included in contracts or agreements.</p> <p>Program/Project/Functional Managers Perform ongoing reviews of the NV-WSS set or other sets of standards and propose needed changes. Review new work and unanalyzed hazards for needed changes to the NV-WSS set or other standards sets.</p>	
<p>4.4 Nuclear Safety Rules, Implementation Plans (IP), Programs, and Procedures</p>	<p>Manager</p> <ul style="list-style-type: none"> • Directs the contractor to prepare the RPP USQ procedures in accordance with 10 CFR 830 and 835. • Reviews and approves 10 CFR 835 RPP for nuclear facilities. • Reviews and approves USQ procedures for Hazard Category 2 and 3 nuclear facilities. • Obtains Environmental Health review and NA-10 approval if the provisions of 10 CFR 830 for DSA methodologies are not used. • Reviews and provides recommendations to NA-10 on requests for exemptions to 10 CFR 830 and 835. • When approval authority is not delegated, the Manager and staff serve in a support role to DOE processes and requirements. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Review the nuclear safety management rule required plans, programs and procedures or exemption request prepared by the contractor for compliance with the requirements of 10 CFR 830, and 835. Recommend to the Manager the approval or rejection of proposed plans, programs, procedures, or exemption requests. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Review and concur with approval request correspondence. <p>Program/Project Managers</p> <ul style="list-style-type: none"> • Review the nuclear safety IPs, programs, procedures, or exemption request prepared by the contractor for compliance with the DOE and NNSA nuclear safety rules. • Prepare approval request correspondence with concurrence or comments. • Transmit approvals of IPs from NNSA/NSO Manager or DOE PSO/Lead PSOs (or designee) to contractor. 	<p>DOE O 452.1 DOE O 452.2 DOE O 460.1 DOE O 5480.19 10 CFR 830 10 CFR 834 10 CFR 835</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>4.5 Ensure an Adequate Authorization Basis (Categories 1, 2, and 3 Nuclear Facilities and High and Moderate Hazard Accelerators)</p>	<p>Manager</p> <ul style="list-style-type: none"> • Approves final nuclear facility/activity hazard categorization per DOE STD -1027-92 • Approves nuclear safety design criteria as established in PDSA. • Directs the contractor to prepare documentation of controls (including TSRs) for the prevention and mitigation of hazards for Categories 1, 2, and 3 nuclear facilities. • Directs the contractor to prepare PDSA and DSA in accordance with 10 CFR 830. • Reviews and approves PDSA and DSA for Hazard Categories 2 and 3 nuclear facilities • Approves the TSR and other hazards controls for Hazard Categories 2 and 3 nuclear facilities. • For Hazard Category 2 and below nuclear facilities and accelerators, approves the SB and prepare an SER. • Ensures all Hazard Category 2 nuclear facilities have up to date authorization agreements. • Approves positive USQD as recommended by SBRT or equivalent level of review. • Designates an SBRT Leader and approves SBRT Review Plan for the review of DSA, PDSA, TSR, or as appropriate positive USQD. • When approval authority is not delegated, the Manager and staff serve in a support role to DOE processes and requirements <p>Cognizant AM</p> <ul style="list-style-type: none"> • Ensures the contractor submits technically accurate SB documentation for SBRT review per NV M 421.X. • Ensures timely closure of all SER conditions of approval. • Supports the resolution of technical issues identified by the SBRT process. • Determines the required authorization basis documentation for inclusion in REOPs per NV M 412.X. • Coordinates the REOP review. • Prepares the authorization agreement for Hazard Category 2 nuclear facilities. • Coordinates the appointment of the NNSA/NSO Review Team Leader, if applicable. <p>Review Team Leaders</p> <ul style="list-style-type: none"> • Recommend the scope and SBRT Review Plan for the NNSA/NSO SER to the Manager. • Recommend NNSA/NSO SER and approval to the Director. 	<p>DOE O 420.2 NV M 412.X1 NV M 450.X DOE-STD-1027-92 DOE-STD-1104-96</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
4.6 Ensure an Adequate Authorization Basis (Below Category 3 Nuclear Facilities and Nonnuclear Facilities)	<p>Manager</p> <ul style="list-style-type: none"> Determines the appropriate level of readiness needed for the startup of hazardous nonnuclear facilities and exercise startup authority. <p>Assistant Managers</p> <ul style="list-style-type: none"> Recommend the appropriate level of SB and readiness review needed for the startup or restart of hazardous nonnuclear facilities. <p>Office/Division Directors</p> <ul style="list-style-type: none"> Ensure NNSA/NSO reviews are conducted per NV M 412.X1. <p>Program/Project Managers/Functional Managers</p> <ul style="list-style-type: none"> Determine the required authorization basis documentation for inclusion in the REOP. Coordinate the REOP review. 	NV M 412.X1 NV M 450.X NV O 481.1
4.7 Authorization Protocols	<p>Manager</p> <ul style="list-style-type: none"> Reviews proposer's determination of applicability in accordance with NV M 412.X1, REAL ESTATE/OPERATIONS PERMIT, to new work or significant changes to existing work. Negotiates with PSO/Lead PSO on the approval of construction and initial operation of reactors and selected moderate hazard facilities or modifications thereto involving a USQ. Signs the REOP when required to be signed at the Manager's level per NV M 412.X1. <p>Cognizant AM</p> <ul style="list-style-type: none"> Recommends NNSA/NSO SER approval to the Manager. Approves the scope and plan for the NNSA/NSO SER. <p>Office/Division Directors</p> <ul style="list-style-type: none"> Resolve disputes with proposer's determination of applicability of NV M 412.X1 to new work or significant changes to existing work. Sign the REOP when required to be signed at the Division Director level per NV M 412.X1. <p>Program/Project Managers/Functional Managers</p> <ul style="list-style-type: none"> Review proposer's determination of applicability in accordance with NV M 412.X1, REOP, to new work or significant changes to existing work. Raise any unresolved issues with proposer's determination to the next higher level of NNSA/NSO management with recommended course of action. Determine the appropriate readiness review, if required, per NV M 421.X. Determine any NNSA/NSO approval conditions. Maintain the official file of pertinent documentation relating to the authorization of each assigned work scope through the organizational elements official filing system. Sign the REOP and coordinate other NNSA/NSO approval signatures. 	DOE O 420.2 DOE O 425.1 NV M 412.X1 DOE-STD-1104-96

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
5.0 Perform Work	After planning has been completed and funding received, the work may be initiated.	
5.1 Confirm Readiness		
5.1.1 Startup/Restart Operational Readiness Reviews (ORR)/Readiness Assessments (RA) for Nuclear Facilities or Accelerator Readiness Review (ARR) for Accelerators	<p>Manager</p> <ul style="list-style-type: none"> • Ensures readiness reviews are conducted per DOE O 425.1. • Reviews and approves startup notification reports per DOE O 425.1. • Exercises startup authority for nuclear facilities per DOE O 425.1 (exception for new Hazard Category 2 startup). • Designates an ORR or RA Team Leader for nuclear or accelerator facilities. • Approves ORR POAs. • When approval authority is not delegated, the Manager and staff serve in a support role to DOE processes and requirements. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Recommend to the Manager the readiness review type, the Review Team Leader, scope, and POAs. • Concur in NNSA/NSO's bases for verification and closure of all prestart/restart findings. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Concur in recommended readiness review. • Determine the scope and select qualified Team Leader. • Concur in NNSA/NSO's bases for verification and closure of all prestart/restart findings and keep the approval official appropriately informed. • Coordinate the appointment of the NNSA/NSO Review Team Leader, if applicable. <p>Program/Project Managers</p> <ul style="list-style-type: none"> • Recommend the appropriate type of review (ORR, RA, or ARR) and the performing organization (NNSA/NSO versus contractor) per DOE O 425.1 or DOE O 420.2. • Review adequacy of the Contractor Operational Readiness Review or the Contractor Readiness Assessment Report and CA prior to initiation of NNSA/NSO ORR or RA. • Concur in NNSA/NSO's bases for verification and closure of all prestart/restart findings and keep the approval official appropriately informed. • Review the final readiness recommendations from NNSA/NSO organizational elements and recommend startup/restart. <p>Review Team Leaders</p> <ul style="list-style-type: none"> • Conduct ORR or RA per approved POA, (IP), DOE O 425.1 and DOE-STD-3006 and 3012. • Prepare ORR or RA report per DOE-STD-3006 recommend to the approval authority startup or restart of nuclear or accelerator facilities. <p>Facility Representatives</p> <ul style="list-style-type: none"> • Verify that any NNSA/NSO prestart/restart/poststart findings have been satisfied. 	<p>DOE O 420.2 DOE O 425.1 NV M 421.X DOE-STD-3006-2000</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>5.1.3 Startup/Restart Authorization (Nonnuclear Facilities)</p>	<p>Manager</p> <ul style="list-style-type: none"> • Serve as the Startup/Restart Approval Authority as required by NV M 421.X. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Serve as the Startup/Restart Approval Authority as required by NV M 421.X. • Approve, if delegated, or concur in the recommended readiness review and proposed performing organization. • Approve, if delegated, or concur in recommended Review Team, scope, plans, and procedures. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Serve as the Startup/Restart Approval Authority as required by NV M 421.X. • Approve, if delegated, or concur in recommended readiness review and proposed performing organization. • Approve, if delegated, or concur in recommended Review Team, scope, plans, and procedures. <p>Program/Project Managers</p> <ul style="list-style-type: none"> • Determine when a readiness review is required and the appropriate type per NV M 421.X. • Coordinate any NNSA/NSO readiness review required or NNSA/NSO review of a contractor readiness review. • Concur in NNSA/NSO's basis for verification and closure of all prestart/restart findings and keep the approval official appropriately informed. • Verify any NNSA/NSO approval conditions have been satisfied. • Review the final readiness recommendations and recommend startup/restart. <p>Facility Representatives</p> <ul style="list-style-type: none"> • Verify that any NNSA/NSO prestart/restart/poststart findings have been satisfied. 	<p>NV M 421.X</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
5.2 Perform Work Safety	<p>Manager</p> <ul style="list-style-type: none"> • Participates in Worker Recognition Programs to encourage safety improvements. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Participate in Worker Recognition Programs to encourage safety improvements. • Ensure immediate and effective remedial actions are taken for imminent danger situations. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Ensure contractors implement worker, public, environment, and Facility Protection Programs in accordance with requirements and good safety practices. • Participate in Worker Recognition Programs to encourage safety improvements. • Ensure federal employees comply with applicable laws, rules, and DOE and NNSA Directives. • Ensure federal employees provide technical direction that is consistent with applicable laws, rules, and DOE and NNSA Directives. <p>Program/Project Managers/Task Manager/Functional Manager/FRs</p> <ul style="list-style-type: none"> • Exercise shut down authority if an imminent danger exists or USQ is discovered and promptly notify the next higher level of NNSA/NSO management. • Conduct an inspection as soon as possible after an imminent danger situation has been corrected to ensure appropriate actions have been taken to preclude recurrence. 	DOE O 440.1 DOE P 450.4 NTS-SOP 1103 NTS-SOP 1105
5.2.1 Maintenance	<p>Program/Project Managers</p> <ul style="list-style-type: none"> • Ensure programmatic facilities have appropriate maintenance management systems and processes in place to meet the requirements of Life Cycle Asset Management for maintenance. 	DOE O 430.1
5.2.2 Conduct of Operations	<p>Program/Project Managers/Task Manager/Functional Manager/FRs</p> <ul style="list-style-type: none"> • Monitor contractor/user Conduct of Operations activities. • Understand management systems used by the contractor/users to control operations including operating procedures, radiation work permits, criticality control, lockout/tagout, environmental control, design and configuration control, maintenance activities, etc. 	DOE O 5480.19
5.2.3 Configuration Management	<p>Program/Project Managers/Task Manager/FRs</p> <ul style="list-style-type: none"> • Review, analyze, and monitor execution of the contractor's Configuration Management Program. <p>Federal System Engineer Functional Manager</p> <ul style="list-style-type: none"> • Reviews, analyzes, and monitors execution of the NNSA/NSO cognizant vital safety system engineer program and contractor's Configuration Management Program. 	DOE O 430.1

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
5.3 QA (for NNSA/NSO and Contractors)	<p>Manager</p> <ul style="list-style-type: none"> Reviews and approves contractor's QAP for nuclear facilities and ensures QAP for nuclear facilities meet the requirements of 10 CFR 830 and are integrated with contractor safety management programs. Submits and recommends NNSA/NSO QAP to NA-10 for approval. <p>Assistant Managers</p> <ul style="list-style-type: none"> Ensure a contractor QAP is prepared in accordance with applicable regulations and Directives and submitted to DOE or NNSA or review and approval. Ensure implementation of NNSA/NSO QAP. <p>Assistant Manager for Safety and Security Programs</p> <ul style="list-style-type: none"> Prepare and implement an NNSA/NSO QAP for NNSA/NSO activities. <p>Office/Division Directors</p> <ul style="list-style-type: none"> Ensure contractors implement QAPs. Ensure a contractor QAP is prepared in accordance with applicable Directives and submitted to DOE or NNSA for review and approval. Ensure the contractor prepares and submits a QAP and monitors the implementation of the contractor's approved plan. <p>Program/Project Managers/Task Manager/Functional Manager/FRs</p> <ul style="list-style-type: none"> Review and recommend approval of contractor QAPs. Ensure appropriate QA-related issues are resolved and tracked to completion and appropriately validated. Ensure contractors' QAPs are implemented and monitor performance in accordance with NV M 220.X (or latest edition). 	<p>DOE O 414.1 DOE G 414.1-1 NV M 220.X NV O 10XE.1 NV M 10XE.1-1 10 CFR 830.120</p>
6.0 Collect Feedback and Pursue Improvement	<p>In the performance of work, incidents may occur, opportunities for improvement may be identified, lessons will be learned. This perspective will be fed back into the planning and implementing documentation to ensure the Department derives long-term benefits.</p>	<p>NV M 220.X</p>
6.1 Generation, Collection, and Dissemination of Information		

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>6.1.1 Lessons Learned Program</p>	<p>Manager</p> <ul style="list-style-type: none"> • Encourages a culture that utilizes Lessons Learned to strive for continuous improvement and ES&H performance data to identify early problem development. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Ensure a Lessons Learned culture is implemented within their organization. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Maintain awareness of applicable Lessons Learned as they relate to assigned work scopes and encourage dissemination of information. <p>Program/Project Managers/Task Manager/Functional Manager/FRs</p> <ul style="list-style-type: none"> • Maintain awareness of applicable Lessons Learned as they relate to assigned work scopes and take appropriate action. • Develop Lessons Learned regarding assigned work, where applicable, and disseminate through the NNSA/NSO Lessons Learned process (NV O 230.XA). 	<p>DOE O 151.1 DOE O 210.1 DOE P 251.1 NV M 220.X NV O 230.X NV P 251.1 NV M 251.1-1</p>
<p>6.1.2 Occurrence Reporting and Processing System (ORPS)</p>	<p>Assistant Managers</p> <ul style="list-style-type: none"> • Ensure the process for reporting contractor occurrences is maintained, implemented, and consistent with the ORPS. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Maintain cognizance of Occurrence Reports within their assigned programs and ensure proper closure actions are achieved. <p>Program/Project Managers, Task Managers, Functional Managers</p> <ul style="list-style-type: none"> • Maintain cognizance of Occurrence Reports within their assigned programs and ensure proper closure actions are achieved. • Monitor the contractor reporting of occurrences on the ORPS. • Review reports and approve proposed CAs. • Facilitate the notification and reporting of occurrences. • Review and approve Occurrence Reports as delegated. <p>Facility Representatives</p> <ul style="list-style-type: none"> • Facilitate the notification and reporting of occurrences of any safety or operational concerns. • Review and approve occurrence reports for assigned facilities. • Review and concur with proposed CAs. • Maintain cognizance of Occurrence Reports within their assigned facilities. • Monitor the contractor reporting and follow-up of occurrences at assigned facilities and communicate any issues to the appropriate NNSA/NSO Program/Project Manager. <p>Director, ES&H</p> <ul style="list-style-type: none"> • Communicates "ES&H alerts" received from DOE and NNSA or other sources to the NNSA/NSO community. 	<p>DOE O 232.1 DOE M 232.1-1 NV M 220.X NV PI 97-010</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>6.1.3 ES&H Reporting Requirements (Occupational Safety and Health, Environmental, and Radiological) Categories</p>	<p>Assistant Managers</p> <ul style="list-style-type: none"> • Manage internal processes for reporting ES&H information in accordance with DOE M 231.1-1. • Provide routine and special reports required by environmental protection laws, regulations, and Orders. • Ensure appropriate documentation and review of USQ for nuclear facilities. 	<p>DOE O 231.1 DOE M 231.1-1 DOE P 450.1 DOE P 450.2</p>
<p>6.2 Oversight</p>	<p>Manager</p> <ul style="list-style-type: none"> • Establishes a culture of inquisitiveness and commitment to documenting contractor/user performance. • Defines corporate oversight priorities. <p>Management System Steering Panel (MSSP)</p> <ul style="list-style-type: none"> • Reviews oversight findings, relative risk estimates, and trends. • Provides recommendations to Executive Council on oversight priorities, frequency, depth, etc. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Communicate oversight priorities to direct reports and ensure their incorporation into oversight plans. • Maintain cognizance of oversight findings associated with assigned missions to guide management attention. • Ensure duly authorized independent oversight personnel have access to all work activities at all NNSA/NSO facilities. This includes providing the site- and facility-specific training required to gain access to radiological and other controlled areas. • Maintain an oversight plan of assigned work scopes that provides adequate formal assurance that risks posed by work under their cognizance are being controlled in accordance with NNSA/NSO expectations. • Perform appropriate oversight activities and document results in accordance with NV M 220.XB (or latest edition). <p>Assistant Manager for Safety and Security Programs</p> <ul style="list-style-type: none"> • Ensures contractors describe and document their safety management systems. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Provide guidance to staff on oversight priorities, depth, frequency, quality, consistency with Directives, etc. • Request support from the Core Technical Group or PSO/Lead PSOs (with appropriate NNSA/NSO management involvement) when existing NNSA/NSO resources are deemed insufficient. • Perform appropriate oversight activities and document results in accordance with NV M 220.X (or latest edition). 	<p>DOE G 120.1-5 DOE O 413.1 DOE O 414.1 DOE G 414.1-1 DOE P 450.5 NV M 220.X DOE-STD-1063-2000</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
	<p><i>Program/Project Managers/Task Managers/Functional Managers/FRs</i></p> <ul style="list-style-type: none"> · Maintain operational awareness of assigned work scopes. · Plan, schedule, perform, document, risk rank, and track oversight activities/results in accordance with NV M 220.X. · Verify CAs as required in NV M 220.X. · Develop and maintain facility/activity oversight plans. · Coordinate oversight activities with the NNSA/NSO Project Manager to minimize impact on organization being reviewed. · Report potential or existing hazardous conditions to NNSA Management and report facility effectiveness in the implementation of hazard controls. · Ensure supervisor is made aware of important or potentially adverse facility/activity conditions. · Conduct periodic trending on oversight findings that may pertain to assigned work scopes. · Ensure statements of work and contracts are properly implemented. 	<p>DOE O 225.1 DOE O 420.1 DOE O 452.2 DOE O 5480.19 DOE O 5530.1 DOE O 5530.2 NV M 435.1-1 NV M 450.X NV O 452.1 NV O 56XG.1</p>
<p>6.3 Price-Anderson Enforcement</p>	<p><i>Manager</i></p> <ul style="list-style-type: none"> · Refers nuclear safety violations to the CSO and Office of Enforcement for review. <p><i>Assistant Managers</i></p> <ul style="list-style-type: none"> · Participate in enforcement conferences with Office of Enforcement. · Report to the Manager any nuclear safety violations. <p><i>Office/Division Directors</i></p> <ul style="list-style-type: none"> · Provide additional information and support investigations as required. · Identify and report to AM any nuclear safety violations. <p><i>Program/Project Managers/Task Managers/Functional Managers/FRs</i></p> <ul style="list-style-type: none"> · Inform the Price-Anderson Enforcement Coordinator (NNSA/NSO ESHD) of potential violations. 	<p>HDBK-1085-95 10 CFR 820</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>6.4 Contractor/User PA</p>	<p>Manager</p> <ul style="list-style-type: none"> • Defines corporate priorities for contractors/user performance. • Ensures effective feedback mechanisms are established to keep contractor/user informed of their performance. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Identify performance priorities for assigned functions and activities. • Provide NTS/National Laboratories' performance expectations input to NNSA Albuquerque regarding Los Alamos National Laboratory, and Sandia National Laboratories; and to NNSA Oakland regarding Lawrence Livermore National Laboratory. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • Develop performance measures for evaluating the PBMC. • Evaluate the formal input gathered by staff and other support personnel and recommend to the AM appropriate actions. <p>Program/Project Managers, Task Managers, Functional Managers/ FRs</p> <ul style="list-style-type: none"> • Identify performance expectations and review performance of the contractor and user organizations. • Review contractor/user self-assessments to gain perspective on their perceived performance. • Monitor contractor/user performance measures. • Utilize oversight data to substantiate evaluations and recommendations, where appropriate. • Identify any safety-related performance expectations and evaluations for the National Laboratories' work at NNSA/NSO. 	<p>NV M 210.X</p>
<p>6.5 Issues Management</p>	<p>Manager</p> <ul style="list-style-type: none"> • Ensures issues are appropriately managed. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Review the findings of assessments to evaluate their significance and ensure appropriate priorities and resources are assigned to CAs. • Ensure CAs are processed in accordance with NNSA/NSO QA Manual. • Where this review finds insufficient significance to justify corrective efforts, report the results of that review to the assessed organization. • Ensure CAs in response to significant findings are effectively implemented. 	<p>NV M 220.X</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
<p>6.6 ISM Long-Term Maintenance</p>	<p>Manager</p> <ul style="list-style-type: none"> • Issues annual program and budget execution guidance and direction concerning safety performance objectives, performance measures and commitments to NNSA/NSO contractors, DTRA, and the National Laboratories. <p>Management System Steering Panel</p> <ul style="list-style-type: none"> • Coordinates review and approval of any revised ISM System description documents through the Contracting Officer. • Identifies self-assessment needs that will evaluate NNSA/NSO implementation and effectiveness of the NNSA/NSO Safety Management System. • Identifies areas of contractor/user oversight that will be emphasized based on the analysis of feedback information. • Meets with NNSA/NSO contractor, DTRA, and the National Laboratories to coordinate any NNSA/NSO ISM System improvement issues and opportunities. <p>Assistant Managers</p> <ul style="list-style-type: none"> • Consolidate Division Program, budget execution guidance, and direction concerning safety performance objectives, performance measures, and commitments for submission to the MSSP. <p>Office/Division Directors</p> <ul style="list-style-type: none"> • As appropriate, recommend specific program and budget execution guidance and direction for NNSA/NSO contractors and the National Laboratories concerning safety performance objectives, performance measures, and commitments for approval by the AM. • Provide input to the MSSP regarding proposed revisions to ISM System descriptions. • Ensure the conduct of NNSA/NSO self-assessments, as appropriate. 	<p>NV O 450.4</p>

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NNSA/NSO WORK EXECUTION— MANAGEMENT AND OVERSIGHT		
Functions	Key Responsibilities and Authorities	Ref. DOE, NNSA, and NNSA/NSO Directives
6.7 Oversight Management System	<p>Manager</p> <ul style="list-style-type: none"> Reviews the MSSP's information and recommendation on NNSA/NSO's quality management system, the system effectiveness, and the NNSA/NSO Complex quality status, and improvement progress. <p>Management System Steering Panel</p> <ul style="list-style-type: none"> Provides the NNSA/NSO Executive Council closure status, important trends, and recommendations regarding future oversight priorities. Reviews and analyzes quarterly reports from the AMs. Conducts yearly independent self-assessment to validate Oversight Management System implementation. <p>Assistant Managers</p> <ul style="list-style-type: none"> Implement assessment plans within their organization. Ensure VIAs and walkthroughs are periodically performed. Utilize data in contractor/user performance evaluations. Review Division Director quarterly reports and develop roll-up report to the MSSP. Monitor progress of closure of findings and CA completion. <p>Division Directors</p> <ul style="list-style-type: none"> Ensure employees are fulfilling their oversight responsibilities. Ensure the coordination of assessments and information. Develop quarterly roll-up report for the AM. Ensure closure of findings and CAs are occurring as scheduled. 	

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ACRONYMS

AM	Assistant Manager
AMEM	Assistant Manager for Environmental Management
AMNS	Assistant Manager for National Security
AMSO	Assistant Manager for Site Operations
AMSSP	Assistant Manager for Safety and Security Programs
ARR	Accelerator Readiness Review
ATLAS	Augmented Test Logistics Assembly System
BEEF	Big Explosive Experimental Facility
CA	Corrective Action
CFR	Code of Federal Regulations
COR	Contracting Officer Representative
CRG	Change Review Group
CSO	Cognizant Secretarial Office
DAF	Device Assembly Facility
DCID	Director of Central Intelligence Directives
DHS	Department of Homeland Security
DNFSB	Defense Nuclear Facilities Safety Board
DoD	Department of Defense
DOE	Department of Energy
DSA	Documented Safety Analysis
DTRA	Defense Threat Reduction Agency
EIS	Environmental Impact Statement
EM	Environmental Management
ERD	Environmental Restoration Division
ES&H	Environment, Safety, and Health
ESHD	Environment, Safety, and Health Division
FEIMD	Facilities, Engineering, and Infrastructure Management Division
FEOSH	Federal Employee Occupational Safety and Health
FFACO	Federal Facilities Agreement and Consent Order
FFCAct	Federal Facility Compliance Act Consent Order
FIE	Field Intelligence Element
FIRP	Facilities and Infrastructure Recapitalization Program
FOCI	Foreign Ownership, Control, or Influence

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FPD	Federal Project Director
FPM	Federal Project Manager
FR	Facility Representative
FRA	Functions, Responsibilities, and Authorities
FRAM	Functions, Responsibilities, and Authorities Manual
FRD	Facility Representative Division
FTCP	Federal Technical Capability Program
GAO	General Accounting Office
HE	High Explosive
HSC	Hazardous Materials Spill Center
HOC	Hazardous Operations Controller
HSDD	Homeland Security and Defense Division
IDP	Individual Development Plan
IG	Inspector General
IN-1	Office of Intelligence
IP	Implementation Plan
ISM	Integrated Safety Management
JASPER	Joint Actinide Shock Physics Experimental Research
JCO	Justification for Continued Operation
M&O	Management and Operating
MCA	Mutual Consent Agreement
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MSSP	Management System Steering Panel
NA-10	Deputy Administrator for Defense Programs
NEMOF	Nevada Energetic Materials Operations Facility
NEPA	National Environmental Policy Act
NERP	Nevada Environmental Research Park
NES	Nuclear Explosive Safety
NNSA	National Nuclear Security Administration
NNSA/NSO	NNSA Nevada Site Office
NNSA/SC	NNSA Service Center
NS	National Security
NTS	Nevada Test Site
NVIC	Nevada Intelligence Center

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NV-WSS	Nevada Work Smart Standards
OBA	Office of Business Affairs
OBS	Office of Business Services
OCC	Office of Chief Counsel
OFS	Office of Federal Services
OMD	Operations Management Division
ORR	Operational Readiness Review
OPA	Office of Public Affairs
OPM	Office of Personnel Management
OPR	Office of Primary Responsibility
ORPS	Occurrence Reporting and Processing System
P&T	Packaging and Transportation
PA	Performance Assessment
PAD	Performance Assurance Division
PBMC	Performance-Based Management Contractor
PDSA	Preliminary DSA
POA	Plan of Action
POC	Point of Contact
PPE	Personal Protective Equipment
PSO	Program Secretarial Office
QA	Quality Assurance
QAP	QA Program
RA	Readiness Assessment
RCRA	Resource Conservation and Recovery Act
REOP	Real Estate/Operations Permit
RPP	Radiation Protection Program
RWAP	Radioactive Waste Acceptance Program
RWID	Radioactive Waste Information Document
SAR	Safety Analysis Report
SB	Safety Basis
SBRT	SB Review Team
SCE	Subcritical Experiment
SCI	Sensitive Compartmented Information
SCIF	SCI Facilities
SER	Safety Evaluation Report
SIO	Senior Intelligence Officer

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SME	Subject Matter Expert
SNM	Special Nuclear Material
SSD	Safeguards and Security Division
STD	Stockpile Stewardship Division
STL	Special Technology Laboratory
STP	Site Treatment Plan
STSM	Senior Technical Safety Manager
SUD	Site Use and Development
TD	Technology Division
TQP	Technical Qualification Program
TRI	Toxic Chemical Release Inventory
TRU	Transuranic Waste
TSR	Technical Safety Requirement
TTR	Tonopah Test Range
UGTA	Underground Test Area
USQ	Unreviewed Safety Question
USQD	USQ Determination
VIA	Validation/Assessment
WFO	Work for Others
WMD	Waste Management Division

NNSA FRAM Section 3.8

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
1	NNSA Site Office Managers (SOMs) (An asterisk "*" indicates a delegated authority from NA-10 only. NA-20 shall issue separate delegations for their programs in lower tier FRA documents. Functions and authorities delegated by NA-1, 10, or 20, may be retained on a case-by-case basis)						
2	Provide Direction--Strategic Plans, Mission Statements, Budget, Resource Allocation, Technical Qualification and Competency	Review and provide input to the Federal Technical Capability Program with guidance developed by the Principal and Deputy Administrators to ensure the NNSA Federal technical employees responsible for oversight at NNSA facilities are trained to perform their duties safely and efficiently.	y	III-2, section 2.0	NSO FTCP Agent	NV M 380.1	
3	Provide Direction--Strategic Plans, Mission Statements, Budget, Resource Allocation, Technical Qualification and Competency	Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.	y	IV-2, section 1.2	Manager, Assistant Managers, Executive Council, Office/Division Directors, Program/Project Managers	NV O 124.X	
4	Provide Direction--Strategic Plans, Mission Statements, Budget, Resource Allocation, Technical Qualification and Competency	Provide oversight to ensure that contractor employees maintaining and operating NNSA facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional/Managers/Facility Reps	NV M 220.X	
5	Define Scope of Work--Translate Mission into Work, Set Expectations	*Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities.	y	IV-19, section 6.6	MSSP	NV O 450.4	
6	Define Scope of Work--Translate Mission into Work, Set Expectations	Develop work plans, including scope, schedule, and funding allocations for each fiscal year.	y	IV-3, section 2.1	Assistant Managers, Office/Division Directors, Program/Project/Functional/Managers	none	
7	Define Scope of Work--Translate Mission into Work, Set Expectations	These plans should reflect mission assignments to the field and by facilities, projects, and programs.		IV-3, section 2.1	Program/Project/Functional/Managers	none	
8	Define Scope of Work--Translate Mission into Work, Set Expectations	Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules, NNSA and DOE Policies, Orders, Notices, Manuals, Guides, and Technical Standards.	y	III-5, section 6.0	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional/Managers	NV M 251.1	

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
9	Define Scope of Work—Translate Mission into Work, Set Expectations	Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates.	y	IV-4, section 2.2	Manager, Assistant Managers, Contracting Officer, Office of Business Affairs, Office/Division Directors, Program/Project/Managers	NV M 210.X	
10	Define Scope of Work—Translate Mission into Work, Set Expectations	Monitor contractor performance to assess whether performance expectations have been met.	y	IV-18, section 6.4	Manager, Assistant Managers, Office/Division Directors, Program/Project/Task/Functional/Managers/Facility Reps	NV M 210.X	
11	Define Scope of Work—Translate Mission into Work, Set Expectations	As Contracting Officer: Negotiate with each contractor, in consultation with Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the contract.	y	IV-8, section 4.3	Contracting Officer, Assistant Managers, Office/Division Directors, Program/Project/Functional/Managers	NV M 450.3X	
12	Define Scope of Work—Translate Mission into Work, Set Expectations	Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for the mission including safety requirements.	y	IV-4, section 2.2	Manager, Assistant Managers, Contracting Officer, Office of Business Affairs, Office/Division Directors, Program/Project/Managers	NV M 210.X	
13	Define Scope of Work—Translate Mission into Work, Set Expectations	Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.	n	IV-19, section 6.8	MSSP	NV O 450.4	Revise NV O 450.4 to address this requirement by 9/04
14	Define Scope of Work—Translate Mission into Work, Set Expectations	Determine the need for team review of the contractor's safety management system and revisions thereto.	y	IV-19, section 6.8	MSSP	NV O 450.4	
15	Define Scope of Work—Translate Mission into Work, Set Expectations	Approve safety management systems and revisions thereto (48 CFR 970).	y	IV-19, section 6.8	MSSP	NV O 450.4	
16	Define Scope of Work—Translate Mission into Work, Set Expectations	Incorporate approved Standards into contract requirements.	y	IV-8, section 4.3	Contracting Officer, Assistant Managers, Office/Division Directors, Program/Project/Functional/Managers	NV M 450.3X	

NNSA FRAM Section 3.8

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
17	Define Scope of Work—Translate Mission into Work, Set Expectations	Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.	n	IV-2, section 1.2	Manager, Assistant Managers, Executive Council, Office/Division Directors, Program/Project Managers	NV O 124.X	Revise NV O 124.X to address this requirement by 9/04
18	Define Scope of Work—Translate Mission into Work, Set Expectations	Prepare Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed.	n	II-10, section (g) 1	Office of Business Affairs	NV M 111.X	Revise NV M 111.XC, Chap III to address this requirement by 9/04
19	Define Scope of Work—Translate Mission into Work, Set Expectations	Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes.	n				Revise NV M 111.XC, Chap III
20	Define Scope of Work—Translate Mission into Work, Set Expectations	Deputy Administrator approval is only needed for significant Site FRAM changes.	n				Revise NV M 111.XC, Chap III
21	Define Scope of Work—Translate Mission into Work, Set Expectations	Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.	n				Revise NV M 111.XC, Chap III
22	Define Scope of Work—Translate Mission into Work, Set Expectations	Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.	y	IV-13, section 5.2.1 and 5.2.2	Program/ Project/ Task/ Functional/ Managers/ Facility Reps		
23	Define Scope of Work—Translate Mission into Work, Set Expectations	Conduct line oversight of safety management systems to ensure effective implementation and maintenance.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional/ Managers/Facility Reps	NV M 220.X	
24	Define Scope of Work—Translate Mission into Work, Set Expectations	Ensure that contractors describe, document, implement, and maintain their safety management systems.	y	IV-19, section 6.6	MSSP	NV O 450.4	
25	Define Scope of Work—Translate Mission into Work, Set Expectations	Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.	y	IV-2, section 1.2	Manager, Assistant Managers, Executive Council, Office/Division Directors, Program/Project Managers	NV O 124.X	
26	Define Scope of Work—Translate Mission into Work, Set Expectations	Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.	n	III-1, section 1.0	Manager, Assistant Managers		Revise NV M 111.XC

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
27	Analyze Hazards and Develop and Implement Controls	Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).	n	III-5, section 6.0	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional/Managers	NV M 251.1	Revise NV M 111.XC
28	Analyze Hazards and Develop and Implement Controls	Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.	y	IV-5, section 3.1	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Subject Matter Experts (Service Center as needed)	NV M 412.X1; NV M 412.X2	reference directives for this element are incorrect in current FRAM
29	Analyze Hazards and Develop and Implement Controls	Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, Comprehensive Emergency Management System except at sites where exemption has been granted or the Order is not applicable.	y	IV-5, section 3.1	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Subject Matter Experts (Service Center as needed)	NV M 412.X1; NV M 421.X	reference directives for this element are incorrect in current FRAM: NV M 412.X1 specifically addresses EMHAs
30	Analyze Hazards and Develop and Implement Controls	Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate.	n				Revise NV M 111.XC
31	Analyze Hazards and Develop and Implement Controls	Ensure that a documented PAAA coordination process exists in accordance with NNSA policies and procedures, including a process for tracking and verification of closure of contractor corrective actions.	y	IV-17, section 6.3	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives	none	The documented PAAA coordination process is a contractor process. Tracking of issues is addressed in NV M 220.X.
32	Analyze Hazards and Develop and Implement Controls	Review and approve the ES&H requirements to be included in the contracts.	y	IV-7, section 4.2	Contracting Officer, Deputy Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers	NV M 450.3X	
33	Analyze Hazards and Develop and Implement Controls	Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR 830.	y	IV-9, section 4.5	Manager, Assistant Managers, Office/Division Directors, Review Team Leaders	NV M 421.X	reference directives for this element are incorrect in current FRAM: NV M 421.X specifically addresses this element

NNSA FRAM Section 3.8

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
34	Analyze Hazards and Develop and Implement Controls	For Hazard Category 1 nuclear facilities, ensure that appropriate safety requirements in necessary functional areas are included in the contracts and in the authorization agreement as directed by the Deputy Administrator.	NA				No CAT 1 facilities
35	Analyze Hazards and Develop and Implement Controls	*Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
36	Analyze Hazards and Develop and Implement Controls	Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i> , as required by 10 CFR 830.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
37	Analyze Hazards and Develop and Implement Controls	*Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2 and 3 nuclear facilities). Review the adequacy of the controls and their documentation.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
38	Analyze Hazards and Develop and Implement Controls	Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.	y	IV-8, section 4.4	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
39	Analyze Hazards and Develop and Implement Controls	*Review and approve the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedures for Hazard Category 1, 2, and 3 nuclear facilities; and preliminary DSAs and DSAs for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.	y	IV-8, section 4.3	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
40	Analyze Hazards and Develop and Implement Controls	Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.	y	IV-8, section 4.4	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
41	Analyze Hazards and Develop and Implement Controls	Send recommendation for approval or disapproval of DSAs and preliminary DSAs for Hazard Category 1 nuclear facilities, including the nuclear safety design criteria, to the Deputy Administrator with comments.	NA				No CAT 1 facilities
42	Analyze Hazards and Develop and Implement Controls	Respond to Principal Deputy Administrator, Deputy Administrator, ES&H Advisor, Director of Emergency Operations, Associate Administrator for Infrastructure and Security (AAIS), or EH comments.	n				revise NV M 111.XC, page IV-8, Section 4.4
43	Analyze Hazards and Develop and Implement Controls	*Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
44	Analyze Hazards and Develop and Implement Controls	*For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
45	Analyze Hazards and Develop and Implement Controls	Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835.	y	IV-8, section 4.4	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
46	Analyze Hazards and Develop and Implement Controls	If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies.	y	IV-7, section 4.2	Contracting Officer	NV M 450.3X	
47	Analyze Hazards and Develop and Implement Controls	Coordinate with contractor and Deputy Administrator.	n				normal course of business

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
48	Analyze Hazards and Develop and Implement Controls	Provide line management oversight and ensure the implementation of hazards mitigation programs and controls.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional Managers/Facility Reps	NV M 220.X	
49	Analyze Hazards and Develop and Implement Controls	Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional Managers/Facility Reps	NV M 220.X	
50	Analyze Hazards and Develop and Implement Controls	Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems).	y	IV-5, section 3.1	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Subject Matter Experts (Service Center as needed)	NV M 412.X1; NV M 412.X2	reference directives for this element are incomplete in current FRAM. Add NV M 412.X1 and NV M 412.X2
51	Analyze Hazards and Develop and Implement Controls	As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
52	Analyze Hazards and Develop and Implement Controls	*Ensure that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement.	y	IV-9, section 4.5	Manager	NV M 421.X	reference directives for this element are incomplete in current FRAM: NV M 421.X specifically addresses this element
53	Confirm Readiness, Quality Assurance, Collect Feedback	Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees.	y	III-3, section 3.0	Manager, Assistant Managers, Office/Division Directors, all employees	none	

NNSA FRAM Section 3.8

Item	Section Title	Requirement	Site Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
54	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, <i>Startup and Restart of Nuclear Facilities</i> .	y	IV-11, section 5.1.1	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives, Review Team Leaders	NV M 421.X	
55	Confirm Readiness, Quality Assurance, Collect Feedback	Review and approve contractor Startup Notification Report in accordance with DOE O 425.1C.	y	IV-11, section 5.1.1	Manager	NV M 421.X	
58	Confirm Readiness, Quality Assurance, Collect Feedback	Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C.	y	IV-11, section 5.1.1	Cognizan Assistant Manager	NV M 421.X	
57	Confirm Readiness, Quality Assurance, Collect Feedback	Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator.	y	IV-11, section 5.1.1	Manager	NV M 421.X	
58	Confirm Readiness, Quality Assurance, Collect Feedback	Headquarters retains startup authority for new Category 2 nuclear facilities.	y	IV-11, section 5.1.1	Manager	NV M 421.X	
59	Confirm Readiness, Quality Assurance, Collect Feedback	Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercise all startup authority.	y	IV-12, section 5.1.3	Manager	NV M 421.X	
60	Confirm Readiness, Quality Assurance, Collect Feedback	Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional Managers/Facility Reps	NV M 220.X	
61	Confirm Readiness, Quality Assurance, Collect Feedback	*Review and approve contractors' QAPs, and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs.	y	IV-14, section 5.3	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives	NV M 10.XE	new NSO QAP in development to be completed by 5/04
62	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure that contractors implement QAPs.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional Managers/Facility Reps	NV M 220.X	

Item	Section Title	Requirement	Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
63	Confirm Readiness, Quality Assurance, Collect Feedback	Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents.	y	IV-14, section 5.3	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives	NV M 10.XE	new NSO QAP in development to be completed by 5/04
64	Confirm Readiness, Quality Assurance, Collect Feedback	Submit integrated site FRAM/QAP to the Deputy Administrator for review and concurrence.	y	IV-14, section 5.3	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives	NV M 10.XE	new NSO QAP in development to be completed by 5/04
65	Confirm Readiness, Quality Assurance, Collect Feedback	Submit site office QAPs to the Deputy Administrator for approval.	y	IV-14, section 5.3	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives	NV M 10.XE	new NSO QAP in development to be completed by 5/04
66	Confirm Readiness, Quality Assurance, Collect Feedback	Direct contractors to develop and implement a lessons learned program.	y	IV-7, section 4.2	Contracting Officer, Deputy Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers	NV M 450.3X	
67	Confirm Readiness, Quality Assurance, Collect Feedback	The program should include analysis and trending of events.	NA				addressed through WSS; NV O 450.4 by 8/04
68	Confirm Readiness, Quality Assurance, Collect Feedback	Monitor and assess contractor's lessons learned program.	y	IV-18, section 6.2	Program/Project/Functional Managers/Facility Reps	NV M 220.X	
69	Confirm Readiness, Quality Assurance, Collect Feedback	Participate in the DOE-wide sharing of lessons learned.	n				Revise NV M 111.XC, section IV-15, 6.6.1
70	Confirm Readiness, Quality Assurance, Collect Feedback	*Require contractors to report occurrences on ORPS.	y	IV-7, section 4.2	Contracting Officer, Deputy Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers	NV M 450.3X	
71	Confirm Readiness, Quality Assurance, Collect Feedback	Review and approve reports, as delegated, including proposed corrective actions and lessons learned.	y	IV-18, section 6.5	Assistant Managers	NV M 220.X	
72	Confirm Readiness, Quality Assurance, Collect Feedback	Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.	n				Revise NV M 111.XC, section IV-15, 6.6.2

NNSA FRAM Section 3.8

Item	Section Title	Requirement	Office Requirement (Yes/No)	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
73	Confirm Readiness, Quality Assurance, Collect Feedback	As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional Managers/Facility Reps	NV M 220.X	specifically addressed in NV M 220.X
74	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.	n				Revise NV M 111.XC, section IV-16, 6.2
75	Confirm Readiness, Quality Assurance, Collect Feedback	Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820.	n	IV-17, section 6.3	Manager, Assistant Managers, Office/Division Directors, Program/Project/Functional Managers, Facility Representatives	none	Revise NV M 111.XC, section IV-17, 6.3
76	Confirm Readiness, Quality Assurance, Collect Feedback	Provide information and support investigations.	y	IV-17, section 6.3	Office/Division Directors	none	
77	Confirm Readiness, Quality Assurance, Collect Feedback	Participate in enforcement conferences with the Office of Enforcement and Investigation.	y	IV-17, section 6.4	Assistant Managers	none	
78	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed.	y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional Managers/Facility Reps	NV M 220.X	specifically addressed in NV M 220.X
79	Confirm Readiness, Quality Assurance, Collect Feedback	Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated.	n				Revise NV M 111.XC, section IV-18, 6.5
80	Confirm Readiness, Quality Assurance, Collect Feedback	Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.	n				Revise NV M 111.XC, section IV-18, 6.5
81	Confirm Readiness, Quality Assurance, Collect Feedback	If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report.	n				Revise NV M 111.XC, section IV-18, 6.5
82	Confirm Readiness, Quality Assurance, Collect Feedback	If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.	n				Revise NV M 111.XC, section IV-18, 6.5

Item	Section Title	Requirement	Y/N	Cited in Site Office FRAM: Page, Section	Responsible Site Office Person or Position Identified:	Site Office Implementation Process or Procedure Cited	Comments
83	Confirm Readiness, Quality Assurance, Collect Feedback	Perform management assessments of contractors to evaluate their success in doing work safely.	NA	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional/Managers/Facility Reps	NV M 220.X	Per DOE G 414.1, management assessments are "introspective self-analyses." What is meant is oversight of contractors; but this is already addressed in several other places in this document.
84	Confirm Readiness, Quality Assurance, Collect Feedback	Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action.	Y	IV-18, section 6.4	Program/ Project/ Task/ Functional/ Managers/ Facility Reps	NV M 210.X	
85	Confirm Readiness, Quality Assurance, Collect Feedback	The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.	Y	IV-16, section 6.2	Manager, Assistant Managers, Management System Steering Panel (MSSP), Office/Division Directors, Program/Project/Functional/Managers/Facility Reps	NV M 220.X	specifically addressed in NV M 220.X

SEPARATION

PAGE



Department of Energy
National Nuclear Security Administration
 Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, Y-12 SITE OFFICE

FROM:

Everet H. Beckner
 Deputy Administrator
 for Defense Programs

SUBJECT:

ACTION: APPROVAL OF THE Y-12 SITE OFFICE (YSO)
 FUNCTIONS, RESPONSIBILITIES AND AUTHORITIES
 MANUAL (FRAM)

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached YSO FRAM, submitted of February 4, 2004. Our review has determined that the submitted FRAM covers all needed functions, responsibilities and authorities required by NNSA FRAM. Also, the Site Office responsibilities and authorities for quality assurance and software quality assurance have been adequately covered in Section G of Appendix B for meeting the requirements of Action 1.4.4 of the Quality Assurance Improvement Plan and Commitment 4.1.6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002.1.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the YSO FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the YSO FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment:

L. Brooks, NA-1
 T. Przybylek, NA-2

68:5 174 0-11-0182
 11/11/04



Y 12

YSO M 411.1-1D

SITE

Y-12 SITE OFFICE

OFFICE

FUNCTIONS, RESPONSIBILITIES,

AND AUTHORITIES MANUAL

(FRAM)

MANUAL

LEVEL II

January 23, 2004



DISTRIBUTION: YSO AND HEADQUARTERS

**Y-12 Site Office
Functions, Responsibilities, and Authorities Manual
(FRAM) Level II**

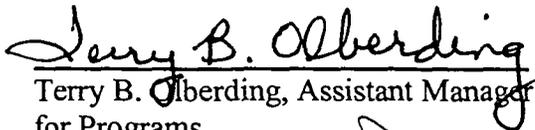
The Y-12 Site Office (YSO) Functions, Responsibilities, and Authorities Manual (FRAM) documents the federal responsibilities in regards to the primary mission of Y-12. The Site Office Manager is responsible and accountable for ensuring the safety and security of operations at Y-12. The Site Office Manager executes the National Nuclear Security Administration (NNSA) direction and guidance through the Y-12 Managing and Operating Contract. Specific responsibilities and authorities are detailed among each Direct Report and Assistant Manager to enable effective execution of NNSA mission objectives.

This document defines the safety management functions for YSO and identifies who has the responsibility and authority to perform those functions. This manual is approved by the YSO Manager with input and feedback from the YSO staff. This revision does not reflect significant changes from the previous approved revision of the YSO FRAM; therefore, approval from the Deputy Administrator (NA-10) is not required.

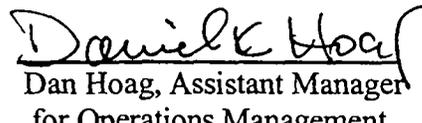


for William J. Brumley, Manager
Y-12 Site Office

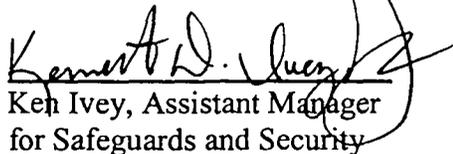
The assistant managers within YSO understand their responsibilities and functions as defined in this FRAM and their signatures below document their recognition and concurrence with these assignments.



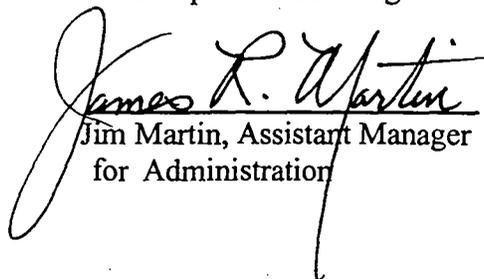
Terry B. Oberding, Assistant Manager
for Programs



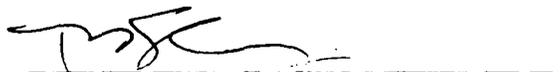
Dan Hoag, Assistant Manager
for Operations Management



Ken Ivey, Assistant Manager
for Safeguards and Security



Jim Martin, Assistant Manager
for Administration



Ted D. Sherry, Acting Assistant Manager
for Technical Services

REVISION LOG

Revision Number	Affected Page(s)	Date	Reason for Revision
1	All	11/1/2001	Revised to reflect HQ FRAM (DOE M 411.1-1B) issued 5-22-01, incorporation of revised DOE Orders, and recent changes in the YSO organization responsibilities
2	1, B-15,16,17; 2-3, 2-4	06/26/02	Updated mission statement. Expanded listing of responsibilities and authorities for Safeguards and Security Division. Expanded Att 2 (Index) to list security orders. Changed YAO to YSO to reflect the NNSA reorganization update and other administrative updates to reflect current organizational requirements.
3	All	03/07/03	Title changes (Divisions changed to Offices, Division Directors to Assistant Managers), incorporation of corrective action for FI-YSO-09-02-017, delegation of responsibilities clarifications, and reorganizations of certain positions.
4	Selected	01/23/04	Incorporated updates required from the 90 day review after issuance of the new NNSA HQ FRAM (10/15/03). Also, included actions from DOE Implementation Plan for DNFSB Recommendation 2002-1.

COMMITMENT/REQUIREMENT LOG

Commitment/ Requirement Number	Procedure Section	Source of Commitment/Requirement
1	All	DOE Policy 411.1, "Safety Management Functions, Responsibilities, and Authorities Policy," January 28, 1997
2	All	DOE M 411.1-1B, "Safety Management Functions, Responsibilities, and Authorities Manual," May 5, 2001
3	All	Periodic update and corrective action for FI-YSO-09-02-17
4	All	Incorporate updates from latest revision of NNSA HQ FRAM (10/15/03) and actions from Implementation Plan for DNFSB Recommendation 2002-1

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1. INTRODUCTION

The Y-12 Site Office's (YSO) mission as part of the NNSA national mission is to:

- Maintain and enhance the safety and reliability of the nuclear weapons stockpile to meet national security requirements.
- Provide special nuclear material as part of the national effort to support the United States Navy in maintaining effective nuclear propulsion plants and ensure the safe and reliable operation of those plants.
- Promote international nuclear safety and nonproliferation.
- Reduce global danger from weapons of mass destruction.
- Support the United States leadership in science and technology.

To accomplish this mission, the following nonexclusive list is an overview of some of YSO's current activities:

- Maintenance of technical capability for nuclear weapons development and production;
- Dismantlement of nuclear weapons subassemblies;
- Management of processing and storage of highly enriched uranium and lithium for Defense Programs;
- Construction and maintenance of all facilities in support of assigned programs;
- Effectively re-manufacture, surveil and assess all uranium, lithium and secondary components in the nuclear stockpile while protecting people and the environment.
- Safely and securely store, process and disposition uranium, lithium and secondary components associated with the nuclear stockpile.
- Build new facilities that will enable Y-12 to improve its support of the nation's nuclear weapons stockpile and reduce operational costs and to improve program efficiency and environment, health, safety, and security.
- Other programs as assigned.

The YSO Manager is ultimately responsible and accountable for ensuring the safety of operations for the Y-12 National Security Complex. YSO is committed to conducting work safely, securely, and efficiently and to the Secretary of Energy's goal of an Integrated Safety Management System (ISMS). The ISMS is defined in Department of Energy (DOE) Implementation Plan 95-2, *Integrated Safety Management*, and DOE Policies 450.4, *Safety Management System Policy*, 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, and 450.5, *Line Environment, Safety and Health Oversight*. The YSO has developed and published a Management System Description that provides a high level description of processes and responsibilities of the Site Office, current conditions, and actions planned or in progress as part of YSO's continuous improvement.

Department and contractor employees performing work for YSO must comply with applicable Federal, state, and local laws and regulations. YSO flows down standards and requirements as direction to Department employees when these standards/requirements are necessary to ensure that the work will meet the Department's expectations and objectives. Specific responsibilities and authorities are designated through the YSO Procedures Manual. This manual, together with the guiding principles and core management functions established in DOE Policy 450.4, facilitates the integration of sound environment, safety, and health (ES&H) and selected administrative practices into day-to-day operations.

YSO line management and oversight responsibilities are assigned by the YSO Manager through the Assistant Managers to the staff, with assistance as requested from the ORO support offices, listed below, and their offices (See Appendix A, *YSO Flow of Responsibilities and Authorities*).

A complete description of YSO's line management responsibilities and activities used to support those responsibilities is provided in Appendix B, *Detailed Functional Responsibility Assignments*.

2. PURPOSE

The YSO Functions, Responsibilities and Authorities Manual (FRAM) documents the federal description of responsibilities in regards to the primary mission at Y-12. The Site Office Manager (SOM) is responsible and accountable for ensuring the safety of operations at Y-12. The SOM provides direction and guidance to the Assistant Manager for Administration who executes the requirements to the Y-12 contractor and subcontractor(s). Specific responsibilities and authorities are further detailed among each Direct Report (DR) and Assistant Manager to enable effective execution of NNSA program direction. These functions, responsibilities and authorities are controlled and maintained through the YSO FRAM and the Contract. The alignment of YSO's organization ensures clear understanding of roles, efficient integration of knowledge and resources, and accountability for line management's responsibility for safety.

The Department's *Functions, Responsibilities, and Authorities Manual* (FRAM) consists of the following:

- A corporate level (Level I) manual that contains broad statements regarding the National Nuclear Security Administration's (NNSA) responsibilities associated with ISMS functions and which addresses broad implementation issues.
- Secretarial office and field element manuals (Level II) that contain statements regarding NNSA's responsibilities associated with the ISMS mechanisms.

YSO personnel are committed to a set of common strategic goals and values that are traceable to, and in accordance with, the US Department of Energy (DOE) commitment to the principles and functions of an Integrated Safety Management System (ISMS). YSO goals and values are established at a corporate level and documented in the YSO Strategic Plan (SP) to accomplish DOE's overall strategic goals, plans and objectives. The YSO personnel develop an annual Performance Evaluation Plan that defines contractor performance expectations and measures to achieve mission goals and objectives. The plan contains specific actions and measures of success that are monitored and reported. Through this plan, YSO has a formal system for recognizing and rewarding successful performance to meet the DOE's overall ISMS strategic goals, plans and objectives. YSO management holds federal personnel accountable for achieving mission goals and objectives. A flow down of the performance requirements is captured in each individual's annual performance goals. Further, technical managers are expected to perform management walk-around surveillances to observe activities and conditions with a focus on contractor personnel actually performing operations. Field time for the conduct of walk-arounds is measured for each manager monthly.

The purpose of this FRAM is to ensure YSO functions, responsibilities and authorities are clearly defined. The YSO FRAM captures how ISMS is implemented per DOE Policies 411.1 and 450.4 for federal employees. The FRAM addresses the seven guiding principles and five core safety management functions described in DOE Policy 450.4.

3. OBJECTIVES

- Document functions, responsibilities, and authorities for YSO staff to comply with and adhere to ISMS functions while executing their work activities.
- Document safety delegations of authority from Headquarters (NNSA-HQ) organizations to YSO management, where those delegations have been made separate from DOE Order responsibility statements.

4. SCOPE

This manual describes YSO safety management functions, responsibilities and authorities and implementing mechanisms for performing the DOE's seven guiding principles and five core safety management functions. This FRAM applies to all YSO personnel who provide technical direction and oversight of the contractor's performance and execution of work at

the Y 12 National Security Complex. This manual addresses the safety management FRAM for planning, funding, performing, assessing, improving, and enforcing the requirements necessary to work safely, including the establishment of standards for which the YSO Manager is responsible.

5. RESPONSIBILITIES

a. Site Office Manager (SOM)

- (1) Directs the Direct Reports and Assistant Managers to comply with this document and support the maintenance of the YSO FRAM.
- (2) Approves the YSO FRAM and changes to the YSO FRAM.

b. Deputy Manager (DM), Direct Reports (DR), and Assistant Managers (AM)

- (1) Execute assigned management functions, responsibilities and authorities as defined by the YSO FRAM and other documents (Program Plans, Position Descriptions, etc.).
- (2) Submit recommended changes to the YSO FRAM to the SOM or designee.

c. Other YSO Personnel

As defined by YSO Procedures or other applicable YSO documents.

d. NNSA and M&O Contractor Integrated Safety Management System Relationship

At Y-12, the core safety management functions address the primary missions and general operations. The primary missions include nuclear weapons development, production, disassembly and evaluation, dismantlement, nuclear materials staging and storage, and chemical processing of special nuclear materials.

Consistent with the Contract, tasks are developed annually that are administered through Work Authorization Directives (WADs). The WADs define the scope of work to be performed for each task. The WADs reflect workload requirements that are derived from the issuance of other documents such as the Program Control Document and Planning and Program Direction Document that define the workload for nuclear weapons components.

Site hazards are identified so that site-level safety standards and requirements can be established through the Standards and Requirements Identification Document (S/RID) process. Facility and activity specific safety standards and requirements are identified through the hazard analysis process (e.g., job safety hazard analysis). Controls are then derived based on the facility and activity specific safety standards and requirements and the site-level standards and requirements (see Figure 1). Once controls are established

Deputy Manager (DM)

The DM is responsible for integration of operational, programs, and technical activities and provides support to the SOM on all matters related to YSO activities. Specific areas of emphasis will be safety of nuclear facilities and nuclear material operations, implementation of YSO's Management system description, YSO procedures and policies, security, ISM, startup/restart, lessons learned, staffing, training, and authorization basis programs.

Senior Authorization Basis Manager (SABM)

The SABM is responsible for risk management activities for nuclear and non-nuclear facilities. The SABM reviews safety basis documentation, evaluates technical and operational safety requirements, and develops safety evaluation reports for existing facility and operations, and new facilities and mission(s). The SABM directs and manages the personnel assigned to the Authorization Basis Team (ABT) from within the Office of the Manager.

Performance Assurance Office Manager (PAOM)

The PAOM is responsible for overseeing the YSO continuous improvement process. These responsibilities include: (a) analyze, evaluate and draw conclusions about the efficiency and effectiveness of programs, business and management information systems used at YSO, (b) recommend changes to existing systems or establish new ones, (c) serve as a focal point for the resolution of cross-cutting programmatic issues within the YSO, (d) serves as POC for public affairs activities with ORO/HQ and Contractor, (e) leads and coordinates Directives management activities, including records management, (f) coordinates the YSO review and approval of contractor S/RIDs, and (g) leads and coordinates the YSO self-assessment process.

Office Manager (OM)

The OM is responsible for overall administration and office management. This includes special projects (e.g., coordination of office floor plan) as directed by the SOM.

Assistant Manager for Programs (AMP)

The Office of Assistant Manager for Programs provides day-to-day oversight of on going programmatic and project planning activities. Programmatic activities include Directed Stockpile Work and Campaigns (ADAPT, Stockpile Readiness), RTBF, Nuclear Nonproliferation, and Complementary Work activities. They ensure that contract programmatic performance meets technical, budget, and schedule requirements and constraints. Mission requirements include, but are not limited to, stockpile evaluation and maintenance, nuclear materials management and storage, weapons dismantlement, advanced design and production technology (ADAPT), manufacturing processes,

reduction and disposal of excess facilities, material recycle and recovery, and advanced technology. The Office of Assistant Manager for Programs has significant involvement in the development, prioritization, and execution of the annual field budget, the Work Authorization Directives, and performs the line management function for startup and restart of facilities and equipment. The Office exercises project control responsibilities and oversight of contractor value engineering efforts. The Office leads development of the YSO Strategic Plan (SP) and oversight of the contractor SP. The Office also leads, coordinates, and provides contractor oversight of the Ten Year Comprehensive Site Plan. The Office of Assistant Manager for Programs provides resources for day-to-day oversight for the execution of Capital Projects, General Plant Projects, and Expense Projects in support of the mission and infrastructure. The Assistant Manager for Programs provides oversight of contractor Plant Directed Research and Development programs.

Within the Office of AMP the Senior Nuclear Engineer – Nonproliferation Programs (SNE) has the following roles and responsibilities. The SNE provides technical advice to senior managers and staff within YSO. The SNE is responsible for direction, coordination, and promotion of all nuclear nonproliferation (NN) initiatives that provide support to NNSA's NN programs at Y-12 and across the rest of the Oak Ridge community. Among these initiatives are the HEU purchase agreement and transparency activities, Russian Material Protection Control and Accounting (MPC&A), nuclear cities initiative, fissile materials disposition programs, coordination of IAEA activities at Y-12, and compliance with nuclear nonproliferation treaties. The SNE is responsible for the development and execution of Work Authorization Directives (WADs) for the Oak Ridge Center for International Threat Reduction and other advanced technology activities related to nuclear nonproliferation. The SNE is the technical lead for activities associated with the DOE Office of Intelligence. The SNE reports to the Assistant Manager for Programs except that he reports to the SOM on matters related to special projects.

Assistant Manager for Operations Management (AMOM)

The Office of Assistant Manager for Operations Management provides day-to-day oversight of all Y-12 operations including start-up and restart activities, site occurrences, conduct of operations program, maintenance and utilities, training, and quality assurance. Operational oversight is primarily performed by Facility Representatives that are assigned to major production facilities. The Office of Assistant Manager for Operations Management manages the YSO technical qualification program, including the Federal Technical Capability Program, performs the DOE Weapons Quality Assurance Agency function in accordance with QC-1 (DOE/AL, Quality Criteria), and has oversight responsibility for the BWXT Y-12, L.L.C. (BWXT Y-12) Price Anderson Amendment Act (PAAA) Program. The Office of Assistant Manager for Operations Management is also responsible for maintaining the YSO QA Program.

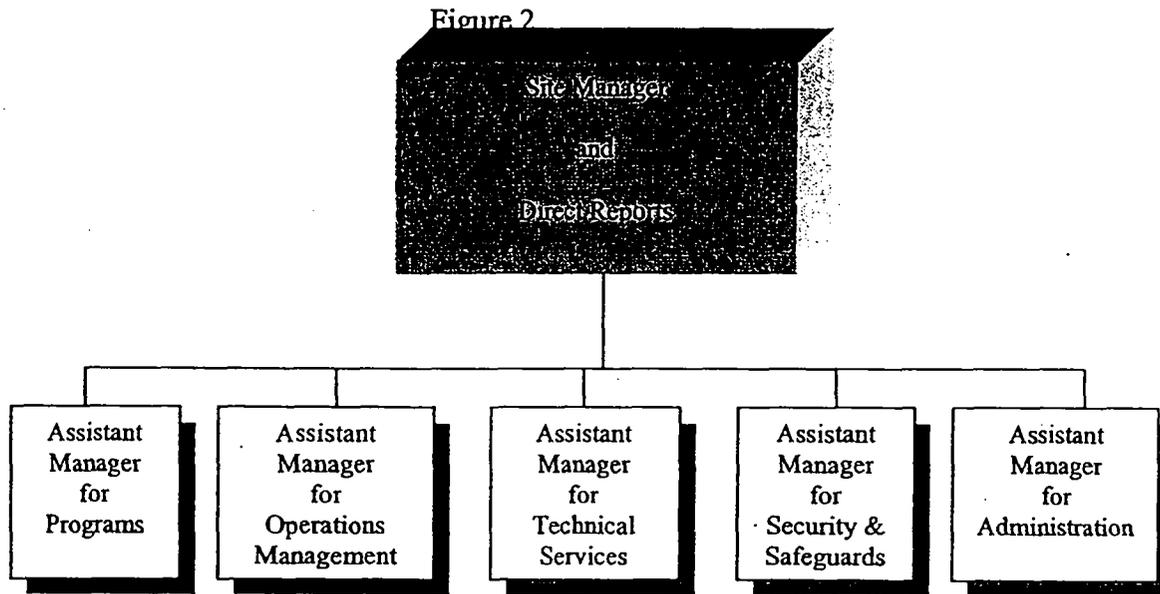
Assistant Manager for Technical Services (AMTS)

The Office of Assistant Manager for Technical Services provides day-to-day oversight of ES&H programs including criticality safety, health physics and radiological protection, industrial hygiene and occupational medicine, industrial safety, transportation safety, firearm safety, construction safety, emergency preparedness, Y-12 Former Workers Program, chemical safety, configuration management, fire protection, FEOSH, ES&H reporting, NEPA, waste management, and environmental programs. The Office of Assistant Manager for Technical Services provides a core team of process/system engineers with expertise in configuration management, nuclear engineering, heating, ventilation, air-conditioning, metal production, and other key areas as the need is identified. The Office of Assistant Manager for Technical Services also has responsibility for DNFSB liaison coordination and implementation of the Integrated Safety Management System (ISMS) process. The Office of AM for Technical Services provides support for the Lesson Learned Program, S&H employee concerns, YSO web site, AB team, project engineers, startup/restart teams, Type B Accident Investigations, ORPS, and cross-cutting ES&H reviews.

Assistant Manager for Administration (AMA)

The Office of Assistant Manager for Administration (OAMA) is responsible for contractor oversight and YSO business management function. The OAMA is the primary interface with ORO regarding YSO federal support from ORO. The office is responsible for procurement and contracts, financial and accounting systems, budget formulation, external auditing, administrative functions, YSO/ORO Service Arrangement, employee concerns, administration and development of the Performance Evaluation Plan (PEP), Fee Process, Diversity Program, and Work for Others. This office performs Contracting Officer/Contracting Officer Technical Representative functions, provides cost allowability determinations and oversees indirect cost management functions. The OAMA facilitates and coordinates the planning, scheduling, and budgeting of Y-12 Site Office (YSO) programs. The OAMA is responsible for monthly tracking of contractor performance assessment reporting, federal staffing and budgeting, and administration of technology programs.

A YSO Diversity Manager is designated from within the OAMA. Duties include the development of the YSO Diversity Policy, serving as a focal point of diversity and EEO activities at YSO, issuing reports on the YSO Diversity Program, including employment statistics. The Diversity Manager provides current employment statistics to NNSA selecting officials and can serve on interview panels. Also, the Diversity Manager provides recommendations to YSO management on diversity and EEO issues. This position is a collateral duty role and overall responsibility for the Diversity Program resides with the AMA.



YSO Organizational Chart

Assistant Manager for Safeguards and Security (AMSS)

The Office of Assistant Manager for Safeguards and Security (OAMSS) provides day-to-day oversight of the safeguards and security program for BWXT Y-12, L.L.C. (BWXT Y-12) and performs oversight and COR responsibilities for Wackenhut Services, Incorporated-Oak Ridge (WSI-OR protective forces contractor). This oversight is designed to ensure contract performance in the area of program management for nuclear and non-nuclear security and safeguards requirements, all aspects of physical security, protective force operations, information security, personnel security, classification, security planning, cyber security, material control and accountability, and technical surveillance countermeasures. Surveillance and assessments of Y-12 security and safeguards are primarily performed by Security Subject Matter Experts that are assigned specific topical and sub-topical areas to review and assess. The OAMSS oversees and administers a Special Access Program. The OAMSS also inputs to the DOE SSIMS any security and safeguards findings with follow-up actions of corrective action plans in accordance with DOE Order 470.1 and DOE Guide 470.1-2; has oversight and inquiry responsibility for the Security Incidents Program in accordance with DOE Notice 471.3. Additionally, OAMSS implements and has oversight of the Security Awareness Training Program in accordance with DOE Order 470.1, Chapter IV.

6. DELEGATION OF AUTHORITY

The YSO receives its authority from assignments contained in Headquarters' FRAM (DOE M 411.1-1B, NNSA FRAM), DOE directives (i.e., Policies, Orders, Notices, and Manuals), Department of Energy Acquisition Regulations (DEAR), and Title 10 of the Code of Federal Regulations (CFR). The YSO Assistant Managers and staff receive authority from assignments contained in the YSO FRAM, Procedures Manual, other documents that are written to

implement/supplement DOE directives, and memo from Linton Brooks dated 1/2/2003, *Clarification of Roles and Responsibilities in Critical Functional Areas*.

The four major elements of the YSO safety management program (site and facility requirements, authorization basis, certification of readiness, and approval to proceed) are addressed in Appendix B. The YSO Manager approves site and facility ES&H requirements documents (Standards/Requirements Identification Document [S/RID] for initial applications or major revisions (where applicable), as previously delegated by the Program Secretarial Officer (PSO).

The delegations of authority addressed in the Linton Brooks 1/2/03 memo included: startup/restart of nuclear and non-nuclear facilities, authorization basis documentation, authorization agreements, Type B Accident investigations, Occurrence Reports, Aviation Safety Manager, ISMS System Description Annual Updates, Emergency Management items, physical security items, technical surveillance countermeasure, cyber security, information security, control and accountability of nuclear materials, unclassified foreign visits and assignments, construction, NEPA compliance, radiation protection, and environmental permits and compliances.

The YSO Manager has been delegated authority as the approval official for the startup and restart of certain nuclear facilities. This authority is dependent upon the facility hazard category and the basis for the shutdown. This approval authority may be delegated to the Assistant Managers or another DOE official unless regulation or other obligation prohibits the delegation. All records of delegation must be maintained. Delegation of authority does not relieve the delegating officer of responsibility for the outcomes of the exercise of that authority. The following restrictions apply to the delegation of authority:

- (1) All delegations of authority must be in writing, which must be provided to the designee. This document shall establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances, under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.
- (2) YSO FRAM or YSO procedures are an approved method for documenting delegations of authority.
- (3) Standing delegations such as when Assistant Managers are absent should normally be issued in January of each year to reflect personnel changes and other updates. In

lieu of this delegation, the senior person on site within a respective office shall serve as the Acting Assistant Manager if no other delegation exists. Attachment 3 contains delegations of authority list for the Office of the Assistant Manager for Safeguards and Security and other Assistant Managers.

7. OVERVIEW OF LINE MANAGEMENT INTERFACES

The Assistant Managers and Direct Reports ensure that the Contract is administratively executed. The execution of the Contract must be consistent with the NNSA program direction as provided by the Head of Contracting Authority and/or the Contracting Officer (CO). The SOM must ensure that the YSO provides sufficient direction and communication to the M&O Contractor that promotes seamless DOE direction and guidance and that YSO personnel perform direct oversight of the M&O Contractor through on-site monitoring and surveillance of the Contractor's activities.

YSO staff and support organizations interface routinely on work related matters. Memoranda of Agreement with support organizations are sometimes developed to ensure there is a clear understanding of the nature and degree of support required and how and when that support is to be provided. YSO staff also communicates informally with their DOE/NNSA counterparts. Although major items, such as budgets, project execution, plans, and review of directives, are formally transmitted; much of the day-to-day communication is informal.

The Head of Contracting Authority is presently assigned to the Deputy Director, Office of Procurement and Assistance Management, NNSA. This authority and responsibility was assigned from the Administrator, NNSA, on August 15, 2001. Both the SOM and the contract specialist within Office of Assistant Manager for Administration are contracting officers (CO). The responsibilities of the CO include: the issuance of contract modifications, WADs, and letters to the contractor which require CO signature.

The Contracting Officer (CO), YSO SOM, has appointed CO Representatives (COR) and officially delegated certain actions to these appointees. A COR is an individual, designated by the CO, to act as an authorized representative for such functions as technical monitoring, inspection, and other functions of a more technical nature not involving a change in the scope, cost, terms or conditions of the contract. Each COR is allotted responsibilities detailed in the YSO FRAM. CORs are designated by name and not position. The work performed by the M&O Contractor in compliance with the terms of the Contract shall be subject to performance direction from the CORs as follows:

- (1) Directions to the M&O Contractor which redirect the contract effort, shift work emphasis within work area or a WAD, require pursuit of certain lines of inquiry, fill in details or otherwise serve to accomplish the Statement of Work (SOW).
- (2) Provision of written information to the M&O Contractor that assists in the interpretation of drawings, specification or technical portions of the work description.

- (3) Review and, where required by the contract, approval of technical reports, drawings, specifications and technical information to be delivered by the M&O Contractor to the Government under the contract.
- (4) Monitoring compliance with applicable environmental, safety, health and security requirements.

The execution of these contractual responsibilities and authorities, as described above, fulfills YSO Line Management direction.

8. OTHER AGENCY INTERFACES

HQ's/NNSA mission organizations issue program direction to the YSO. YSO personnel are the on-site DOE/NNSA representatives and provide day-to-day management of site resources to achieve the mission using this program direction. The YSO Manager is the Contracting Officer (CO) for the Contract at Y-12 and issues program direction through his authority.

Headquarters - Defense Program (HQ-DP) Liaison provides oversight and guidance to the Site office on mission requirements. The HQ-DP Liaison works with the Site offices to achieve a mutual understanding of work and workload resource allocations at Y-12.

The DNFSB site representative provides independent oversight of Y-12 execution of nuclear operations. The SOM meets informally with the representative on a weekly basis. The Assistant Manager for Technical Services has the responsibility for coordinating responses to DNFSB concerns.

The YSO/ORO Service Arrangement documents the arrangement between Oak Ridge Operations Office (ORO) and the YSO of the National Nuclear Security Administration (NNSA), by which ORO and YSO shall provide services to one another. This arrangement reflects the mutual dependencies that currently exist between YSO and ORO organizations and leverages for skilled personnel resources to best suit each organization. The service arrangement addresses financial management, directives management, administrative services, legal services, public affairs, partnerships, and program development, safeguards and security, environmental, safety, health, quality, and emergency management; environmental management, Oak Ridge National Laboratory, assets utilization, uranium and engineering services, diversity programs, and employee concerns.

The Core Technical Group, other Site Offices (e.g., Kansas City, Livermore, Los Alamos, Nevada, Pantex, Sandia, and Savannah River) and the Service Center and/or DOE-ORO are contacted to assist the YSO in meeting mission requirements. These Site Offices and the Service Center can support product builds and other interfaces (e.g., incoming reports on damaged material) necessary to gain support of Y-12 execution of program direction.

Laboratories (e.g., Los Alamos, Lawrence Livermore, Sandia) are contacted to provide assistance in assessing the adequacy of assembly or disassembly operations on nuclear weapons components or the proper handling of nuclear weapon components (e.g., defects,

etc.). In addition, Y-12 may need assistance in supporting the definition of work conducted in support of their design activities.

Other agencies such as the State of Tennessee and EPA provide oversight of environmental compliance with approved permits.

9. REQUIREMENTS

a. YSO FRAM

SOM, Direct Reports and Assistant Managers execute functions, responsibilities and authorities as described in YSO FRAM and YSO procedures.

b. YSO FRAM Changes/Records

This FRAM is referenced as a requirement in the YSO Procedures Manual. The Assistant Managers/Direct Reports will be responsible for changes and biannual updates in accordance with this section. Documentation of changes and reissues will be maintained.

- (1) Assistant managers or Direct reports may request a change to the YSO FRAM.
- (2) The change to the YSO FRAM must be justified and this justification can be provided to the SOM or his designee.
- (3) The change request must reflect impacts to the YSO FRAM.
- (4) All changes must be approved by the SOM or his designee. Change requests will be maintained as official records.
- (5) Significant changes to the YSO FRAM require the approval of the Deputy Administrator. Also, within 90 days of the issuance of the latest version of the NNSA HQ FFRAM, the YSO FRAM will be reviewed and revised if necessary to reflect any required flowdown changes.

c. Directives/Standards Change Control

As defined in the Service Arrangement, the YSO will continue to use the ORO Standards Management System to ensure the positive control of directives issued by DOE-HQ and to effect changes to approved sets of ES&H requirements that are invoked by the M&O contract. The system ensures that line personnel, support staff, and SMEs are identified, and that the directives and requirements are updated, reviewed, and published according to issued procedures. The Performance Assurance Office Manager (PAOM) is the

contracting officer representative for YSO directives. ORO provides support to the PAOM to ensure effectiveness of this program. The overall system is more fully described in ORO Order 250, Chapter II, and for ES&H related requirements, ORO Order 250, Chapter V.

d. Guiding Principles for Integrated Safety Management (ISM)

The ISMS guiding principles for DOE are identified and their relationship to YSO Office operations are discussed in the chart below. Responsibilities and authorities that implement these guiding principles and specific assignments are located in the Core Functions, Responsibilities, and Authorities section.

<u>Integrated Safety Management Guiding Principles</u>	<u>Y-12 Site Office</u>
<p>a. <u>Line Management Responsibility for Safety</u></p>	<p><u>Essential Safety Management functions are assigned</u></p> <p><u>Contract designates YSO individuals to act as CORs for assigned functional areas</u></p> <p><u>Contract requires M&O Contractor to define essential management functions</u></p> <p><u>Issue Stop Work order when M&O Contractor fails to resolve noncompliance with environmental, safety, and health requirements or fails to act to prevent substantial harm or imminent danger to the environment or health and safety of employees or the public</u></p> <p><u>Comply with safety standards and requirements and legal and contractual requirements for assigned functional areas providing assurance that workers, the public, and the environment are protected</u></p>
<p>b. <u>Clear Roles and Responsibilities</u></p>	<p><u>Management and Safety Responsibilities for Approving the M&O Contractors ISMS and Other Binding Agreements that Implement ISM are Delineated</u></p> <p><u>Functions, Responsibilities, and Authorities are Assigned in this FRAM in the Core Functions, Responsibilities and Authorities section</u></p> <p><u>Relationships and Responsibilities for DOE line, support, oversight, and enforcement organizations are discussed in the Overview of YSO Line Management and Interfaces and Other Agency Interfaces sections and are identified in the Core Functions, Responsibilities, and Authorities Section</u></p> <p><u>Coordination of Line Management direction from multiple Program Offices is addressed in the Other Agency Interfaces section</u></p>
<p>c. <u>Competence Commensurate with Responsibilities</u></p>	<p><u>A Qualification and Training Program is maintained to ensure YSO personnel are qualified to carry out their assigned responsibilities</u></p> <p><u>Qualification Standards and Qualification Cards have been established by position for YSO personnel to guide and document qualifications</u></p>

<p>d. <u>Balanced Priorities</u></p>	<p><u>Mission-to-Work Objectives and Funding Priorities are established based upon NNSA program direction</u></p> <p><u>The YSO Strategic Plan defines the YSO goals and objectives, consistent with the DOE Strategic Plan, and within the resources allocated</u></p> <p><u>Performance Expectations are communicated through the Performance Evaluation Management Plan. Specific CPAF/PBI Agreements are Negotiated in the Contract and Project Agreements and performance is evaluated</u></p> <p><u>Environment, Safety and Health activities are integrated into work planning and execution as discussed in the Core Functions, Responsibilities and Authorities section</u></p> <p><u>Work shall be prioritized to ensure that mission and safety expectations for the site are met within available budget and resources</u></p>
<p>e. <u>Identification of Safety Standards and Requirements, and Hazard Controls Tailored to Work Being Performed</u></p>	<p><u>Process has been established to Identify Agreed-upon Standards and Requirements Identification Documents (S/RID)</u></p> <p><u>Approve S/RID</u></p> <p><u>Establish Processes tailored to the work being performed, to Identify and Implement Controls to Prevent/Mitigate Hazards and to Ensure Work Outcomes</u></p> <p><u>Approve or Confirm Analysis</u></p> <p><u>Approve or Confirm Controls</u></p>
<p>f. <u>Operations Authorization</u></p>	<p><u>Assess Readiness</u></p> <p><u>Authorize Operations based on approval authority</u></p> <p><u>Establish Processes (e.g., Conduct of Operations) to Ensure Personnel are Responsible and Accountable</u></p> <p><u>Establish Work Performance Measures</u></p> <p><u>Monitor Work Progress</u></p>

10. CORE FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

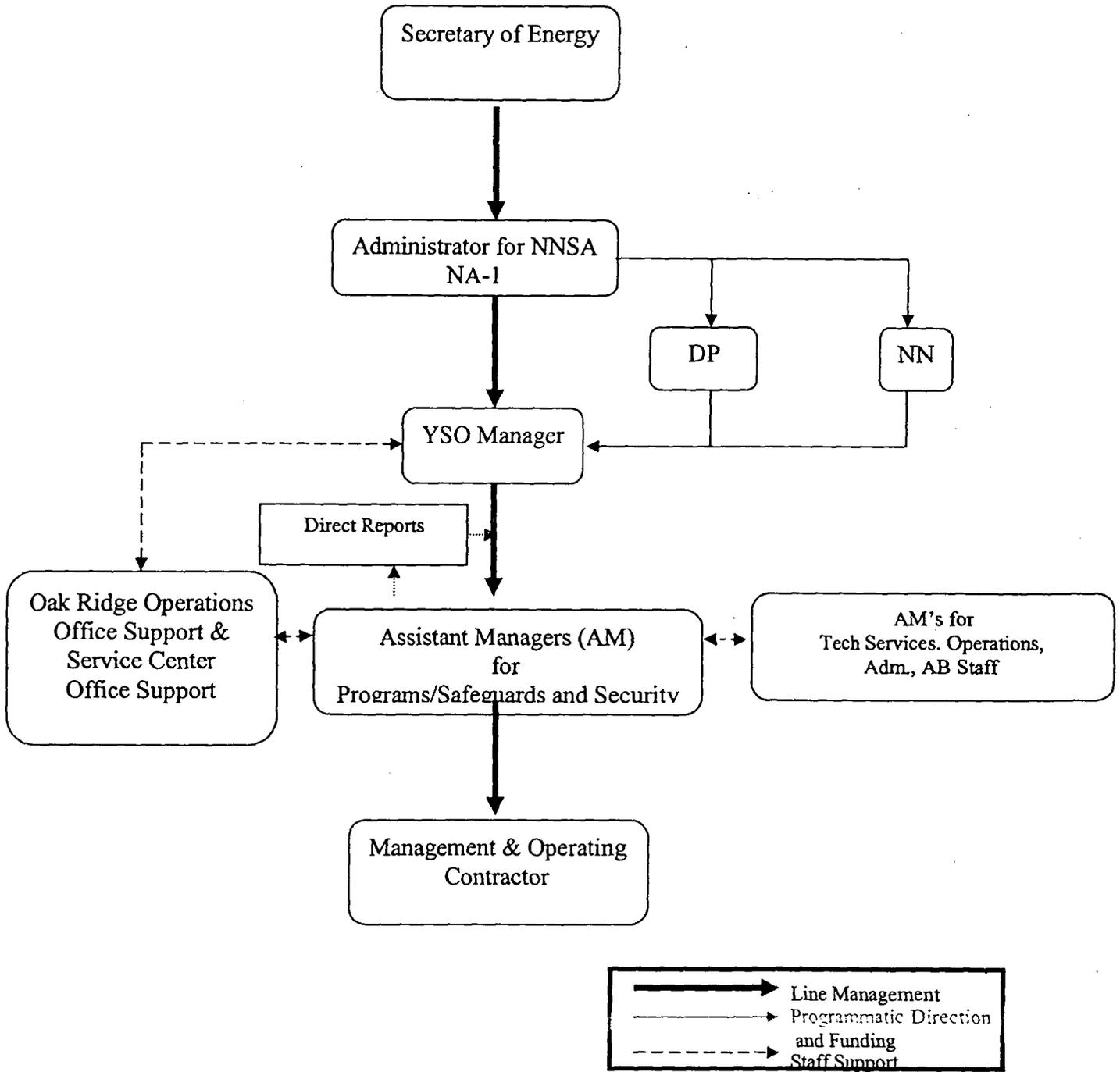
The YSO has a Service Arrangement (SA) with the Oak Ridge Operations Office (ORO) to provide services to one another. The SA is a living document and will be revised at least annually. The ORO Assistant Manager for Administration (AMA) through the Directives Management Group (DMG) manages the ORO Directives System and also supports YSO in the coordination of the directives system. This process system includes the review and comment resolution of Headquarters (DOE-HQ) Policies, Orders, Notices, Manuals, Guides, Rules, and technical standards; and ORO Orders, Manuals, and Notices. Although the YSO Manager reports directly to Headquarters, the YSO will continue to use the ORO directives, as necessary, in concert with YSO Procedures to implement the FRAM requirements.

The information contained in Appendix "B" represents how the YSO function, responsibilities, and authorities are managed and carried out by position. Appendix "B", entitled *Y-12 Site Office – Level II FRAM, Detailed Functional Responsibility Assignments* is

modeled after the functional structure of the EH Headquarters EH FRAM. To improve the usability of this FRAM an acronyms list (Attachment 1), an index of relevant directives and associated organizations and implementing documents (Attachment 2) as well as a List of delegated authorities (Attachment 3) are attached to this document.

Appendix A

Y 12 Site Office Flow of Responsibilities and Authorities



Appendix B

YSO – LEVEL II FRAM
FUNCTIONAL RESPONSIBILITY ASSIGNMENTS

The following discussion describes how the YSO functions, responsibilities and authorities are assigned and carried out by position. These functions, responsibilities, and authorities are only addressed down to the Site Manager staff and Assistant Manager levels. Where applicable, DOE Directives, DOE Implementation Plans for DNFSB Recommendations, Code of Federal Regulations, etc are identified in superscript following the pertinent responsibility.

A. Site Office Manager (SOM)

(a) Plans, Coordinates, Directs, Controls, Evaluates, and Provides Staff and Assistance with Respect to:

- (1) Serves as a CO for the Management and Operating Contract for Y-12, grants and/or cooperative agreements, and others as assigned. Approve all standards placed in the Operating Contract and concur with standards approved by others for work at this site as necessary to achieve site-wide integration. ^{NAP-5 (IV 3,4)}
- (2) Balances priorities and determines if there is adequate resources to achieve mission objectives while maintaining regulatory, security, facility and operational safety requirements. ^{DOE M 411.1-1B (9.2.4 FEM2)}
- (3) Management of YSO
- (4) Federal, State, and local regulatory interfaces.
- (5) General assignments and functions are made to YSO officials down through Assistant Manager level. These assignments of functions shall be performed in accordance with delegated authorities, policy, specific requirements, standards, and procedures found principally in the NNSA/DOE and the YSO/ORO Directive System.
- (6) Integrated Safety Management Program is fully integrated into all work activities. Approves ISMS descriptions and revisions. ^{48 CFR 970.5204-2(e), DOE M411.1-1B (9.2.26CO b)}
- (7) Ensure agreements are established with responsible Secretarial Officers on the working relationship with the YSO for the purpose of carrying out the requirements of DOE M 232.1-1A. ^{DOE M 232.1-1A (4.4a)}
- (8) Provide technical support as necessary to FR in responding to any reportable occurrence, in accordance with established agreements with the responsible Secretarial Officers. ^{DOE M 232.1-1A (4.4c)}
- (9) Own, develop, document, and manage the standard management process. ^{NAP-5 (IV 5)}

- (10) Reviews, approves, and issues COR appointments. DOP-003.0302 (IV C)
- (11) Approves executive compensation for BWXT Y-12 key personnel in accordance with established guidelines and advice of Assistant Manager for Administration

(b) Safety Basis

- (1) Approval Authority for all documentation pertaining to the Y-12 Authorization Basis.
- (2) Reviews and Approves Authorization Agreements.
- (3) Review and provides recommendations to NNSA Headquarters or EH on requests for exemptions to 10CFR830 and 835. DOE M411.1-1B (9.4.1.4 FEM)
- (4) Review the Chronic Beryllium Disease Prevention Program at least annually and if necessary require the CBDPP to be updated. 10 CFR 850.10(c)
- (5) Approve Contractor On-Site Transportation Safety Documents. DOE O 461.1, 460.1, 10 CFR 830
- (6) Approve Contractor On-Site transportation safety documents of other DOE Programs/Contractors operating on the Y-12 National Security Complex. DOE O 460.1, 10 CFR 830
- (7) Approve Maintenance Implementation Plan, Conduct of Operations Implementation Plan and the Training Implementation Plan.

(c) Performs Work

- (1) Conducts Management Walk-around to observe facility and operating activities and conditions with a focus on integrated safety management behavior and operations.
- (2) Serves as a member of the Emergency Management Cadre. Participates in a rotational assignment requiring "fitness for duty" and response to duty station within 60 minutes.

(d) Makes Changes to Improve Oversight and Enforcement.

- (1) Represents YSO to the Defense Nuclear Facilities Safety Board. Responsible for ensuring that recommendations and issues raised by the Board are resolved satisfactorily.
- (2) Defines objectives for comprehensive fee items and/or performance-based incentives. Assess contractor performance against yearly performance evaluation plan.

B. Deputy Manager (DM)

- (a) Responsible for integration of operational and technical activities at YSO. Supports the Site Manager on all matters relating to the Safety of Nuclear Facilities and Nuclear Material Operations.
- (b) Serves as the senior principle contact and lead for matters relating to the Defense Nuclear Facilities Safety Board.
- (c) Provides senior level consultation regarding Y-12 conduct of operations, authorization basis, startup/restart, and training.
- (d) Provides senior level consultation on project management, security, and emergency management programs.
- (e) Provides input to the performance-based incentives and comprehensive fee incentive process and chairs the Fee Board.
- (f) Serves as a member of the Emergency Management Cadre. Participates in a rotational assignment requiring "fitness for duty" and response to duty station within one hour.
- (g) Represents the Site Manager for Y-12 in negotiations and interactions with contractors, representatives of other government agencies (Federal, state, and local); and other DOE offices in assigned programs.
- (h) Responsible for YSO strategic plans ^{DOE M 411.1-1B (9.5.2 FEMd)}

C. Senior Authorization Basis Manager (SABM)

Directs and performs supervisory, oversight, and contract administration activities of the following functions:

- (a) Risk Management Activities for Nuclear and Hazardous Non-Nuclear Materials; ^{DOE M 411.1-1B-9.4.3}
 - (1) Concur (or approve, where this authority has been delegated) on facility/activity hazard categorization level based on (i) input from NNSA line managers or contractors regarding the type and amounts of hazards and (ii) the requirements of 10 CFR 830.202(b)(3). ^{DOE M 411.1-1B (9.3.2 FEMb)}
 - (2) Develop List of Facilities requiring Authorization Basis Documentation. ^{DOE O 420.2, STD 1027-92, 10CFR830.200}
 - (3) Review Natural Phenomena Hazards Assessment. ^{DOE O 420.1A, STD 1021-93}

- (4) Provide Core Expertise for ES&H Management Systems as required (e.g., Risk Management).
 - (5) Provide line management oversight and ensure contractor execution of nuclear safety rule implementation plans ^{DOE M411.1-1B (9.4.1.6 FEM g)}
- (b) Safety Analysis Reports (SARs), Safety Evaluation Reports (SERs), and Technical/Operational Safety Requirements (TSR/OSR) development and implementation; ^{DOE M411.1-1B (9.3.1 FEM)}
- (1) Existing Facilities and Operation - Nuclear Facilities – Review/Concur Initial TSR Implementation Plan. ^{10 CFR 830}
 - (2) New Facilities/Missions/Approve Nuclear Preliminary Documented Safety Analysis. ^{10 CFR 830}
 - (3) Program - Review Exemption Requests from 10 CFR 830. ^{10 CFR 830}
- (c) Authorization Basis Documentation; ^{5481.1B}
- (1) Provide Authorization Basis Guidance and Technical Interpretations for consistent YSO implementation. ^{DOE M411.1-1B (9.4.2.2 FEM)}
 - (2) Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including TSRs for Hazard Category 2 and 3 nuclear facilities). Review the adequacy of the controls and their documentation. ^{DOE M411.1-1B (9.4.2.2 FEMa)}
 - (3) Cat 2 Nuclear Facility and Nuclear Materials Operations - Review and Concur on Authorization Basis Documents (e.g., develop and recommend approval of SER, specify approval conditions). ^{DOE O 420.1A, 420.2, 10 CFR 830}
 - (4) Existing Facilities and Operations - Review and Concur on Authorization Basis Document Review Plan ^{DOE O 420.1A, 10 CFR 830}
 - (5) Existing Facilities and Operations - Review and Concur on New Authorization Basis Documents & Updates ^{10 CFR 830, 5480.23}
 - (6) New Facilities/Missions – Review and Concur on High/Moderate Non-Nuclear Authorization Basis Documentation and Review Plans.
 - (7) Lead and coordinate approval of Authorization Agreements.
- (d) Review Unreviewed Safety Questions (USQ) and Unreviewed Safety Question Determinations (USQD); (Analyze Hazards/Develop and implement Controls/Feedback and Improvement)

(1) USQ-Review and Concur on Positive USQDs for Nuclear Facilities at Y-12 ^{10 CFR 830}

(2) USQ-Nuclear Facilities- Ensure adequate contractor USQD procedures. ^{10 CFR 830}

(3) USQ-Monitor/Assess USQ Identification, Review, and Decision Making Process. ^{10 CFR 830}

(e) Provide Core Expertise and Engineering Support as required for Areas of Expertise;

(1) Nuclear Safety and Safety Basis. ^{DOE O 420.1A, 10 CFR 830}

(2) Development of Contractual Performance Measures, Criteria, and Comprehensive Fee ^{DOE O 430.1A}

(3) Evaluate Performance of Contractors and provide Input on Comprehensive Fee.

(f) Packaging and Transportation;

(1) Transportation of Materials of National Security Interest – Provide safety management support for development and administration of SARPs and Transportation Safety Risk Assessments (TSRAs). ^{DOE O 461.1}

(2) Review/Concur with Contractor On-Site Transportation Safety Documents. ^{DOE O 461.1}

(3) Provide safety management support for development and administration of DOE, NRC or IAEA Certificate of Compliance. ^{DOE O 460.1A}

(4) Technical assessment and verification of onsite transportation and packaging safety documentation. ^{DOE O 461.1A, O 460.1, 10 CFR 830}

(5) Review/Concur with contractor On-Site transportation safety documents of other DOE Programs/Contractors operating on the Y-12 National Security Complex ^{DOE O 460.1, 10 CFR 830}

D. Performance Assurance Office Manager (PAOM)

(a) Provides Administrative and Technical Support to a staff of business, scientists and engineers for Policies, Orders, Notices, Manuals, Guides, and Page Changes in the YSO;

(1) Lead and Coordinate Requirements Management – Ensure Applicable portions of Directives are incorporated in to the Management System ^{DOE M411.1-1B (9.2.2.1FEMa)}

(2) Coordinates Review and Comments on Directives. Recommend technical and economical improvements where appropriate. Provide Comments to ORO/HQ, as required per YSO/ORO Service Arrangement. ^{DOE O 251.1A, M 251.1-1A, P 251.1, DOE M411.1-1A (9.2.2.1FEMb&c)}

(3) Requirements Management – New ES&H Directives - Coordinates input to Office of

Primary Interest (OPI) and ensures Office of Assistant Manager for Administration receives input for Incorporation into Contracts. Also, coordinates comments to OPI if Directives are inconsistent with Y-12 mission(s). ^{DOE M411.1-1B (9.2.2.1FEMe)}

(4) Coordinate and assist Assistant Managers with determination on actions necessary to implement directives. ^{DOE M411.1-1B (9.2.2.1FEMf)}

(5) Ensure that the requirements with YSO that falls within the scope of DOE Order 420.1A are in compliance with DOE Order 420.1A. ^{DOE Order 420.1A (5d)}

(b) Leads and coordinates YSO Continuous Improvement activities.

(c) Lead and coordinates Oversight of Contractor Assessment Program

(d) Serves as COR for Directives at YSO

(e) Serves as YSO point of contact for Public Affairs activities with ORO/HQ and contractor.

(f) Leads and coordinates YSO administrative service contractor needs and activities. Serves as CTM.

E. Office Manager (OM)

(a) Provide Administrative support to the Site Manager, as requested.

(b) Provides Administrative support to Direct Reports and visitors as necessary.

(c) Provides Automatic Data Processing (ADP).

(d) Supports YSO Telecommunications Activities.

(e) Directs and coordinates special assignments at the Direction of the AM (e.g., new office space)

F. Office of Assistant Manager for Programs (OAMP)

Line Manager for Directed Stockpile Work (DSW), Campaigns, Readiness in Technical Base and Facilities (RTBF), the Nuclear Materials Management Program, Nonproliferation Programs (SNE), Project management, and startup/restart of facilities, activities, and equipment. Directs and performs Supervisory, Oversight and Contract Administration activities for the following functions:

(a) Programmatic Guidance Developed by the PSO: ^{DOE M411.1-1B (9.1.3 FEM, 9.2, 9.2.1, and 9.5.2 FEMd)}

(1) Lead and coordinate YSO Strategic Plan.

- (2) Lead, coordinate and provides contractor oversight of Planning and Integration
 - a) Y -12 Strategic Plan
 - b) Program Plans (DSW, Campaigns, RTBF)
 - c) Modernization Planning
 - d) Capital Planning
 - (3) Lead and coordinate Life Cycle Asset Management (LCAM) Principles ^{DOE O 430.1A}
 - (4) Lead, coordinate and provides contractor oversight of Site Development Plan (Ten Year Comprehensive Site Plan) ^{DOE O 430.1A, 6430.1A}
 - (5) Participate in Process/Capability Studies, as requested.
 - (6) Provide Stockpile Management Budgets and Forecasts to Deputy Assistant Secretary for Military Applications.
 - (7) Provide input and oversee contractor development of Production Readiness Assessment.
 - (8) Interpret and oversee implementation of Stockpile guidance documents, i.e., P&PD, PCD
 - (9) Reviews and Provides Input to DASMASM on the adequacy of the proposed allocations to meet Mission needs and Safety Initiatives.
 - (10) Recommends Funding Target based on Workload and input from Work Authorization Directives Program Managers and Contracting Officer Technical Representatives
 - (11) Propose Prioritization for funds required for Y-12 Nuclear Security Complex Infrastructure.
 - (12) Lead development and coordinate Work Authorization Directives
 - (13) Assistant Manager Chairs the WAD Change Control Board and approves/disapproves Baseline Change Control Proposals to work scope, schedules, and funding allocated to the contractor.
- (b) Directed Stockpile Work (DSW)
- Lead, coordinate, and provide oversight of contractor execution of:
- (1) Stockpile maintenance and evaluation.

- (3) Dismantlement and disassembly activities.
- (4) Packaging and transportation activities.
- (5) Weapons container certification activities.
- (6) Safe Shutdown Development, Implementation, Administration, Evaluation, and Compliance. DOE O 430.1A

(c) Campaigns

Lead, coordinate and provide oversight of contractor execution to support:

- (1) Dynamic Materials Campaign activities.
- (2) Secondary Readiness Campaign activities.
- (3) Enhanced Surveillance Campaign activities
- (4) ADAPT Campaign activities
- (5) Material Readiness Campaign activities

(d) Readiness in Technical Base and Facilities (RTBF)

Lead, coordinate and provide oversight of contractor execution to support:

- (1) Operations of Facilities activities
- (2) Infrastructure reduction and support activities.
- (3) Program Readiness activities.
- (4) Material Readiness and Recycle activities.
- (5) Deactivation activities.

(e) Implement Program Guidance

- (1) Plan, formulate and execute all programmatic phases of budget in support of missions assigned at the Y-12 Plant.
- (2) Lead the identification and determination of Surplus Facility Assessment. DOE O 430.1A

- (f) Monitor Contractor Performance and Assess whether Performance expectations have been met; ^{DOE M411.1-1B (9.2.2.4FEMb)}
- (1) Coordinate Monthly Production and Surveillance Meetings
 - (2) Monitor M&O Execution of Y-12 deliverables from Master Nuclear Schedule
 - (3) Support development of contractual performance measures and criteria and Award Fee for Programmatic Activities.
 - (4) Support development of contractual performance measures and criteria and Award Fee for Project/Capital Planning Activities ^{DOE O 430.1A}
- (g) Contract Administration
- (1) Serves as Contracting Officer Representative (COR) for Site Wide Environmental Impact Statement Contract.
 - (2) Responsible for Contracting Officer Representative (COR) functions for YSO support services contract
- (h) Project Management for Y-12 Plant Major Systems Acquisitions, Major Projects, and other Assigned Programs;
- (1) Assure that Contractor Planning, Programming, Budgeting, and Acquisition are consistent with Project Management requirements. ^{DOE O 413.3}
 - (2) Assure that New or Modified Facilities are Constructed or Backfitted to Meet Appropriate Safety and Environmental Requirements. ^{DOE O 6430.1A}
 - (3) Develop, Implement, Administer, Evaluate, and Enforce Project Management Policy and Guidelines. ^{DOE O 413.3}
 - (3) Manage Project Execution, Design, and Construction, for New, Reconfigured, and Modified Facilities. ^{DOE O 413.3}
- (i) Plant Capital Assets Management Program;
- (1) Capital, GPP & Expense Projects - Provides oversight to ensure contractor initiated projects are planned, designed, constructed, tested and placed in service consistent with requirements. ^{DOE O 430.1A}
 - (2) Assists the Office of Assistant Manager for Programs with the Identification and Determination of Surplus Facilities, as needed. ^{DOE O 430.1A}
 - (3) Provide Periodic Reports on Construction Projects.

- (4) Concur in and Submit Construction Project Data Sheets.
- (5) Support Independent Assessments of Projects.
- (6) Issue Project Authorizations, Allowing the Execution of Work.
- (7) Chairs the YSO Project Baseline Change Control Process
- (j) Provide Core Expertise and Engineering Support as required for Areas of Expertise;
 - (1) Support Development of Contractual Performance Measures and Criteria and Award Fee for Projects. DOE O 430.1A
 - (2) Evaluate Performance of Contractors and provide Input on Contractor Performance Award Fee for Projects.
- (k) Operational Readiness Review (ORR), Readiness Assessment (RA), Independent Review (IR) – Lead Readiness Review Program. DOE O 425.1B, DOE M411.1-1B(9.5.1.1FEM)
 - (1) Provide Oversight, Coordination, and Assurance of Contractor Readiness Activities. DOE M411.1-1B (9.4.4FEM, 9.5.2FEM)
 - (2) Readiness Review (ORR/RA/IR) – Develop draft Plan of Action for Facilities/Operations. DOE O 425.1A, STD 3006-2000, DOE M411.1-1B(9.5.1.2, 9.5.1.3FEM)
 - (3) Readiness Review (ORR/RA) - Review and Concur on Resumption of Operations Following Shutdown for Safety Concerns. DOE O 420.2, 425.1B
 - (4) Readiness Review – Coordinate and ensure Closure Verification of Pre/Post Start Findings for Facilities/Operations. DOE O 425.1B
 - (5) Readiness Review Report – Develop and approve for Facilities/Operations. DOE O 425.1B, STD 3006-00
 - (6) Startup Notification Report – Review and approve for Facility/Operations
- (l) Nonproliferation Programs (SNE) are assigned to the Senior Nuclear Engineer
 - (a) Leads and Coordinates Nonproliferation and Treaties Program Activities; (Perform Work)
 - (1) Provides senior technical advice on Plant production processes and advanced technologies.

- (2) Lead and participates on technical monitoring teams, site surveys teams, and other technical teams and delegations that travel to foreign countries in support of NN Programs
- (b) Contract Authority -- Serves as alternate COR for the prime contract when required by the SOM.
- (c) Technical Standards Expert - Interprets Policy and technical guidance on Technical Standards. Recommends solutions and actions and prepares responses to critical, important highly technical issues.
- (d) Performs Independent Technical and analytical evaluation of YSO nuclear and nonnuclear facilities and documents, as necessary.
 - (1) Performs appraisals of contractor facilities and operations for compliance with NNSA and DOE Orders
 - (2) Provides technical expertise for Special Access Programs.
- (e) Technical Lead for activities associated with the DOE Office of Intelligence and for other special work activities assigned by the Site Office Manager

G. Office of Assistant Manager for Operations Management (OAMOM)

Line Manager for Weapons Quality Assurance Program and Non-Weapons Quality Assurance. Directs and Performs Supervisory, Oversight, and Contract Administration Activities of the following functions:

- (a) Weapon Quality Management Programs and Quality Assurance; DOE M411.1-1B (9.5.3FEM)
 - (1) Support and Perform Quality Assurance Surveys (QAS) 1.0 (support), 2.0, 3.0, and 4.0 Surveys. Quality Assurance Procedure (QAP) Manual
 - (2) Product Acceptance, Stamping and Marking. QAP Manual
 - (3) Perform Non-Nuclear Verifications.
 - (4) Ensure Standards and Calibration are Consistent with Requirements QC-1
 - (5) Facility Quality Assurance. 10 CFR 830.120; DOE O 414.1
 - (6) Software Quality Assurance. QC-1 Designate in writing NNSA/YSO personnel (see Att 3) that have responsibility related to safety software. These personnel will be required to satisfy the competency requirements identified in a Technical Qualification standard IP DNFSB 2002-1

- (7) Process Incoming Material Reports (IMRs). QAP Manual
- (8) Quality Assurance - YSO Facility Quality Assurance Program Development and Approval. DOE O 414.1, 10 CFR 830.120
- (9) Quality Assurance - Approve Contractor QAPs and Implementation Plans for DOE 414.1 and 10 CFR 830.120 and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830. Ensure that contractors implement QAPs. DOE O 414.1, 10 CFR 830.120, DOE M411.1-1B (9.5.3FEMa,b)
- (10) Quality Assurance - Suspect and Counterfeit Parts Program Plan Approval for each Site. DOE O 440.1A
- (11) Review and approval annual submission of Contractor changes to the DOE approved QAP. 10 CFR 830.120
- (b) Operational Readiness Review (ORR), Readiness Assessment (RA), Independent Review (IR) - Support Readiness Review Program. DOE O 425.1B, DOE M411.1-1B(9.5.1.1FEM)
- (1) Provide Oversight, Coordination, and Assurance of Contractor Readiness Activities. DOE M411.1-1B (9.4.4FEM, 9.5.2FEM)
- (2) Readiness Review (ORR/RA/IR) – Support development of draft Plan of Action for Facilities/Operations. DOE O 425.1A, STD 3006-2000, DOE M411.1-1B(9.5.1.2, 9.5.1.3FEM)
- (3) Readiness Review (ORR/RA) - Review and Concur on Resumption of Operations Following Shutdown for Safety Concerns. DOE O 420.2, 425.1A
- (4) Readiness Review – Coordinate and ensure Closure Verification of Pre/Post Start Findings for Facilities/Operations. DOE O 425.1A
- (5) Readiness Review Report – Support development and concur on Facilities/Operations. DOE O 425.1A, STD 3006-00
- (6) Startup Notification Report – Coordinate, review, and concur for Facility/Operations
- (c) Facility Representative Program
- (1) Maintains day-to-day Operational Oversight of the Contractor's Activities, and Report Potential Existing Dangers to DOE Line Management. DOE M411.1-1B (9.5.1FR, 9.5.2FEM)
- (2) Conduct of Operations - Provide Input to Facility Representative Manual Development and Approval. DOE STD-1063-00

- (3) Reporting – Directs Development, Review & Approve Implementing Procedures & Matrices for Contractor Implementation of Occurrence Reporting ^{DOE O 232.1A, DOE M411.1-1B (9.6.1FEM) M411.1-1B (9.6.1.2)}
 - (4) Conduct of Operations - Facility Representative Program - Train Facility Representatives, Qualification Cards & Boards. ^{DOE O 5480.19, STD 1063-00, DOE M411.1-1B (9.1.6.1)}
 - (5) Conduct of Operations - Facility Representative Program- Approval of DOE Daily Operating and Event Reports. ^{DOE O 232.1A, DOE M411.1-1B(9.6.1.2FEMc)}
 - (6) Conduct of Operations - Facility Representative Program - Prepare and Conduct Observations as Scheduled. ^{DOE STD 1063-97, DOE M411.1-1B(9.5.1FR, 9.5.2FEMd)}
 - (7) Reporting - Review and Approve Occurrence Reports and complete other activities for FR as listed in DOE M 232.1-1A. ^{DOE O 232.2A, DOE M411.1-1B (9.6.1.2FEMa)}
 - (8) Reporting – Monitor day-to-day operations and performance to ensure that facility personnel implement a program compatible with DOE Order 232.1A and that lessons learned and generic or programmatic implications are identified and elevated to the SOM for appropriate action. ^{DOE Order 232.1A (5f)}
 - (9) Review ORPS Reports from all Sites to Detect Potential Improvements and Means of Averting Occurrences. ^{DOE M411.1-1B(9.6.1.2FEMb)}
 - (10) Support Emergency Response Cadre.
- (d) Lesson Learned Program. ^{DOE M411.1-1B(9.6.1.1FEM, 9.6.2)}
- (1) Lessons Learned – Direct Contractors to Develop and Implement a Lessons-Learned Program. The program should include analysis and trending of events ^{DOE M411.1-1B(9.6.1.1FEMa)}
 - (2) Lessons Learned – Participate in DOE-Wide Sharing of Lessons Learned. ^{DOE M411.1-1B(9.6.1.1FEMb)}
 - (3) Lesson Learned – Monitor and assess Contractor’s Program. ^{DOE M411.1-1B(9.6.1.1FEMc)}
 - (4) Continuously Improve the Efficiency and Quality of Operations - Develop, Implement, and Track Corrective Actions to Profit from Prior Experience and Lesson Learned ^{DOE M411.1-1B(9.6.2a)}
 - (5) Develop and maintain a Process to Ensure Corrective Actions are Planned and Pursued to Completion and adequately correct the Root Cause of the Conditions that prompted them. ^{DOE M411.1-1B(9.6.2b)}

- (6) Develop and maintain a process to ensure that information from various feedback sources are evaluated in an integrated manner and corrective actions are prioritized based upon importance. DOE M 411.1-1B(9.6.2c)

(e) Training and Qualifications;

- (1) Training Program - Review and Provide Oversight of Contractor Training Program. DOE O 5480.20A
- (2) Training Program - Develop, Implement, and Maintain the Technical Qualification Program (TQP) Programs (Approve program, Supervisors approve staff qualification cards). DOE O 360.1, DNFSB 93-3, DOE M411.1-1B(9.1.6.1)
- (3) Training Program - Conduct and Participate in Periodic Evaluations of Contractor and Federal Training and Qualification Programs. DOE O 360.1, 5480.20A
- (4) Conduct of Operations - Facility Representative Program - Train Facility Representatives, Qualification Cards & Boards. DOE O 5480.19 and STD 1063-00
- (5) Federal Technical Capabilities Panel (FTCP)- Serve as FTCP Agent. DOE M 426.1-1

(f) Provide Maintenance Management and Utility Support for Physical Plant within the Approved Safety Envelope; DOE O 433.1, 430.1, 4350.1

- (1) Reporting—Performance Measurement/Performance Indicators—Support Development and Approval DOE O 433.1
- (2) Support Development of Contractual Performance Measures, Criteria, and Performance Evaluation Plan (PEP). DOE O 433.1
- (3) Conduct and participate in periodic evaluations of Contractor Maintenance Programs DOE O 433.1, 430.1
- (4) Review and recommend approval to YSO Manager Contractors Maintenance Implementation Plan. DOE O 433.1
- (5) Provide oversight of the implementation of Contractor Requirements Documents specified in DOE O 433.1 and 430.1
- (6) Monitor and assess Contractor's Maintenance Program that includes the Preventive Maintenance, Plant Maintenance, Manufacturing Maintenance, Facility Condition Assessment Survey, Building Outage, and Deferred Maintenance Programs. DOE O 433.1, 430.1

(g) Provide Support for ES&H Management (e.g., Stop Work)

- (1) Reporting – Performance Measurement/Performance Indicators - Support Development and Approval. DOE O 210.1

- (2) Supports implementation of Integrated Safety Management.
 - (3) Suspend Operations in the Event of Undue Risk (Stop Work Authority). DOE O 425.1, 10 CFR 830, DOE M411.1-1B(9.5.1FEM)
- (h) Operations Evaluation and Feedback;
- (1) Support Development of Contractual Performance Measures, Criteria, and Performance Evaluation Plan (PEP). DOE O 430.1A
 - (2) Evaluate Performance of Contractors and provide Input on the PEP.
 - (3) Designate and direct FR to fulfill the responsibilities required by DOE M 232.1-1A and provide program direction and support as required. DOE M 232.1-1A (4.3b, 4.3d)
- (i) Administers the Price Anderson Amendment Act Program for the YSO. 10 CFR 820, DOE M411.1-1B(9.4.1.6FEM)

H. Office of Assistant Manager for Technical Services (OAMTS)

Line Manager for Environmental Management and Waste Management. Provides Line Management Support for ES&H and Process Engineering. Directs and Performs Supervisory, Oversight and Contract Administration Activities of the following Functions:

- (a) Technical Management for Environmental Protection, Safety, Health and Waste Activities; DOE M411.1-1B(9.2.2.2FEM, 9.5.2FEMc, 9.6.1.3FEM)
 - (1) Support YSO ES&H Contract Reform Issues.
 - (2) Assist in the development of ES&H Budget Formulation Plans.
 - (3) Leads Development of External Environmental Regulation Guidance Consistent with YSO/ORO Service Arrangement.
 - (4) Lead and Coordinate Review /Comment (consistent with YSO/ORO Service Agreement) on Proposed DOE Technical Standards. DOE M411.1-1B(9.2.2.2FEMa)
 - (5) Lead/Coordinate and Recommend Technical and Cost Saving Improvements for Standards, Where Appropriate. DOE M411.1-1B(9.2.2.2FEMb)
 - (6) Lead/Coordinate and Provide staff to participate on Focus Groups or Technical Development Teams for Standards. DOE M411.1-1B(9.2.2.1 FEMd, 9.2.2.2FEMc, 9.2.2.3FEMc)
 - (7) Lead, Coordinate, Review and Comment on Proposed Rules (Consistent with YSO/ORO Service Arrangement). DOE M411.1-1B(9.2.2.3FEMa)

- (8) Lead/Coordinate and Recommend Technical and Cost Saving Improvements for Rules, Where Appropriate. DOE M411.1-1B(9.2.2.3FEMb)
 - (9) Lead/Coordinate What Actions by the YSO are Necessary to Implement the Final Rule. DOE M411.1-1B(9.2.2.3FEMd)
 - (10) Coordinate crosscutting ES&H reviews.
- (b) Environmental Protection Activities include the following;
- (1) National Environmental Policy Act
 - (2) Federal Facilities Compliance Act
 - (3) Environmental Protection Monitoring.
 - (4) Environmental Permits and Compliance (approves selected reports).
 - (5) Cultural Resources and Wetland Management Programs.
 - (6) Natural Resource Damage Assessment Process.
 - (7) Review of Annual Site Environmental Surveillance Report, Monitoring Plans, Groundwater Protection Management Plans. DOE O 231.1, 5400.1
 - (8) Development and Approval of Annual National Environmental Policy Act (NEPA Planning Summary). DOE O 231.1, 451.1A
 - (9) Establish and maintain a NEPA Compliance Program. DOE O 451.1A
 - (10) Implementation of Policy and Guidance for Environmental Assessments (EAs). DOE O 451.1A
 - (11) Submit Requests for Variance from DOE NEPA Regulations or DOE O 451.1A. DOE O 451.1A
 - (12) Recommends approval to SOM for Environmental Assessments, Finding Of No Significant Impact (FONSI). DOE O 451.1A
 - (13) Coordinate and Review Environmental Impact Statements. DOE O 451.1A
 - (14) Development and Transmittal of Site Specific Environmental Regulatory Documents/Submittals. DOE O 5400.5
 - (15) Waste Management Programs; DOE O 435.1

- (a) Supports waste activities from generation through transfer of the waste to the Oak Ridge Environmental Management Organization for eventual disposition.
- (b) Supports Waste Minimization Program.
- (c) Supports Pollution Prevention Program.
- (d) Supports Volume Reduction of Waste and Reduction of Low-Level, Non-Nuclear Hazardous Materials in Waste.
- (e) Supports Waste Treatment Technologies Program.

(c) Agreement in Principle Grant with the State of Tennessee;

Cooperative Agreement with the State of Tennessee Wildlife Resources Agency on Wildlife Management.

(d) Provides Safety and Health Support for Resolution of Facility and Operational Activities;
DOE M411.1-1B(9.5.2b) Provide support to AB team, project engineers, startup/restart teams, and other as requested.

(1) Provide Core Expertise for:

- (a) Chemical Safety. 29 CFR 1910
- (b) Fire Protection. DOE O 420.1A, 440.1A
- (c) Radiological Protection. 10 CFR 835, DOE M411.1-1B(4.1.6FEMb)
- (d) Industrial Hygiene. DOE O 440.1A
- (e) Occupational Medicine. DOE O 440.1A
- (f) Occupational Safety. DOE O 440.1A
- (g) Pressure Safety.
- (h) Construction Safety. 29 CFR 1926, DOE O 440.1A
- (i) Firearms Safety. DOE O 440.1A
- (j) Industrial Safety
- (k) Vehicle Safety. DOE O 440.1A
- (l) HVAC
- (m) Nuclear Criticality Safety (NCS). DOE O 420.1
- (n) Emergency Preparedness

2) Nuclear Criticality Safety Program Manager;

- (a) Perform technical review of criticality safety evaluations (includes Authorization Basis interface and Criticality Accident Alarm System technical basis).
- (b) Point of contact for national, DOE, and local NCS community interactions.

- (c) Monitor day to day plant fissile material operations (includes packaging and transportation).
 - (d) Oversee plant NCS program organizations.
 - (e) Maintain stringent Senior NCS engineering qualifications.
- (3) Provide Support for development of Authorization Agreements. DOE411.1-1B9.4.1.2FEMc,d, 9.4.3.3)
 - (4) Directs the Contractor to Propose Site/Facility Standards Tailored to the Work and Hazards. DOE M411.1-1B (9.4.1.2FEMa)
 - (5) Lead, Coordinate and Review Site/Facility Standards and Recommend Approval to the CO. DOE M411.1-1B(9.1.2FEMb)
 - (6) Lead, coordinate, and conduct oversight of Emergency Management. Review and approve emergency response documents, as appropriate. DOE O 151.1A
 - (7) Accident Investigation - Provide Support to HQ Accident Investigation Board and Ensure that Site has Accident Investigation Capabilities. DOE O 225.1A
 - (8) Accident Investigation - Review and Concur on Corrective Action Plans from Type A and B accident investigations. DOE O 225.1A, P 450.6
 - (9) Accident investigation - Develop and Approve Accident Investigation Reports. DOE O 225.1A
 - (10) Develop and Implement Federal Employee Occupational Safety and Health (FEOSH) Program. DOE O 440.1A
 - (11) Provide Safety Basis Support, including Packaging and Transportation, to the SABM. DOE M411.1-1B(9.3.1, 9.4.3.2FEMa)
 - (12) Readiness Review (ORR/RA/IR) – Support Development of Plan of Action for Facilities, as requested. DOE O 425.1A, STD 3006-95
 - (13) Readiness Review – Supports Closure and Verification of Pre/Post Start Findings for Applicable Facilities. DOE O 425.1A
 - (14) Readiness Review Report – Support Development as Requested. DOE O 425.1A, STD 3006-00
 - (15) Suspend Operations in the Event of Undue Risk (Stop Work Authority). DOE O 425.1A, 16 CFR 9.30

- (16) Ensure that daily authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements. DOE M411.1-1B(9.6.3.2FEMa)
 - (17) Develop and coordinate a corrective action plan to address the issues raised in an independent oversight assessment report(s). Determines if a CAP requires revision if comments are received from EH-2 and revised plan accordingly. Implements the final CAP. DOE M411.1-1B(9.6.3.2FEM b,c,d)
 - (18) Lead and coordinate an Independent Review to validate Corrective Actions taken as a result of the EH-2 review. DOE M411.1-1B(9.6.3.2FEMc)
 - (19) Investigate Employee Concerns related to Safety and Health Issues.
 - (20) Support the YSO Web Page.
 - (21) Support Lessons Learned Program.
 - (22) Review and approve Occurrence Reports, as appropriate.
 - (23) Packaging and Transportation;
 - (a) Packaging and Transportation of Materials of National Security Interest. DOE O 461.1
 - (b) Packaging and Transportation Safety. DOE O 460.1A
 - (c) Departmental Materials Transportation and Packaging Management. DOE O 461.2
 - (d) Aviation Management and Safety. DOE O 440.2
 - (e) Provide technical support for transportation and authorization basis activities. 10 CFR 830
 - (f) Obtain Waivers/exemptions from Federal, Tribal, State, and Local Transportation Regulations. DOE O 460.1A
 - (g) Act as Liaison Interface with Federal, Tribal, State and Local Agencies as related to Transportation and Packaging. DOE O 460.1A
 - (h) Provide Support to various YSO organizations.
 - (24) Provide Support to project reviews.
 - (25) Point of contact for Y-12 Former Workers Program
- (e) Engineering Support for Resolution of Facility and Operational ES&H Issues.

- (1) Lead and Coordinate Configuration Management and System Engineering Program.
 - (2) Lead YSO response on DNFSB Recommendation 2000-2, Vital Safety Systems.
 - (3) Designate YSO System Engineers for Vital Safety Systems.
 - (4) Provide support to AB team, project engineers, startup/restart teams, and others as requested.
 - (5) Provide expertise in the areas of nuclear engineering, HVAC, metal production, welding, CAAS, and other areas as needed.
- (f) Serves as the Primary Action Person for Matters Relating to the Defense Nuclear Facilities Safety Board (DNFSB);
- (1) DNFSB - Manage, Track, and Integrate DNFSB Issue Resolution for YSO.
 - (2) DNFSB - Provide interface with DNFSB for On-Site Issues. ^{DOE M 140.1-1A}
- (g) Integrated Safety Management System (ISMS); ^{DOE M411.1-1B(9.5.2c)}
- (1) Develops and coordinates YSO Functions Responsibilities and Authorities Manual. Revise YSO FRAM within 90 days of the issuance of revision to the HQ FRAM and following organizational changes. ^{DOE P 411.1, DOE M 411.1-1B(9.2.2.5), DOE O 450.4}
 - (2) Ensure the Contractor Describe and Document their Safety Management Systems – Lead and Coordinate, Review and Comment on Site ISMS Description. Ensure the contractor safety management systems are implemented and kept current ^{DOE P 450.4, DOE M411.1-1B(9.2.2.6FEMa,b)}
 - (3) ISM Program Implementation - ISMS Verification – Submit List of Qualified STSMs to Participate on ISM Team(s), as required. ^{DOE P 450.4, DOE M411.1-1B(9.2.2.6PSO/FEM, FEM)}
 - (4) ISM Program Implementation - ISMS Verification - Comment on Review Plan and Conduct Review. ^{DOE P 450.4}
 - (5) ISM Program Implementation - ISMS Verification - Manage YSO Verification Program. ^{DOE P 450.4}
 - (6) ISM Program Implementation - ISMS Verification - Recommends Approval of Review Results and ISMS Description on an annual basis as applicable. ^{DOE P 450.4}
 - (7) Ensure sufficient ES&H oversight. ^{DOE P 450.5}
- (h) ES&H Evaluation and Feedback; ^{DOE M411.1-1B(9.6.3.1FEMb)}
- (1) Support Development of Contractual Performance Measures, Criteria, and

Comprehensive Fee. ^{DOE O 430.1A}

- (2) Evaluate Performance of Contractors and provide Input on Comprehensive Fee.
- (3) Support the Lessons Learned Program
- (4) Provide oversight and support for WSI
- (i) Support the Price Anderson Amendment Act Program for the YSO.
10 CFR 820, DOE M411.1-1B(9.4.1.6FEM)

I. Office of Assistant Manager for Administration (OAMA)

Directs and Performs Supervisory, Oversight, and Contract Administration Activities of the Following Functions:

- (a) Prime Contracts, Grants and Agreements, Award and Administration; ^{DOE M411.1-1B(9.2.2.1COR)}
 - (1) Funds Management Execute/Approve Funds-In Agreement that is proposed by the YSO Contractors. ^{DOE O 481.1}
 - (2) Issue and Modify Contracts. Maintain a program and funding baseline for budget execution. ^{DOE O 135.1, 5I(1), M 135.1-1, DOE M411.1-1B(9.2.2.4COa,b)}
 - (3) Incorporation of ES&H Standards in Contracts, Formulated and Administered by YSO (Negotiate and Administer). ^{DOE O 210.1, 225.1A, 232.1A, 420.1A, 420.2, 425.1A, 451.1A, 460.1A, 1300.2A, 10 CFR 830, DOE M411.1-1B(9.4.1.2CO)}
 - (4) Incorporation of New Directives into Contracts. ^{DOE O 251.1A, M 251.1-1A}
 - (5) Implement funding allocations consistent with program office's allocation of resources and revise allocations as delegated. ^{DOE M411.1-1B(9.2.2.4OCc)}
 - (6) Act as a Liaison between the Contractor and YSO staff regarding contract issues and performance expectations. ^{DOE M411.1-1B(9.2.2.4COd)}
 - (7) Authorization Agreement – Append the approved authorization agreement to the affected contract or modify the contract to contain the provisions. ^{DOE M411.1-1B(9.4.3.3HCAa,b)}
 - (8) Ensure contracts are properly executed so work is performed safely ^{DOE M411.1-1B(9.5.2FEMa)}
 - (9) Ensure initiators of procurement requests identify in procurement requests if the requirements of the CRD for DOE Order 420.1A are to be applied to the award or subawards. ^{DOE O 420.1A (5e)}

(10) Provide advise and guidance to YSO Manager regarding executive compensation for BWXT Y-12 key personnel in accordance with established guidelines. (E-mail from Robert Braden Sept 9, 2003, Subject: Contractor Executive Compensation)

(b) Financial Planning, Management, Costing, and Budgeting;

- (1) Administratively Coordinates the Budget and Supports Input to NNSA on the Adequacy of the Proposal to Support Mission and Safety Initiatives. DOE M411.1-1B(9.1.4.1FEM)
- (2) Administratively Coordinates the Budget and Supports Input to NNSA on the Adequacy of the Proposal to Support landlord activities and safety initiatives; implement corrective actions and safety improvements. DOE M411.1-1B(9.1.4.2FEM)
- (3) Administratively assists with Development of Programmatic Budget Prioritization List.
- (4) Lead and Coordinate Review of Proposed Allocations and Provide Input to the NNSA Regarding their Adequacy to Meet Mission and safety Initiatives. If the Proposed Budget is Insufficient, Work with Directors to Propose an Alternate Plan to the NNSA that can be accomplished within the budget and/or identify needed additional funds. DOE M411.1-1B(9.1.5FEM)
- (5) Prepare Budget Documents in Accordance with Department of Energy Acquisition Regulations (DEAR), DOE Orders. Ensure significant changes in budget execution are coordinated through NNSA HQ prior to implementation. DOE O 135.1, 51(2), M 135.1-1
- (6) Administratively Implements the Work Authorization Directives.
- (7) Coordinate and provides Administrative Oversight of the Contractor's Work Authorization Control System.
- (8) Develop and Maintain Budget Guidance, Policy, and Procedures for Budget Process at YSO. DOE O 130.1
- (9) Procurement System.
- (10) Reporting - Federal Managers Financial Integrity Act - Development of Annual Report of Significant External Audit Issues and Self-Identification of Vulnerabilities; DOE O 413.1
- (11) Lead Development of Business Management Core Competency for YSO Strategic Plan.

(c) Comprehensive Fee and Performance Based Incentive Fee determination process; DOE O 224.1

- (1) Lead and coordinate Contractor Comprehensive Fee/PBI Plan Development and Approval. DOE P 450.5, DOE M411.1-1B(9.2.2.4FEMa,b)
 - (2) Lead and coordinate monthly evaluations of Contractor Performance.
 - (3) Lead and coordinate annual Contractor Performance – Evaluate and Provide Input on Contractor Performance Award Fee. DOE M411.1-1B(9.2.2.4FEMc)
 - (4) Lead and coordinate Contractor Performance Assessment Program Appraisal Report Development and Approval. DOE P 450.5, DOE O 420.1A, 430.1A, 5480.23, AL 5481.1B
 - (5) Lead coordination for Development of Contractual Performance Measures and Criteria and Award Fee. DOE O 430.1A
- (d) Property Management Program (Per YSO/ORO Service Arrangement; lead and coordinate:
- (1) Motor Vehicle Management Program.
 - (2) Real Property Program.
 - (3) Personal Property and Equipment Management Program.
- (e) Resources Management (Per YSO/ORO Service Agreement); lead and coordinate:
- (1) YSO Federal Personnel Requirements.
 - (2) Industrial Relations Activities.
 - (3) Records Management Program.
 - (4) Corrective Action Plans - Develop for Issues in Areas of Assigned Responsibility Requiring Corrective Action by YSO.
 - (5) Manages YSO Diversity Program.
 - (6) Manages YSO Employee Concerns program.
 - (7) YSO lead for Inspector General and Congressional activities.

J. Office of Assistant Manager for Safeguards and Security (OAMSS)

- (a) Safeguards and Security;
 - (1) Nuclear Safeguards.

- (a) Ensure the designation and appointment of TOP SECRET control officers and alternates as custodians and notify HQ, Office of Safeguards and Security, of the selection and position titles of the designees. DOE O 5632.1C, 6(2)(a)
 - (b) Designate a Classified Matter Protection and Control Operations Manager, who is a DOE employee knowledgeable in control of classified and sensitive information, including violations of laws, losses, and incidents of security concern, to manage the local Classified Matter Protection and Control Program. DOE O 5632.1C, 6(2)(c)
- (2) Physical Security, Security Planning, Operations Security Program
- (a) Ensure all operations under YSO jurisdiction are implemented consistent with acceptable safeguards and security practices and in accordance with the Safeguards and Security directives. DOE O 470.1, 5j
 - (b) As the COR, incorporate contract provisions implementing the applicable requirements of Safeguards and Security directives in new or existing contracts. DOE O 470.1, 5a(1)
 - (c) As the COR, not award contracts requiring access authorizations until a Facility Clearance is granted. DOE O 470.1, 5a(2)
- (3) Coordinates with ORO on Technical Communication, Computer Security Emission, Technical Surveillance Countermeasures (TSCM), and management/control of foreign intelligence. DOE O 5670.1A
- (4) DOE Employee Drug Testing Program.
- (5) Works with ORO regarding Foreign Ownership, Control or Influence Activities for YSO Contracts.
- (6) Works with ORO regarding the Visits and Assignments by Foreign Nationals Program and the Control of Classified Visits Program. DOEN 142.1, ORO O 470
- (7) Coordinates with ORO regarding the Safeguards and Security Awareness/Education Program.
- (8) Issuance, Control, and Use of Badges and Credentials Program.
- (9) Transportation Safeguards - Act as Liaison with Government Offices and Other Federal Agencies as related to Safeguards and Security.
- (10) Support development of project designs to ensure cost effective S&S measures.
- (11) Responsible for oversight and implementation of requirements per IAEA Safeguards Agreement. DOE O 1270.2B

(12) Manages the Safeguards and Security aspects of NNSA and Contractor visits to sensitive countries.

(b) Personnel Security Assurance Program (PSAP);

- (1) Identify individuals whose official duties fall within the definition of a "PSAP position". DOE O 472.1B, 5i(1)
- (2) Ensure that a PSAP Implementation Plan is prepared for the site and provide the plan to the Director of Safeguards and Security for review and comment. DOE O 472.1B, 5i(2)
- (3) Review and approve PSAP Implementation Plans and ensure that a PSAP is implemented within 30 working days of its Plan approval. DOE O 472.1B, 5i(3)
- (4) Approve PSAP Implementation Plan changes and notify the Director of Safeguards and Security (NNSA HQ) of such changes. DOE O 472.1B, 5i(4)
- (5) Recommend to the Director of Safeguards and Security additional positions for designation as PSAP positions as they are identified and justified. DOE O 472.1B, 5i(5)
- (6) Process requests for individuals to occupy PSAP positions and perform other responsibilities consistent with 10 CFR 710, Subpart B. DOE O 472.1B, 5i(6)

(c) Personnel Security Program

- (1) Ensure implementation, administration, and operation of program activities for all covered contractors, subcontractors, Access Permits, and staff with DOE Order 472.1B, Chapters I-IX of DOE 5631.2C, and 10 CFR 710. DOE O 472.1B, 5i(1)
- (2) Ensure training complies with the requirements in Chapters I – IX of DOE 5631.2C. DOE O 472.1B, 5i(2)
- (3) Initiate requests directly with the OPM and the FBI for: initial investigations; reinvestigations; supplemental, additional, or upgrade investigations; and cancellations of investigations in progress. DOE O 472.1B, 5i(4)

(d) Provide Core Expertise and S&S Support as required to;

- (1) Support Development of Contractual Performance Measures, Criteria and Award Fee. DOE O 430.1A
- (2) Evaluate Contractor Performance and provide Input on Award Fee.

(e) Works with ORO to provide Oversight of the Y-12 OPSEC Program;

Attachment 1

LIST OF ACRONYMS

AA	Authorization Agreement
AMA	Assistant Manager for Administration
AMOM	Assistant Manager for Operations Management
AMP	Assistant Manager for Programs
AMSS	Assistant Manager for Safeguards and Security
AMTS	Assistant Manager for Technical Services
BCP	Baseline Change Proposal
BIO	Basis for Interim Operations
Ch	Chapter
CFR	Code of Federal Regulations
CO	Contracting Officer
COR	Contracting Officer's Representative
CSO	Cognizant Secretarial Officer
DEAR	Department of Energy Acquisition Regulation
DM	Deputy Manager
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DOE-HQ	Department of Energy
DP	Defense Programs
EH	Office of Assistant Secretary for Environment, Safety, and Health
EM	Office of Assistant Secretary for Environmental Management
ES&H	Environment, Safety, and Health
FEM	Field Element Manager
FRA	Functions, Responsibilities, and Authorities
FRAM	Functions, Responsibilities, and Authorities Manual
HQ	Headquarters
IDP	Individual Development Plan
ISM	Integrated Safety Management
ISMP	Integrated Safety Management Plan
ISMS	Integrated Safety Management System
LPSO	Lead Program Secretarial Officer
M&O	Management and Operating
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NNSA	National Nuclear Security Administration
OM	Office Manager
OAMA	Office of Assistant Manager for Administration
OAMOM	Office of Assistant Manager for Operations Management
OAMP	Office of Assistant Manager for Programs
OAMSS	Office of Assistant Manager for Safeguards and Security
OAMTS	Office of Assistant Manager for Technical Services

ORO	Oak Ridge Operations Office
ORPS	Occurrence Reporting and Processing System
ORR	Operational Readiness Review
OSH	Occupational Safety and Health
OSR	Operational Safety Requirements
PAAA	Price-Anderson Amendment Act
PAOM	Performance Assurance Office Manager
PSO	Program Secretarial Officer
QA	Quality Assurance
QAP	Quality Assurance Plan
RA	Readiness Assessment
SDOA	Secretarial Delegation of Authority
S/RID	Standards/Requirements Identification Document
SABM	Senior Authorization Basis Manager
SAR	Safety Analysis Report
SER	Safety Evaluation Report
SME	Subject Matter Expert
SMS	Safety Management System
SNE	Senior Nuclear Engineer
SOM	Site Office Manager
SPM	Senior Projects Manager
TQP	Technical Qualification Program
TSR	Technical Safety Requirement
USQ	Unreviewed Safety Question
WAD	Work Authorization Directive
WBS	Work Breakdown Structure
WSS	Work Smart Standard
YSO	Y-12 Site Office

Attachment 2
Index of Directives and Implementing Organizations and Media

The list below contains relevant directives that are part of the operating commitments for YSO and/or the prime operating contractor for Y-12. These directives are from Headquarters FRAM (DOE M 411.1-1B, 5-22-01), applicable DOE Orders, regulations, and the operating contract for Y-12.

Reference Number	Title	Implementing Media for YSO excluding FRAM	YSO Responsible Organizations as listed in the YSO FRAM
NNSA Policy Letters			
<u>NAP-1 (May 21, 2002)</u>	Establishment of a Policy Letter System for Managing Policy, Directives, and Business Practices within NNSA – YSO	N/A	SOM – A(c) (3)
<u>NAP-2 (May 21, 2002)</u>	Establishment of Line of Succession for the Administrator	N/A	N/A
<u>NAP-3 (July 18, 2002)</u>	NNSA Environmental, Safety, and Health Management Process Guidance		OAMTS –I(c)(6)
<u>NAP-4 (Oct 9, 2002)</u>	Corporate Performance Evaluation Process for Management and Operating Contractors		OAMA
<u>NAP-5 (Oct 16, 2002)</u>	Policy Letter for Standards Management (Note: Replaces DOE P 450.3 for NNSA)		PAOM SOM –A(a)(1), (9)
<u>NAP-6 (Dec 19, 2002)</u>	FEOSH Program for NNSA HQ Employees	N/A	N/A
<u>NAP-7 (Dec 9, 2002)</u>	NNSA's Acquisition and Assistance Policy Guidance	N/A	OAMA
<u>BOP-003.0302 (Jan 10, 2003)</u>	Appointment of Contracting Officer's Representative (COR) for NNSA Management and Operating Contracts		PAOM D(d) OAMP F(g)
BOP-003.0303 (Jan 10, 2003)	NNSA Contracting Authorities		SOM A(a)(10) SOM, OAMA
<u>NAP-8 (Jan 16, 2003)</u>	NNSA Leadership Coalition Charter	N/A	SOM—A(c)(3)
NAP-9 (Jan 24, 2003)	SECON Implementation	TBD	TBD
<u>BOP-003.0304, Rev. 1 (July 03, 2003)</u>	Coordination and Approval Process (CAP) of Contract Actions	TBD	OAMA
*10 CFR 710	Subpart A: General Criteria and Procedures for Determining Eligibility for Access to Classified		AMSS--J b(6), c(1)

	Matter or Special Nuclear Material Subpart B: Criteria and Procedures for Establishment of the Personnel Security Assurance Program and Determinations of an Individual's eligibility for Access to PSAP position		
*10 CFR 820	Procedural Rules for DOE Nuclear Activities	Regulations	OAMOM--G(i)
*10 CFR 830	Nuclear Safety Management	YSO-1.9 YSO-2.0 YSO-5.3 YSO-5.15 YSO-5.20	SABM--C (a)2,5; C(b)1, C(b)2; C(b)3 C(c)3,4,5 C(d)1,2,3 C(e)1; OAMOM-- G(a)5,8,9,10,13, G(g)3 OAMOM--J(d)15 AMA--I(a)3, I(c)4
*10 CFR 835	Occupational Radiation Protection	Regulations	OAMTS-- H(d)1c
*10 CFR 850.10 (c)	Chronic Beryllium Disease Prevention Program		SOM--A(b)(6)
*29 CFR 1910	Occupational Safety and Health Standards	Regulations	OAMTS--H(d)1, (d)19
*29 CFR 1926	Safety and Health Regulations for Construction	Regulations	OAMTS--H(d)1h
48 CFR 970.5204	Clauses to be used in addition to or in place of the contract clauses set forth in FAR Part 52 and DEAR Part 952	Regulations	SOM--A(a)6
DOE O 130.1	Budget Formulation	YSO-1.7 YSO-1.10	AMA--I(b)8
DOE O 135.1	Budget Execution Funds Distribution and Control	YSO-1.10	AMA--I(a)2; I(b)5
DOE M 135.1-1	Budget Execution Manual		AMA--I(a)2; I(b)5
DOE M140.1-1B	Interface with the Defense Nuclear Facilities Board	YSO-5.11	OAMTS--H(g)
DOE N 142.1	Unclassified Foreign Visits and Assignments		AMSS--J
DOE P 142.1	Unclassified Foreign Visits and Assignments		AMSS--J
DOE O 151.1A	Comprehensive Emergency Management System	YSO-1.5	OAMTS--H(d)7
DOE N 205.1	Unclassified Cyber Security Program		AMSS--J
DOE P 205.1	Department Cyber Security Management Policy		AMSS--J
DOE N 205.2	Foreign National Access to DOE Cyber Systems		AMSS--J
DOE N 205.3	Password Generation, Protection, and Use		AMSS--J
DOE N 205.4	Handling Cyber Security Alerts and Advisories and Reporting Cyber Security Incidents		AMSS--J
DOE 210.1	Performance Indicator and Analysis of Operations Information		OAMOM--G(g)1; AMA-- I(a)3
DOE O 224.1	Contractor Performance Based business Management Process		AMA--I(c)
*DOE O 225.1A	Accident Investigation	Service Arrangement	OAMTS-- H(d)8,9,10;

		ORO & YSO	AMA--I(a)3
*DOE O 231.1	Environment, Safety, and Health Reporting	YSO-3.3 YSO-9.2 YSO-9.6	OAMTS--H(b)7,8
*DOE O 232.1A	Occurrence Reporting and Processing of Operations Information	YSO-1.6 YSO-1.9 YSO-3.4	OAMOM--G(c)5; AMA--I(a)3
M 232.1-1A	Occurrence Reporting and Process of Operations Information	YSO-1.6 YSO-1.9 YSO-3.4	OAMOM--G(c)5; 7, 3 SOM--A(a)7,8
DOE O 241.1A	Scientific and Technical Information Management		
ORO O 250	Standards Management	Service Arrangement ORO-YSO	PAOM--D(a), D(d)
DOE P 251.1	Directives System Policy		PAOM--D(a)2;
DOE O 251.1A	Directives System Order	Service Arrangement (ORO O 250) YSO-1.12 YSO-5.1	PAOM--D(a)2;
M 251.1-1A	Directives System Manual	Service Arrangement (ORO O 250) YSO-1.12 YSO-5.1	PAOM--D(a)2;
DOE O 360.1A	Federal Employee Training	YSO-2.1 FR Qualification Standard FR Interim Qualification Std YSO Technical Qualification Std	OAMOM--G(e)2,3
M 360.1A-1	Federal Employee Training	YSO-2.1, Technical Qualification Program	OAMOM--G(e)2,3
DOE P 411.1	Safety Management Functions, Responsibilities and Authorities		OAMTS--H(h)1
M 411.1-1B	Safety Management Functions, Responsibilities, and Authorities		SOM--A(a)6; SABM--C(a), (a)1, (a)5; C(b); C(c)1,2; PAOM-- D(a)1,2,3,4,5; OAMP--F(a); F(e); F(f); OAMOM-- G(a), 9,10; G(b),1,2; G(c),1,3,4,5,6,7,9; G(d), 1,2,3,4,5; G(g)3 OAMTS-- H(a),4,5,6,7,8,9,10; H(d),4,5,6,12;

			H(h),1,2,3; H(i); AMA-- I(a),2,3,5,6,7,8; I(b)1,2,4; I(c)1,3
DOE O 413.1	Management Control Program		AMA--I(b)10
DOE O 413.3	Program and Project Management for the Acquisition of Capital Assets	YSO-6.2 YSO-6.3 YSO-6.4 YSO-6.5 YSO-6.6 YSO-6.8 YSO-6.9	OAMP--F(h)1,3,4;
DOE O 414.1	Quality Assurance	YSO-1.9 YSO-3.0 YSO-3.2 YSO-3.3 YSO-5.1 YSO-9.2	OMB--G(a)5,9
*DOE O 420.1A 5d 5e	Facility Safety	YSO-5.3 YSO-5.9 YSO-5.20	SABM--C(c)3,4; C(e)1; PAOM--D(a)6 OAMTS-- H(d)1b,3a,3b; AMA- -I(a)3,9
DOE O 420.2	Safety of Accelerator Facilities		SABM--C(a)2; C(c)3; AMA--I(a)3
*DOE O 425.1C	Startup and Restart of Nuclear Facilities	YSO-1.6 YSO-5.4 YSO-5.10 YODP-001PD	OAMOM-- G(b)2,3,4,5; G(g)3; J(d)12,13,14;15 AMA--I(a)3
DOE M 426.1-1	Federal Technical Capability Manual	YSO-2.1	OAMOM--G(e)5
*DOE O 430.1A	Life Cycle Asset Management	YSO-1.10 YODP-001PD	OAMP--F(i)1,2; C(c)1; SABM-- C(e)2, OAMP--F(a)3,4; F(b)5; F(e)2; F(f)4; OAMOM--G(h)1; G(f) OAMTS-- H(i)1; AMA--I(c)5; OAMSS-- J(d)1
DOE O 433.1	Maintenance Management Program for DOE Nuclear Facilities		OAMOM--G(f)
DOE O 435.1	Radioactive Waste Management		OAMTS--H(b)15
*DOE O 440.1A	Worker Protection Management for DOE Federal and Contractor Employees	FEOSH	OAMOM--G(a)11, OAMTS-- H(d)1b,d,e,f,h,k,11

DOE O 440.2B	Aviation Management and Safety	Service Arrangement ORO & YSO	OAMTS
<u>P 450.4</u>	Safety Management System Policy		OAMTS-- H(h)2,3,4,5,6
<u>P 450.5</u>	Line Environment, Safety and Health Oversight	YSO-1.6 YSO-1.9 YSO-7.3	OAMTS--H(h)7; AMA--I(c)1,4
P 450.6	Secretarial, Policy Statement Environment, Safety and Health		OAMTS--H(d)9
DOE O 451.1B	National Environmental Policy Act Compliance Program		OAMTS-- H(b)8,9,10,11,12; AMA--I(a)3
*DOE O 460.1A	Packaging and Transportation Safety	Service Arrangement ORO & YSO	SABM--C(f)3; OAMTS--H(e)4,5,7; AMA--I(a)3
*DOE O 460.2	Department Materials Transportation and Packaging Management	Service Arrangement ORO & YSO	SABM--C(f)4:
DOE O 461.1	Packaging and Transfer or Transportation of Materials of National Security Interest	Service Arrangement ORO & YSO	SABM--C(f)2; C(f)4;
DOE O 470.1 (Ch 1)	Integrated Safeguards and Security Management (ISSM) Policy		OAMSS--L (a) 2 2, b.c
DOE P 470.1	Integrated Safeguards and Security Management Policy		AMSS--J
NNSA 470.1	NNSA Procedural Implementation for DOE Order 470.1		AMSS--J
DOE M 470.1-1	Safeguards and Security Awareness Program		AMSS--J
DOE O 470.2B	Independent Oversight and Performance Assurance Program		AMSS--J
DOE O 471.1A	Identification and Protection of Unclassified Controlled Nuclear Information		AMSS--J
DOE M 471.1-1	Identification and Protection of Unclassified Controlled Nuclear Information Manual		AMSS--J
DOE O 471.2A	Information Security Program		AMSS--J
DOE M 471.2-1C	Classified Matter Protection and Control Manual		AMSS--J
DOE M 471.2-2	Classified Information Systems Security Manual		AMSS--J
DOE M 471.2-3A	Special Access Program Policies, Responsibilities, and Procedures Manual		AMSS--J
DOE O 471.3	Reporting of Incidents of Security Concern		AMSS--J
DOE O 472.1B	Personnel Security Activities		OAMSS--J(a)3,4,5,6 J(b)1,2,3,4,5,6 J(c)1,2,3
DOE M 472.1-1B	Personnel Security Program Manual		AMSS--J
DOE O 473.1	Physical Protection Program		AMSS--J

DOE M 473.1-1	Physical Protection Program Manual		AMSS--J
DOE O 473.2	Protective Force Program		AMSS--J
DOE M 473.2-2	Protective Force Program Manual		AMSS--J
DOE N 473.8	Security Conditions		AMSS--J
DOE O 474.1A	Control and Accountability of Nuclear Materials		AMSS--J
DOE M 474.1-1A	Manual for Control and Accountability of Nuclear Materials		AMSS--J
DOE M 474.1-2	Nuclear Materials Management and Safeguards System Reporting and Date Submission		AMSS--J
DOE M 475.1-1A	Identifying Classified Information		AMSS--J
DOE O 481.1(A)	Work for Others (Non-Department of Energy Funded Work)		AMA--I(a)1
DOE O 1270.2B	Safeguards Agreement with the International Atomic Energy Agency		L (2) 11
DOE O 1300.2A	Department of Energy Technical Standards Program (Replaced by DOE O 252.1, Technical Standards Program, 11/19/99)		AMA--I(a)3
DOE O 3792.3	Drug-Free Federal Workplace Testing Implementation Program		AMSS--J
*DOE O 5400.1	General Environmental Protection Program		OAMTS--H(b)6
*DOE O 5400.5	Radiation Protection of the Public and the Environment		OAMTS--H(b)13
*DOE O 5480.19	Conduct of Operations Requirement for DOE Facilities		OAMOM--G(c)4; G(e)1,3; G(i)1
*DOE O 5480.20A	Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities	YSO-1.9 YSO-2.1	OAMOM--G(e)3
*DOE O 5481.1B	Safety Analysis and Review System	YSO-5.20	SABM--C(c) AMA--I(c)4
*DOE O 5610.12	Packaging and Offsite Transportation of Nuclear Components and Special Assemblies Associated with the Nuclear Explosive and Weapons Safety Program		OAMTS--H(e)1
DOE O 5631.2C	Personnel Security Program		AMSS--J
DOE O 5632.1C	Manual for Protection and Control of Safeguards and Security Interests		AMSS--J(a)1
DOE O 5639.8A	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities		AMSS--J
DOE O 5670.1A	Management and Control of Foreign Intelligence		AMSS--J
DOE O 5670.3	Counterintelligence Program		AMSS--J
DOE O 5670.1A	Management and Control of Foreign Intelligence		L (2) 3
*DOE O 430.1A	General Design Criteria (Replaced by 420.1A)		OAMP--F(h)2; OAMP-- F(a)4
STD 1021-93	Natural Phenomena Hazards Performance Categorization Guidelines for Structures Systems and Components		SABM--C(a)3

*STD 1027-92	Hazard Categorization and Accident Analysis Techniques for Compliance with DOE Order 5480.23, Nuclear Safety Analysis Reports	YSO-5.20	SABM--C(a)1, 2;
STD 1063-00	Facility Representative	YSO-1.6	OAMOM--G(c)2,4; G(e)4
STD 3006-00	DOE Standard Planning and Conduct of Operational Readiness Reviews (ORR)	YSO-5.4	OAMOM--G(b)2,5; OAMTS--H(d)12,14
QAP Manual	Quality Assurance Procedure (QAP) Manual	YSO-3.0	OAMOM--G(a)1,2,7
QC-1	Quality Criteria		OAMOM--G(a)4,6
QAS-1.0,2.0,3.0,4.0	Quality Assurance Surveys		OAMOM--G(a)1
N/A	HEU Purchase Agreement between the United States and the Russian Federation, February 1993	MOU between US and Russia Federation concerning the Agreement, September 1993	SNE--F(1)
DNFSB 93-3	Improving DOE Technical Capability in Defense Nuclear Facilities	YSO-2.1	OAMOM--G(e)2
N/A	Service Arrangement Between ORO and YSO		PAOM-D(2)2 OAMTS-H(2)3.4 AMA-I(d)(e)
DOE Implementation Plan for DNFSB 2002-1	Quality Assurance for Safety Related Software (Commitment 4.1.3, 4.1.4, 4.1.6)		OAMOM- G(a)6

Note: Items in the reference column are asterisked (*) to indicate that they are also contained in the prime operating contract for Y-12 at the time of this document update.

Attachment 3

LIST OF DELEGATED AUTHORITIES**Table 3.1**

Delegation of Authority	Assigned Person
1. Classified Foreign Visits and Assignments Approval Authority	Richard Green/Ken Ivey
2. Designated Accrediting Authority	William Watson Mary Helen Hitson
3. Facility Clearance Operation Manager	Richard Green
4. Foreign Ownership, Control, or Influence Manager	Per ORO Service Arrangement
5. Facility Survey Operations Manager	Ken Ivey Richard Green (Alternate)
6. Safeguards and Security Awareness Coordinator	Caryl Milton
7. Inquiry Official	Mary Helen Hitson
8. Classification Officer (YSO nominates, HQ approves)	Per NNSA Service Center Arrangement
9. Facility Security Officer	Ken Ivey
10. Facility Special Access Program Manager	Mary Helen Hitson
11. Computer Security Operations Manager	Bill Watson
12. Operational Security Program Manager	Patrick Belland
13. Technical Security Countermeasures Operations Manager	Patrick Belland
14. Special Access Program Security Coordinator	Mary Helen Hitson Patrick Belland (Alternate)
15. Classified Matter Protection and Control Operations Manager	Caryl Milton
16. Top Secret Control Officer	Mary Helen Hitson
17. TEMPEST Coordinator	Patrick Belland
18. COMSEC Control Officer	Patrick Belland

The above assigned responsibilities and authorities have been approved by the Assistant Manager for Safeguards and Security and/or the Y-12 Site Manager as part of the approval process for this revision to the FRAM. Approval signatures are recorded on the approval page for this FRAM.

These delegations can be superseded or updated when necessary by an individual letter of delegation of authority or by the next revision to this document.

Table 3.2

Delegation of Authority	Assigned Person
1. Safety Software Quality Assurance Position	Sherry Hardgrave

The above assigned responsibilities and authorities have been approved by the Assistant Manager for Operations Management and/or the Y-12 Site Manager as part of the approval process for this revision to the FRAM. Approval signatures are recorded on the approval page for this FRAM.

These delegations can be superceded or updated when necessary by an individual letter of delegation of authority or by the next revision to this document.

SEPARATION

PAGE



Department of Energy
National Nuclear Security Administration
 Washington, DC 20585
 June 4, 2004

MEMORANDUM FOR MANAGER, PANTEX SITE OFFICE

FROM

Everet H Beckner *Everet Beckner*
 Deputy Administrator
 for Defense Programs

SUBJECT

**ACTION: APPROVAL OF THE PANTEX SITE OFFICE
 (PXSO) FUNCTIONS, RESPONSIBILITIES AND
 AUTHORITIES MANUAL (FRAM)**

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached PXSO FRAM, dated February 18, 2004. Our review has determined that the PXSO FRAM covers all needed functions, responsibilities and authorities required by the NNSA FRAM. Also, the Site Office responsibilities and authorities for quality assurance and software quality assurance have been adequately covered in Section 5E for meeting the requirements of Action 1.4.4 of the Quality Assurance Improvement Plan and Commitment 4.1.6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-1.

Our review of the flowdown/crosswalk of NNSA FRAM Section 3.8 to PXSO FRAM and Procedures indicates that a few of the needed implementing procedures are yet to be developed. You are requested to develop them in a timely manner.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the PXSO FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the Site Office FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment
 L Brooks, NA-1
 T Przybylek, NA-2



**U.S. DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION**



2004 02 18 09:53

PANTEX SITE OFFICE

PROCEDURE NUMBER: 103.4.0

REVISION: 3

TITLE: Functions, Responsibilities and Authorities Manual (FRAM)

APPROVED: *Daniel Glenn* **DATE:** 2/18/04
Manager

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REVISION LOG

Revision Number	Affected Page(s)	Date	Reason for Revision
1	2,3,15	December 20, 1999	Changes are made to this procedure to reflect delegations of authority.
2	3,15,17,21,25,30,33,38,45,46,47,48,50,55,59,60,61,63,64,66,67,69	May 24, 2000	To address Opportunities for Improvement identified during the 2000 Integrated Safety Management Verification.
3	All	January 31, 2004	Update to reflect changes to DOE Manual 411.1-1C, DOE Notice 411.1, the NNSA FRAM, and changes to the PXSO organization.

COMMITMENT/REQUIREMENT LOG

Commitment/ Requirement Number	Procedure Section	Source of Commitment/Requirement
1	All	DOE Policy 411.1, "Safety Management Functions, Responsibilities, and Authorities Policy," January 28, 1997.
2		DOE Manual 411.1-1B, "Safety Management Functions, Responsibilities, and Authorities Manual," May 22, 2001.
3	5	<p>DOE Manual 411.1-1C, "Safety Management Functions, Responsibilities, and Authorities Manual," December 31, 2003.</p> <p>DOE Notice 411.1, "Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities," August 27, 2003.</p> <p>NNSA "Safety Management Functions, Responsibilities, and Authorities Policy (NNSA FRAM)," October 15, 2003.</p>

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1. PURPOSE

The purpose of this document is to clearly define Pantex Site Office functions, responsibilities and authorities. The Pantex Site Office (PXSO) Manager is responsible for administering the Management and Operating (M&O) contract for the Pantex Plant and ensuring day-to-day operations are conducted in a safe, secure and environmentally sound manner. This document describes how the PXSO implements integrated safety management and quality assurance elements into a safety management approach to managing mission work, including the work associated with maintaining a safe, secure, and reliable nuclear weapons stockpile.

Within the Department of Energy/National Nuclear Security Administration (DOE/NNSA) and the PXSO, the safety management functions, responsibilities and authorities are founded upon the principles and functions of integrated safety management to accomplish NNSA mission requirements. This document addresses the two guiding principles of safety management: 1) line managers are responsible for the protection of employees, the public, and the environment; and 2) DOE/NNSA and its contractors must clearly define and maintain the lines of responsibility for ensuring protection of the environment, safety and health at all organizational levels.

This document also incorporates all pertinent DOE and NNSA functions, responsibilities and authorities (FRAs). It describes the PXSO organization and its line management, other office FRAs, and clearly identifies any authority that has been transferred to or from other organizations.

2. SCOPE

This document applies to all PXSO personnel responsible for the overall direction, program support, and oversight of work at Pantex.

3. REFERENCES

References are listed in Attachment 1.

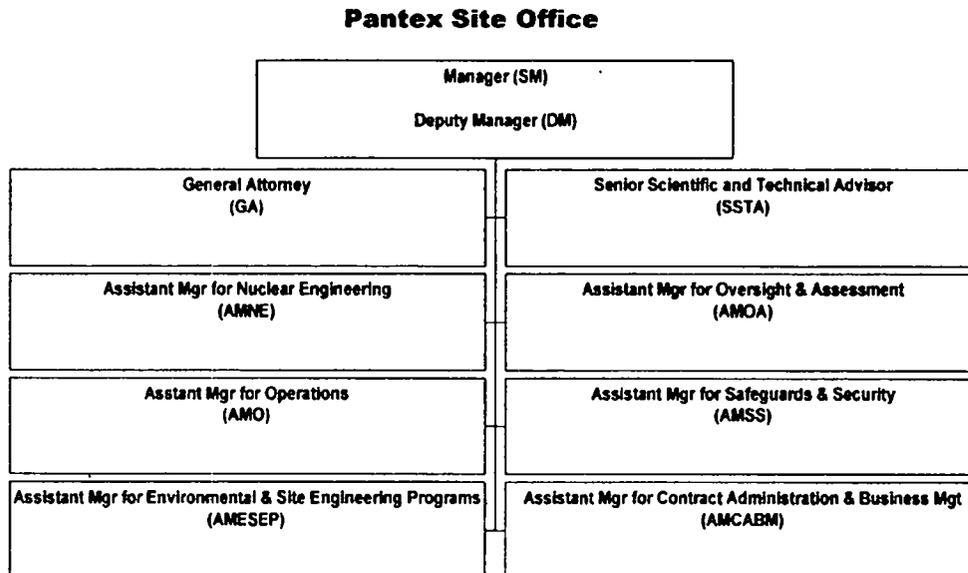
4. DEFINITIONS and ACRONYMS

Definitions are listed in Attachment 2 and Acronyms in Attachment 3.

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5. FUNCTIONS, RESPONSIBILITIES AND AUTHORITIES

The Pantex Site Office (PXSO) Manager directs and manages a staff of senior management personnel comprised of the Deputy Manager, General Attorney, Senior Scientific and Technical Advisor, and six Assistant Managers.



a. Manager.

The National Nuclear Security Administration (NNSA) Headquarters' line interface with the Pantex Site Office is the Site Office Manager (hereafter referred to as the Manager). This interface takes place for program and Environmental, Safety & Health matters through the appropriate Deputy Administrator and, for all matters as deemed necessary or required, with the Office of the Administrator and specifically the Principal Deputy Administrator and the Chief Operating Officer. [NNSA FRAM 3.0]

- (1) The Manager (SM) is responsible for administering assigned prime and related subcontract operations for the contractor's fulfillment of mission requirements pertaining to weapons assembly and disassembly operations

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and nuclear material disposition and staging operations, and the overall appraisal of contractor performance within this structure. This is included (but is not limited to) integrating safety into all activities, assuring compliance with environmental protection policies, acceptance and establishment of quality standards, performance to schedule, compliance with financial plans, budget and cost control, economy of management for procurement, maintenance and physical economy and other support functions.

- (2) The SM is responsible for directing a staff to include all activities of the Pantex Site Office in primary functional categories such as budget and cost control, personnel, procurement procedures, security, safety and fire protection, quality assurance, engineering design, and public relations unique to the community of Amarillo, Texas.
- (3) The SM provides program management and leadership for the implementation of Integrated Safety management requirements on all nuclear weapon and nuclear material activities for both the facilities and operations to include risk management, conduct of operations, systems engineering, configuration management, and conduct of maintenance.
- (4) The SM provides program management for assigned weapon activities; participates in quality evaluations, safety evaluations, and nuclear explosive safety studies; conducts quality surveys to ensure assembled weapons meet Design Agency specifications; and monitors contractor assembly and disassembly operations to ensure adherence to approved procedures.
- (5) The SM has the authority for day-to-day execution of the safety management program at the Pantex Plant. [NNSA FRAM V.G]
 - (a) Approve the safety envelope, within which all work done at Pantex must be performed. (Implement Controls) [NNSA FRAM 3.0]
 - (b) Exercise shut down authority when there is a clear and present danger, or when necessary in accordance with DOE Order 425.1B, AL 425.1B and PXSO Procedure 115.1.0. (Perform Work) [NNSA FRAM 3.0]

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- (c) Exercise restart authority for Category 2 & 3 Defense Program (DP) nuclear and High Hazard non-nuclear facilities, startup authority for new Hazard Category 3 DP nuclear and High Hazard non-nuclear facilities (including accelerators), and start/restart authority for EM field activities. [Memo on "Clarification of Roles and Responsibilities in Critical Function Areas," Linton Brooks, January 2, 2003]
- (d) Act as Emergency Manager at the Pantex Plant during an emergency. This includes authority to: [DOE Order 151.1A and Memo on "Clarification of Roles and Responsibilities in Critical Function Areas," Linton Brooks, January 2, 2003]
 - 1) Coordinate with local, state and federal emergency response agencies
 - 2) Establish Emergency Response organization, including designation of Emergency Manager
 - 3) Approve and submit Emergency Plans/Hazard Assessments
 - 4) Approve and submit Emergency Planning Zones
 - 5) Approve and submit Emergency Readiness Assurance Plans and pre-designate the DOE On-Scene Coordinator
- (6) As Contracting Officer: [NNSA FRAM 3.8]
 - (a) Negotiate with each contractor, in consultation with the Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the contract. (Define Scope of Work)
 - (b) Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for the mission including safety requirements. (Define Scope of Work/Perform Work)
 - (c) Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures. (Perform Work/Feedback and Improvement)

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- (d) Determine the need for team review of the M&O Contractor's safety management system and revisions thereto. (Perform Work)
- (e) Approve safety management systems and revisions thereto (48 CFR 970). (Perform Work)
- (f) Incorporate approved Standards into contract requirements. (Implement Controls)
- (g) Prepare budget execution documents in accordance with the NNSA Planning, Programming, Budgeting and Evaluation (PPBE) process to allocate resources to contractors. (Perform Work)
- (h) Determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date. (Identify and Implement Controls/Perform Work)
- (i) Ensure that a documented Price Anderson Amendment Act (PAAA) coordination process exists in accordance with NNSA policies and procedures, including a process for tracing and verification of closure of contractor corrective actions. (Perform Work)

b. Office of the Manager.

The Office of the Manager is comprised of the Deputy Manager, Senior Scientific and Technical Advisor, and General Attorney. Functions, Responsibilities and Authorities (FRAs) common to most of the Office of the Manager are:

- (1) Provide full cooperation with the Defense Nuclear Facilities Safety Board (DNFSB), including ready access to NNSA facilities, personnel, and information; provide responses to DNFSB recommendations and requests per DOE Manual 140.1-1B, "Interface with the Defense Nuclear Facilities Safety Board." (Define Scope of Work) [NNSA Functions, Responsibilities and Authorities Manual (FRAM) 3.0]

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- (2) Assist in the development/review of guidance documents that promulgate expectations for Pantex activities and performance (including Rules, NNSA and DOE Policies, Orders, Notices, Manuals, Guides, and Technical Standards). (Define Scope of Work) [NNSA FRAM 3.8]

- (3) Prepare the PXSO FRAM, submit for approval by the Deputy Administrator – Defense Programs (NA-10), and implement functions, responsibilities and authorities documents for PXSO that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Ensure that the FRAs for operation and maintenance of all Pantex facilities are clearly defined, appropriately assigned, and executed. Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following PXSO organizational changes (Deputy Administrator approval is only needed for significant PXSO FRAM changes). (Define Scope of Work) [NNSA FRAM 3.8]

- Ensure PXSO activities are aligned with the NNSA organization structure and Service Level Agreements. [Operational Plan]

- (4) Review and support development of expected performance objectives and related Deputy Administrator goals and priorities. (Define Scope of Work) [NNSA FRAM 3.8]

- (5) Ensure that hazard surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE Order 151.1A, *Comprehensive Emergency Management System*. Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate. (Analyze Hazards) [NNSA FRAM 3.8]

- (6) Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation. (Implement Controls) [NNSA FRAM 3.8]

- (7) Review and provide recommendations to the Deputy Administrator on requests for exemptions to 10 CFR Parts 830 and 835. If necessary, pursue exemptions from DOE requirements, local, state, or other federal agencies. Coordinate with the contractor and Deputy Administrator.

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(Implement Controls) [NNSA FRAM 3.8]

- (8) Determine the appropriate level of readiness necessary for the startup on non-nuclear facilities; ensure that it has been attained; and exercise all startup authority. (Confirm Readiness) [NNSA FRAM 3.8]
- (9) Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE Order 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator. Headquarters retains startup authority for new Category 2 nuclear facilities. (Confirm Readiness) [NNSA FRAM 3.8]
- (10) Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements. (Perform Work) [NNSA FRAM 3.8]
- (11) If delegated, approve Corrective Action Plans (CAPs) within 60 calendar days [for Office of Independent Oversight and Performance Assurance (OA) evaluations, approve CAPs within 30 calendar days] of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately. (Feedback and Improvement) [NNSA FRAM 3.8]
- (12) Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised. (Feedback and Improvement) [NNSA FRAM 3.8]

Conduct Independent evaluations of emergency drills and exercises, and ensure timely and appropriate corrective actions are developed and implemented for issues resulting from the drills and exercises. (Feedback and Improvement) [PXSO Operational Plan]

- (13) Participate in Change Control Boards. (Define Scope of Work) [DOE Policy 450.4]

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Deputy Manager.

The Deputy Manager (DM) assists the Manager in managing the Pantex Site Office. The DM has the authority to act for the Manager when the Manager is not present or has delegated his or her responsibilities to the DM.

The Deputy Manager (DM) has the following specific FRAs, in addition to the applicable duties listed under the Office of the Manager.

- (1) Represent the Site Office:
 - (a) DOE/NNSA/PXSO and M&O Contractor meetings
 - (b) Department Standards Committee
 - (c) Work Authorization Directive and Work Authorization Control Change Control Board (Chair)
- (2) Facilitate Emergency Management planning, training and exercises. [DOE Order 151.1B]
- (3) Develop the PXSO Operational Plan and associated performance indicators. (Feedback and Improvement)
- (4) Supervise and provide oversight of the following programs:
 - (a) Public Affairs
 - (b) Community Outreach
 - (c) Employee Concerns, including Whistle Blower reports. [DOE Order 442.1A and 48 CFR]
- (5) Serve as a PXSO Contracting Officer in administration of the M&O Contract.
- (6) Facilitate administration of business and financial functions.

General Attorney.

The General Attorney reports to the Manager on programmatic, administrative, and functional matters and the NNSA General Counsel on matters of law and

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legal policy. The Attorney provides legal advice and assistance to the Manager and Staff, and is responsible for and represents DOE/NNSA in all matters of law and legal policy related to the functions of the PXSO.

- (1) Review and concur on Environmental Assessments ("Findings Of No Significant Interest") and Environmental Impact Statements. (Analyze Hazards/Feedback and Improvement) [DOE Order 450.1A, 451.1A]
- (2) Provide contract oversight and legal direction to the M&O Contractor legal personnel. (Define Scope of Work/Feedback and Improvement) [DOE Order 430.1B]

Senior Scientific and Technical Advisor.

Responsible for technical and scientific assistance, readiness assessments, and serves as the primary Defense Nuclear Facilities Safety Board (DNFSB) contact at PXSO.

The Senior Scientific and Technical Advisor (SSTA) has the following specific FRAs, in addition to the applicable duties listed under the Office of the Manager.

- (1) Serves as the Senior Principal Contact and Primary Action Person for matters relating to the DNFSB and other high-level advisory organizations regarding Pantex Plant. The SSTA manages, tracks, and integrates DNFSB issue resolution for PXSO. (Perform Work) [DOE Manual 140.1-1B]
- (2) Manage the PXSO Readiness Review program for PXSO. (Perform Work) [DOE Order 420.2A, 425.1C, AL 425.1B]

c. Assistant Managers.

The following FRAs are common, in general, to the Assistant Managers (AM):

- (1) Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements. (Provide Direction) [NNSA FRAM 3.8]

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- (2) Provide oversight to ensure that contractor employees maintaining and operating Pantex facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements. (Provide Direction) [NNSA FRAM 3.8]

AMs will administer and implement the functions of the Line Oversight Plan that falls under their purview. [Operational Plan]

- (3) Continuously improve the efficiency and quality of operations; ensure that corrective actions are planned, prioritized, and pursued to completion and adequately correct the root causes of the conditions that prompted them; ensure that information from various feedback sources is evaluated in an integrated manner and implement and participate in DOE/NNSA lessons learned programs to improve internal organizational lessons learned processes, and enhance NNSA/DOE-wide sharing of lessons learned. Integrate sharing of lessons learned with contractor programs to maximize lessons learned exchange. (Provide Direction) [NNSA FRAM 3.0]

Provide Feedback and Continuous Improvement: [DEAR 970.5204-2, 10 CFR 830.120, DOE Order 414.1A and DOE Policy 450.4]

- (a) Review, evaluate, and report on contractor performance.
- (b) Prepare and recommend Performance Evaluation Report/ Performance Evaluation Plan (PER/PEP) input to the Contracting Officer for responsible facilities, activities and/or programs.
- (c) Review the technical adequacy and translation into line work processes of changes.
- (d) Perform self-assessments.
- (4) Develop work plans (including scope, schedule and funding allocations) for each fiscal year. These plans should reflect mission assignments to the field and by facilities, projects, and programs. (Define Scope of Work) [NNSA FRAM 3.8]

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For the Programming, Planning, Budget and Evaluation (PPBE) process:
 [Directed Stockpile Work Implementation Plan FY2004-FY2005, Rev 1.1,
 dated December, 2003]

- (a) Monitor the M&O Contractor Fiscal Year preplanning activities.
 - (b) Review and concur with allocation of Plant-wide resources through fiscal out years.
 - (c) Address concerns/provide comments on preliminary plans/budget.
 - (d) Review and concur with Priority Decrement List presented by M&O Contractor.
 - (e) Review and concur with M&O Contractor final budget submission to PXSO prior to submittal to HQ, includes concurring with Requirements Over Target.
- (5) Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates. Monitor contractor performance to assess whether performance expectations have been met. (Define Scope of Work) [NNSA FRAM 3.8]
 - (6) Perform management assessments of contractors to evaluate their success in doing work safely. (Feedback and Improvement) [NNSA FRAM 3.8]
 - (7) Recommend Stop Work in the event the M&O Contractor fails to provide a resolution of a non-compliance with applicable ES&H requirements and the safety management system, or if, at any time, the Contractor's acts or failure to act causes substantial harm or an imminent danger to the environment or health and safety of employees or the public. (Feedback and Improvement) [U.S. DOE Contract No. DE-AC04-00AL66620]
 - (8) Review and comment on proposed regulations, orders, directives and standards. Provide comments to HQ, as requested. Incorporate new regulations, orders and directives into contracts as necessary. (Develop and Implement Controls) [DOE Order 251.1A, DOE Manual 251.1-1A, DOE Policy 251.1, Public Law 104-113, OMB A-119]

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- (9) Provide input for corrective action plans.
- (10) Support development of the Contractor Performance Assessment Plan (CPAP). (Feedback and Improvement) [DOE Order 225.1A, DOE Order 460.1B, DOE Order 5480.19, DOE Policy 450.5, 10 CFR 830.203 & DOE Guide 424.1-1]
- (11) Develop contractual performance measures and criteria, evaluate contractors' performance, and provide input on the M&O Contractor's performance for Award Fee purposes. (Feedback and Improvement) [DOE Order 430.1B]
- (12) Participate in development of the Operational Plan. (Feedback and Improvement) [DOE Order 231.1A]
- (13) Oversee contractors' performance indicator programs. (Feedback and Improvement) [DOE Order 452.2B]
- (14) Provide Work Authorization input for responsible facilities, activities and/or programs. (Develop and Implement Controls) [DOE]
- (15) Participate on committees and change control boards, as assigned. (Define Scope of Work/Feedback and Improvement) [DOE Policy 450.4]
- (16) Change Control Process: [U.S. DOE Contract No. DE-AC04-00AL66620]
 - (a) Receive Change Control Requests (CCRs) submitted by M&O Contractor.
 - (b) Review CCRs to collect and evaluate facts.
 - (c) Coordinate with appropriate NNSA HQ.
 - (d) Resolve any M&O Contractor Work Authorization delivery issues by coordinating with appropriate NNSA HQ, other Site Offices and/or appropriate CORs.
 - (e) Recommend approval/disapproval to CO for M&O Contractor requested changes.

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- (17) Track, coordinate and close assigned issues associated with DNFSB recommendations. [42 U.S.C. p 2286a(a)(5), Atomic Energy Act of 1954, as amended.]

d. Assistant Manager for Nuclear Engineering.

The Assistant Manager for Nuclear Engineering (AMNE) acts as the Contracting Officer's Representative in all matters relating to authorization basis, nuclear explosives and criticality safety, and system, fire protection and weapon mechanical/electrical engineering. In addition to the applicable duties listed under the Assistant Managers, directs and performs supervisory, oversight, and contract administration activities.

(1) Authorization Basis:

- (a) Provide Authorization Basis (AB) guidance and technical interpretations for consistent PXSO implementation. (Provide Direction) [10 CFR 830]
- (b) Review and approve annual updates to the site AB. (Provide Direction) [10 CFR 830]
- (c) Ensure that the hazard analyses for Hazard Category 1, 2 and 3 nuclear facilities meet the requirements of 10 CFR 830. (Analyze Hazards) [NNSA FRAM 3.8]
- (d) Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls. (Analyze Hazards) [NNSA FRAM 3.8]
- (e) Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems). (Identify Controls) [NNSA FRAM 3.8]
- (f) Approve the nuclear safety design criteria selected for the preliminary Documented Safety Analyses (DSAs) for Hazard

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Category 1, 2 and 3 nuclear facilities if they are not consistent with DOE Order 420.1, *Facility Safety*, as required by 10 CFR 830. (Analyze Hazards) [NNSA FRAM 3.8]

Provide support to AMESEP on new facility construction.

- (g) Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830. (Analyze Hazards) [NNSA FRAM 3.8]
- (h) Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards, and provide this documentation to the Deputy Administrator for information. (Identify Controls) [NNSA FRAM 3.8]
- (i) Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2 and 3 nuclear facilities and Important to Safety controls). Review the adequacy of the controls and their documentation. (Implement Controls) [NNSA FRAM 3.8]

Accomplish AB document reviews in accordance with 10 CFR 830 and SS-21 requirements and schedules. [Operational Plan]

- (j) Direct the contractor to prepare, and review and approve, the following: Radiological Protection Plans, Unreviewed Safety Question (USQ) procedures, preliminary DSAs and DSAs for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830 and 835. (Implement Controls) [NNSA FRAM 3.8]
- (k) Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used. (Implement Controls) [NNSA FRAM 3.8]
- (l) For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis and prepare a safety

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evaluation report. (Implement Controls) [NNSA FRAM 3.8]

Develop SER per DOE-STD-1104-96 (recommend approval for newly developed AB).

- (m) Provide line management oversight and ensure the implementation of hazards mitigation programs and controls. Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements. (Implement Controls) [NNSA FRAM 3.8]
 - 1) Review and approve the M&O Contractor's USQ program [10CFR830]
 - 2) Review and concur on Positive USQ Determinations (USQD) for Nuclear Explosive and Nuclear Material Facilities (Analyze Hazards) [10CFR830]
 - 3) Monitor/assess USQ identification, review, and the decision-making process (Feedback and Improvement) [10CFR830]

- (2) Nuclear Explosives Safety:
 - (a) Conduct assessments of the contractor's Nuclear Explosive Safety (NES) program. (Feedback and Improvement) [DOE Order 452.1B]
 - (b) Evaluate the contractor's self-assessment reports for on-going weapon operations that may reveal NES program issues, and capture those reports that may reveal key weaknesses in the contractor's NES program. (Feedback and Improvement) [DOE Order 452.1B]
 - (c) Provide oversight and processing of nuclear explosive safety non-trivial NES change control per the D & P Manual Chapter 11.7. (Implement Controls/Feedback and Improvement) [10 CFR 830 Subpart B, DOE Order 452.2B, AL 452.2B, D & P Manual Chapter 11.7]

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- (d) Participate on Nuclear Explosive Safety Study Group (NESSG), Joint NES Review Teams, NES Tester Evaluations (NESTES) and Operational Safety reviews. (Analyze Hazards/Feedback and Improvement) [DOE Order 452.2B and AL 452.2B]
 - (e) Validate pre- and post-start closure actions for NES Study (NESS) findings. (Feedback and Improvement) [DOE Order 452.2B]
 - (f) Monitor Occurrence Reports for nuclear explosive safety issues. (Perform Work) [DOE Order 231.1A and DOE Order 452.2B, AL 452.2B]
 - (g) Approve Master Equipment List equipment and procedures. (Perform Work) [DOE Order 452.2B, AL 452.2B]
 - (h) Conduct safety reviews of Personnel Assurance Program/Human Reliability Program certification issues. (Analyze Hazards) [10 CFR 711]
- (3) Nuclear Criticality Safety: [DOE Order 420.1A]
- (a) Oversee the M&O Contractor's criticality safety program. (Define Scope of Work)
 - (b) Verify implementation of the M&O Contractor's Nuclear Criticality Safety Assessment Report. (Feedback and Improvement)
- (4) System Engineering:
- (a) Provide oversight of the M&O Contractor's System Engineering Program. (Implement Controls/Feedback and Improvement) [DOE Order 420.1A]
 - (b) Approve the M&O Contractor's Technical Safety Requirement (TSR) Implementation Plan for new (excluding Cat 2 Nuclear Explosive) or existing facilities and subsequent plan changes. (Identify/Implement Controls) [DOE Guide 423.1-1]

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- (c) Conduct line oversight of safety management systems to ensure effective implementation and maintenance. (Define Scope of Work) [NNSA FRAM 3.8]
 - 1) Provide core expertise for Systems, Structures and Components operation, maintenance and design (e.g., Systems Engineering).
 - 2) Provide support for identification of pertinent general design criteria for the design of new safety systems or modifications to existing safety systems, including Natural Phenomena Hazards mitigation. (Implement Controls/Perform Work) [DOE Order 420.1A]
 - (d) Evaluate Safety System and associated component functionality and reliability. (Perform Work) [DOE Order 420.1A]
 - 1) Review application of systems and components to prevent or mitigate the hazards that may be present in nuclear facilities or from equipment or components that may come in contact with nuclear explosives or nuclear material.
 - 2) Evaluate system deficiencies and operational problems for operability considerations. Recommend course of action for correcting.
 - (e) Provide core expertise and oversight of the M&O Contractor's Fire Protection activities. (Define Scope of Work/Feedback and Improvement) [DOE Order 420.1A and 440.1A]
 - 1) Plan, coordinate, and direct assessments of the Fire Protection Program implementation and maintenance. (Feedback and Improvement)
 - 2) Coordinate, develop and implement reviews of Safety Documentation for new and existing facilities dealing with Fire Protection Safety. (Feedback and Improvement)
- (5) Readiness Review input:

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- (a) Develop readiness review Plan of Action for applicable facilities/activities/programs. (Perform Work) [DOE Order 425.1C, STD 3006-2000]
 - (b) Provide readiness review closure verification of pre/post start findings for applicable facilities/activities/programs. (Perform Work) [DOE Order 425.1C]
 - (c) Review and concur on start or restart of existing facilities/activities/programs. (Perform Work) [DOE Order 420.2A, DOE Order 425.1C, AL 425.1B]
- e. Assistant Manager for Oversight and Assessment.

The Assistant Manager for Oversight and Assessment (AMOA) acts as the Contracting Officer's Representative in all matters relating to the facility representative program, occupational safety and health, Price Anderson Accountability Act, conduct of operations, assessment program, operations quality assurance, safety software quality assurance, and weapons and operations quality. In addition to the applicable duties listed under the Assistant Managers, directs and performs supervisory, oversight, and contract administration activities.

- (1) Review and provide input to the Federal Technical Capability Program (FTCP) with guidance developed by the Principal and Deputy Administrators to ensure the NNSA Federal technical employees responsible for oversight at Pantex are trained to perform their duties safely and efficiently. [Note: This responsibility is shared with HQ and the Albuquerque Service Center.] (Provide Direction) [NNSA FRAM 3.0 & 3.8]
- Serve as the FTCP Agent for PXSO. (Define Scope of Work/Perform Work) [DOE Policy 426.1 and DOE Manual 426.1-1A]
- (2) Assess PXSO to identify areas in which continuous improvement in the safety of NNSA operations can be realized. Assign responsibility within PXSO for establishing criteria for such assessments and for conducting them. (Provide Direction) [NNSA FRAM 3.0]

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Assist in the development of implementing requirements for rules and follow protocol for Price Anderson Act Amendment. (Develop and Implement Controls) [10 CFR 820, STD-1082-94, STD-1083-95]

Coordinate the development and oversee the implementation of the PXSO Self-Assessment program. (Provide Direction) [10 CFR 830.120 and DOE Policy 450.5]

- (3) Examine the findings of both internal and external assessments conducted by competent authority of PXSO to identify root causes, trends, and necessary corrective actions within the responsibility of PXSO. [Note: This responsibility is shared with HQ and the NNSA Service Center.] (Provide Direction) [NNSA FRAM 3.0]
- (4) Authorize Integrated Safety Management System (ISMS) verifications to ensure ISMS is implemented and maintained at Pantex facilities. (Define Scope of Work) [NNSA FRAM 3.8]

Integrated Safety Management System implementation:

- (a) Provide or review ISMS guidance for contractors. (Define Scope of Work) [DOE Policy 450.4]
- (b) Review and comment on Site ISMS Description and Implementation plans. (Define Scope of Work) [DOE Policy 450.4]

Approve annual updates to ISM System Descriptions. [Define Scope of Work] [Memo on "Clarification of Roles and Responsibilities in Critical Function Areas," Linton Brooks, January 2, 2003]

- (c) Comment on ISMS Review Scoping Plan and participate on team as required (Phase 1 and 2). (Develop and Implement Controls) [DOE Policy 450.4]
- (d) Comment on ISMS Review Plan (Phase 1 and 2) and conduct review. (Feedback and Improvement) [DOE Policy 450.4]
- (e) Manage PXSO ISM Verification Program. (Feedback and

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- Improvement) [DOE Policy 450.4]
- (f) Recommend approval of ISM Program review results (Phase 1 and 2) and ISMS Description, as applicable. (Feedback and Improvement) [DOE Policy 450.4]
 - (g) Oversee the Standards and Requirements Identification Document (S/RID) program. (Perform Work)
 - (h) Coordinate incorporation of ES&H directives into contracts, verify their implementation, and notify the Office of Primary Interest of the new directives. (Develop and Implement Controls) [DOE Policy 251.1 and DOE Policy 450.2A, DOE Order 251.1A, DOE Manual 251.1-1A]
 - (i) Review the ISM process and develop Criteria and Review Approach Documents (CRADs). (Develop and Implement Controls) [10 CFR 820, STD-1083-95]
 - (j) Review and concur on exemptions from 10 CFR Parts 835. (Develop and Implement Controls) [10 CFR 820 and 835]
 - (k) Review and concur on the Radiation Protection program (RPP) for the 10 CFR 835 rule. (Develop and Implement Controls) [10 CFR 835, DOE Policy 441.1, DOE Guide 441.1-1A]
- (5) Coordinate the development and oversee the implementation of the PXSO Line Oversight Plan. [Operational Plan]
 - (6) Ensure that the M&O Contractor describes, documents, implements, and maintains its safety management systems. (Define Scope of Work) [NNSA FRAM 3.8]
 - (7) Ensure that all Hazard Category 3 nuclear facilities have an up-to-date Authorization Agreement. (Implement Controls) [NNSA FRAM 3.8]
 - (8) Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA PXSO employees. (Confirm Readiness) [NNSA FRAM 3.8; also see NAP-6]

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- (a) Ensure OSH Worker Protection by implementing a PXSO Stop Work procedure. (Perform Work) [DOE Order 440.1A]
- (b) Provide engineering support for resolution of division, facility, and operational ES&H issues. (Perform Work)
- (c) Provide core expertise for:
 - 1) ES&H Management Systems (e.g., Performance Assessment, Performance Measures, Conduct of Operations, Readiness Reviews, and Facility Representative Program) (Perform Work)
 - 2) Occupational Safety (Perform Work) [DOE Order 440.1A]
 - 3) Occupational Medicine (Perform Work) [DOE Order 440.1A, DOE Guide 440.1-4]
 - 4) Industrial Hygiene (Perform Work) [DOE Order 440.1A]
 - 5) Chemical Safety (Perform Work) [29 CFR 1910]
 - 6) Firearms Safety (Perform Work) [DOE Order 440.1A]
 - 7) Process Safety Management (Perform Work) [29 CFR 1910]
- (d) Review and approve ES&H requirements to be included in the contracts. (Identify Controls) [NNSA FRAM 3.8]

Perform ES&H reporting per DOE Order 231.1A. (Feedback and Improvement) [DOE Order 231.1 A]

Assist in performance of ES&H Management Systems appraisal and approval of report. (Feedback and Improvement) [DOE Policy 450.5]
- (e) Oversee implementation of contractors' Lessons Learned program. (Define Scope of Work) [DOE Order 225.1A, 231.1A, 460.1B, STD 7501-99, HDBK 7502-95]
- (f) Approve the Voluntary Protection Program (VPP). (Review and Implement Controls)
- (g) Ensure implementation of Corrective Action Plans (CAP) and

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assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed. (Feedback and Improvement) [NNSA FRAM 3.8]

Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP. (Feedback and Improvement) [NNSA FRAM 3.8]

- (h) Conduct all activities associated with Type B Accident Investigations. (Feedback and Improvement) [DOE Order 225.1A and Memo on "Clarification of Roles and Responsibilities in Critical Function Areas," Linton Brooks, January 2, 2003]

Review and concur on Corrective Action Plans from Type A and B accident investigations. (Feedback and Improvement) [DOE Order 225.1A, DOE Policy 450.6]

Develop and approve Accident Investigation Reports. (Feedback and Improvement) [DOE Order 225.1A]

- (9) Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives. (Perform Work) [NNSA FRAM 3.8]

Manage the DOE/NNSA Facility Representative (FR) program, including Conduct of Operations. [DOE Order 360.1B & DOE Manual 360.1-1B, DOE Order 5480.19, DOE-STD-1063-2000, DOE-EM-STD-5505-96]

- (10) Responsible for ISO 9000 program and compliance.
- (11) Review and approve contractors' Quality Assurance Programs (QAPs), and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractors' safety management program. Ensure that contractors implement QAPs. (Perform Work) [NNSA FRAM

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- (a) Approve the M&O Contractor QAPs and Implementation Plans. (Define Scope of Work) [DOE Order 414.1A, 10 CFR 830.120]
 - (b) Evaluate the M&O Contractor's Operations Quality Assurance program and compliance. (Perform Work) [10 CFR 830.120, DOE Order 414.1A]
 - (c) Evaluate the M&O Contractor's Software Quality Assurance (SQA) program and compliance. (Perform Work) [DOE Notice 411.1, D & P Manual, QC-1]
 - (d) Evaluate the M&O Contractor's Suspect and Counterfeit Parts program and compliance. (Define Scope of Work) [DOE Order 440.1A]
- (12) Develop and implement site QAPs or integrate and implement QA elements through PXSO FRAM and FRA documents. Submit integrated PXSO site FRAM/QAP to the Deputy Administrator for review and concurrence. Submit PXSO QAPs to the Deputy Administrator for approval. (Perform Work) [NNSA FRAM 3.8]
- (a) Develop and approve the PXSO operations Quality Assurance Program and ensure compliance. (Define Scope of Work) [DOE Order 414.1A, 10 CFR 830.120]
 - (b) Manage a quality information system to measure and report Quality Assessment. (Feedback and Improvement) [DOE Order 414.1A Chg. 1]
- (13) Administer the Occurrence Reporting and Processing System (ORPS) program and require contractors to report occurrences on ORPS. Review and approve reports, including proposed corrective actions and lessons learned. Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences. (Feedback and Improvement) [NNSA FRAM 3.8] [DOE Order 231.1A & DOE Manual 231.1-2]

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- (14) As a part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions. (Feedback and Improvement) [NNSA FRAM 3.8]
- (15) Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement and Investigation. (Feedback and Improvement) [NNSA FRAM 3.8]
- (16) Monitor and assess contractors' Lessons Learned program. The program should include analysis and trending of events. Participate in the DOE-wide sharing of lessons learned. (Feedback and Improvement) [NNSA FRAM 3.8]
- (17) Readiness Review input:
 - (a) Develop readiness review Plan of Action for applicable facilities/activities/programs. (Perform Work) [DOE Order 425.1C, STD 3006-2000]
 - (b) Provide readiness review closure verification of pre/post start findings for applicable facilities/activities/programs. (Perform Work) [DOE Order 425.1C]
 - (c) Review and concur on start or restart of existing facilities/activities/programs. (Perform Work) [DOE Order 420.2A, 425.1C, AL 425.1B]

f. Assistant Manager for Operations

The Assistant Manager for Operations (AMO) acts as the Contracting Officer's Representative in all matters relating to: Directed Stockpile Work (Stockpile Maintenance, Stockpile Evaluation, Dismantlement/Disposal, Legacy Material Disposition, and Production Support); Campaigns (Enhanced Surveillance Campaign, Advanced Design and Production Technologies Campaign, and High Explosives Manufacturing, Weapons Assembly/Disassembly (HEMWAD)

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Campaign and Plant Directed Research and Development (PDRD); Nuclear Material Operations; Explosives Operations; Staging and Storage; Container; Nonproliferation and Treaty Verification; Packaging and Transportation Operations; Startup/Restart of Operations - Integrated Weapons Activity Plan (IWAP); Authorization Basis Management; Defense Nuclear Facilities Safety Board, (DNFSB) Recommendations; Weapons-related Reimbursable and Integrated Contractor Orders (ICOs); Data Collection, Feedback, and Continuous Improvement; Sandia National Laboratories Weapons Evaluation Test Laboratory at Pantex Plant Oversight; and National Laboratories (Tri-Lab) Project Office activities at Pantex Plant Oversight.

In order to evaluate the Pantex Plant Management and Operating (M&O) Contractor, AMO participates in and oversees onsite program/project planning to assure that the NNSA program requirements are integrated into the Pantex Plant operations and budgets to be proactive in identifying issues, concerns, and impacts for early resolution. For the above functions, the AMO is the Site Office line management that integrates safety, quality, and security into the work planning, programming, budgeting, execution and evaluation. The AMO office identifies and implements a data collection and feedback process to evaluate the adequacy of controls, and define opportunities for improving the definition and planning of work.

Serve as the Chair of the Pantex Operations Security (OPSEC) Committee (DOE Order 471.2A Ch. 2), and is a member/co-chair of the Standing Management Team.

In addition to the applicable duties listed under the Assistant Managers, directs and performs supervisory, oversight, and contract administration activities.

- (1) Directed Stockpile Work: [Production & Planning Directive 2004, DOE Order 452.1B & 452.2B, AL 452.1B, 452.2B, & 56XB Rev. 1]
 - (a) Participate as Project Team members to ensure compliance with site contractual and legal requirements, and to identify administrative and technical issues with scope, cost, and schedule.
 - (b) Review and monitor M&O Contractor weapon program project plans in accordance with the Work Authorizations (WAs).

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- (c) Validate M&O Contractor's preliminary Fiscal Year Integrated Program Plans/budgets against the Future Years Nuclear Security Program, and review weapons program costs and NNSA Level I and II Milestones for all weapon systems.
- (d) Review, communicate, and recommend resolutions of administrative and technical issues in meeting directive schedule requirements in accordance with WAs.
- (e) Provide M&O Contractor direction for the surveillance selections from NNSA HQ (e.g., Retrofit Evaluation System Test, Canned Subassemblies, and Pits).
- (f) Provide on site line management technical direction to M&O Contractor concerning QC-1 issues.
- (g) Coordinate with NNSA HQ concerning Directive Stockpile Work issues including programmatic disposition of components and/or tooling.
- (h) Ensure equipment, tooling, procedures, processes and facilities are available to support directive schedule work.
- (i) Identify for resolution with NNSA HQ, any National Laboratories or M&O Contractor issues regarding directive schedule work.
- (j) Coordinate M&O Contractor issues with on- and off-site Contracting Officer's Representatives (COR), including other site offices, to timely identify impacts and/or issues.
- (k) Assess actions necessary for resolution of Unsatisfactory Reports (URs) and provide direction to the M&O Contractor. Track and trend URs, and check contractor compliance with corrective actions.
- (l) Review, identify, communicate, and assist in the resolution of administrative and technical issues regarding the completion of Integrated Weapons Activity Plan projects.

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- (m) Identify, communicate, and recommend new startup and restart projects (e.g., nuclear, nuclear explosive, explosive operations) required to fulfill national security mission requirements.
 - (n) Perform onsite line management function responsibilities for the nuclear weapon surety program to include Permissive Action Link/Code Activated Processor (PAL/CAP), use control program and information access.
 - (o) Identify, coordinate and obtain resolution for onsite programmatic issues with appropriate NNSA HQ, related to the nuclear weapon surety program.
- (2) Legacy Material: [DOE Order 5660.1B, Atomic Energy Act of 1954 as amended, AL 56XB, Development & Production Manual]
- (a) Review, coordinate, and track Pantex Plant Integrated Legacy Program Plan to include Legacy Nuclear Material, Legacy Non-Nuclear Material, and Legacy Weapon Partial Builds.
 - (b) Ensure that the Pantex Site plan is consistent with the NNSA HQ Combined Plan for Defense Programs Material Stewardship Program (Non-enduring stockpile special nuclear material items, non-enduring stockpile energetic components and material, non-enduring stockpile non-nuclear, non-energetic weapon components, Tooling, process equipment, and Nuclear Explosive Like Assemblies).
- (3) Campaigns (i.e., Advanced Design and Production Technologies, Enhanced Surveillance Campaign, Plant Directed Research, Development, and Demonstration program, and High Explosive Manufacturing and Weapon Assembly/Disassembly): [P&PD 2004]
- (a) Review, coordinate, and obtain approval of all M&O Contractor Campaign submittals.
 - (b) Track, evaluate, and report issues/progress.

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- (c) Coordinate and review processes for implementing new technologies into site operations to modernize plant processes.
- (d) Validate and concur with M&O Fiscal Year Selective Acquisition Report budget for Life Extension Programs.
- (4) Nuclear Material Operations: [DOE Order 130.1 & 135.1, 10 CFR 830.121, 10 CFR 830.122, 10 CFR 830.202]
 - (a) Ensure facilities, equipment, tooling, procedures, and processes are in place to support operations.
 - (b) Review, obtain approval, and monitor of projects (i.e., Breached Pit Contingency Plan, Weigh and Leak Check upgrade project, pit cleaning, staging project, pit re-packaging project, pit characterization project).
 - (c) Participate on Thermal Working Group to coordinate resolution of Pantex Site issues.
 - (d) Coordinate and transfer new technologies.
 - (e) Support movements of SNM on- and off-site.
- (5) Explosive Operations: [DOE Manual 440.1-1, DOE Order 440.1A, 29 CFR 1910, P&PD 2004]
 - (a) Participate as a member of the DOE Explosives Safety Committee.
 - (b) Perform as the Department of Transportation Interim Hazard Classifier.
 - (c) Coordinate transfer of new technologies.
 - (d) Review and validate directive schedule requirements.
 - (e) Monitor and evaluate M&O Contractor progress in fulfilling explosive operations in support of Directive Stockpile Work.

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- (f) Coordinate and resolve explosive operations issues with NNSA HQ, National Laboratories, M&O Contractor and CORs.
- (6) Staging & Storage:
- (a) Coordinate with Labs, DOD, and NNSA to assure capability will support current requirements.
 - (b) Monitor and review initiatives to increase capability.
 - (c) Ensure facilities are monitored to maintain thermal limit requirements.
 - (d) Perform oversight activities to assure operations are performed to established requirements.
 - (e) Track and trend issues to assure optimum performance.
- (7) Container:
- (a) Reviews, identifies and resolves Onsite/Offsite Container Issues.
 - (b) Initiates the Development/Process Realization Team and has membership representation of teams.
 - (c) Directs and monitors surveillances.
 - (d) Performs evaluations on programs.
 - (e) Initiates site actions on the Thermal Working Group and has membership representation on the group.
 - (f) Identifies issues and coordinates resolution on NNSA Complex container issues.
- (8) Non-Proliferation and Treaty Non-Proliferation and Treaty Verification:
[Weapon and Weapon Related Treaties, e.g., Non-Proliferation, START I, START II, Start III, Strategic Offensive Reduction, SNM disposition]

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- (a) Review, coordinate and obtain approval of M&O Contractor's proposed funding profile plans and tasks.
 - (b) Review, coordinate and provide Federal Site Office assessment of potential impacts of non-proliferation and treaty verification initiatives.
 - (c) Participate in meetings on treaty related issues.
 - (d) Act as the Point of Contact for PXSO.
 - (e) Coordinate travel authorization of M&O Contractor.
- (9) **Packaging & Transportation:** [40 & 49 CFR as applicable, 10 CFR 71, 29 CFR 1910.1096, 10 CFR 835, DOE Order 452.1B, 452.2B, 460.1B, 460.2, & 461.1, AL 452.2B]
- (a) Review planning/program documents for adherence to requirements (Container development through Product Realization Team (PRT) process, Safety Analysis Report for Packaging Review, Container Certification Tracking).
 - (b) Identify container needs and coordinate with multiple site offices to ensure availability and receipt of weapon related containers.
 - (c) Coordinate shipment and packaging activities (HQ, Site Offices, and other Federal Agencies).
 - (d) Validate transportation controls for both on- and off-site operations.
 - (e) Develop, coordinate, and obtain approval of OST/PXSO Memorandum of Understanding (MOU).
- (10) **Startup/Restart of Operations:** [DOE Order 425.1C & 452.1B, DOE-STD-3006-2000, 29 CFR 1910, NNSA FRAM]

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- (a) Develop and issue the NNSA Plans of Action (POA) for applicable operations including necessary facilities required for the mission work.
 - (b) Review and obtain approval for Startup Notification Reports and the M&O Contractor's POA for adequacy.
 - (c) Coordinate independent reviews (Safety Basis, Readiness, and Nuclear Explosive Safety Reviews).
 - (d) Review, validate and obtain closure of pre-start findings and approve post start implementation plans.
 - (e) Review and validate closure for any pre-start, and post start conditions of approval from a NNSA Safety Evaluation Report.
 - (f) Obtain approval of changes to the Master Authorization Agreement.
- (11) Authorization Basis (AB) Program Management: [10 CFR 830, Subpart B]
- (a) Review, coordinate, and obtain approval of AB Project Plans to meet national security mission requirements.
 - (b) Identify, communicate, and resolve priority and scheduling issues regarding weapons response information required to complete safety upgrades for nuclear and nuclear explosive operations within the Nuclear Weapons Complex.
 - (c) Review, communicate, and resolve scheduling and cost issues regarding line management priorities on approval of AB change proposals.
 - (d) Identify, communicate, and resolve scheduling and cost issues on implementation of administrative and engineering controls.
- (12) Weapons Related Reimbursables & Integrated Contractor Orders: [AL 56XB]

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- (a) Manage all weapon reimbursable work to include the United Kingdom reimbursable work.
- (b) Determine impact to mission on all reimbursable weapon, weapon-related, and non-weapon-related work to ensure non-interference with weapon mission.

(13) Weapons Evaluation Test Laboratory:

- (a) Resolve conflicts between the M&O Contractor and Sandia National Laboratory, in support of mission requirements.
- (b) Review, coordinate, and obtain approval of the Memorandum of Agreement.
- (c) Ensures M&O Contractor provides weapons materials on schedule.

(14) Tri-Lab Project Office:

- (a) Resolve conflicts between the M&O Contractor and the national laboratories, in support of mission requirements.
- (b) Review, coordinate, and obtain approval of the Memorandum of Agreement.

g. Assistant Manager for Safeguards and Security.

The Assistant Manager for Safeguards and Security (AMSS) acts as the Contracting Officer's Representative in all matters relating to safeguards and security, integrated safeguards and security management, and the personnel assurance program. In addition to the applicable duties listed under the Assistant Managers, directs and performs supervisory, oversight, and contract administration activities.

- (1) Implement NNSA "Updated Job Task Inventory, Roles, Responsibilities and Authorities."
- (2) Safeguards and Security Program:

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- (a) Implement for PXSO and oversee the M&O Contractor's Safeguards and Security Program Management process. (Define Scope of Work/Perform Work) [DOE Order 470.1 Chg. 1]
- (b) Oversee the M&O Contractor's Protection program implementation. (Develop and Implement Controls/Perform Work) [DOE Order 473.1]
- (c) Oversee the M&O Contractor's Information Security program implementation. (Perform Work) [DOE Order 471.2A]
- (d) Oversee the M&O Contractor's Nuclear Materials Control and Accountability program. (Perform Work) [DOE Order 474.1A]
- (e) Oversee the M&O Contractor's Personnel Security program. (Perform Work) [DOE Manual 472.1C and 10 CFR 711]
- (f) Oversee the M&O Contractor's Integrated Safeguards and Security Management program. (Perform Work) [DOE Order 470.1]

h. Assistant Manager for Environmental and Site Engineering Programs

The Assistant Manager for Environmental and Site Engineering Programs (AMESEP) acts as the Contracting Officer's Representative in all matters relating to environmental restoration and management projects, component disposition, new construction and facility upgrade projects, Work for Others (reimbursables), and waste management. In addition to the applicable duties listed under the Assistant Managers, directs and performs supervisory, oversight and contract administration activities.

(1) Environmental Regulation and Protection Monitoring:

- (a) Establish and maintain a National Environmental Policy Act (NEPA) compliance program. Develop and approve annual NEPA Planning Summary. Submit requests for variance from NEPA regulations or O 451.1B. (Define Scope of Work) [DOE Order 231.1A, 451.1B Chg. 1, and 10 CFR 1021]

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- (b) Implement policy and guidance for Environmental Assessments in the Quality Assurance Plan. (Define Scope of Work) [DOE Order 451.1B Chg. 1 and 10 CFR 1021]
 - (c) Approve Environmental Assessments, "Finding of No Significant Interest." (Analyze Hazards) [DOE Order 451.1 and 10 CFR 1021]
 - (d) Develop external Environmental Regulation guidance and develop and transmit site-specific environmental regulatory documents/submittals. (Define Scope of Work/Develop and Implement Controls) (DOE Order 5400.5)
 - (e) Review and approve annual Environmental Surveillance Report, Monitoring Plans, Groundwater Protection, and Management Plans. (Define Scope of Work) [DOE Order 231.1A, 5400.1 (specific paragraphs cancelled by DOE Order 231.1 and changes thru DOE Order 231.1A)]
 - (f) Coordinate and review Environmental Impact Statements. (Analyze Hazards) [DOE Order 451.1B Chg. 1 and 10 CFR 1021]
 - (g) Ensure compliance with: (Perform Work)
 - 1) Federal Facilities Compliance Act. [DOE Order 450.1]
 - 2) Environmental Protection Monitoring. [DOE Order 450.1]
 - 3) Environmental Permits. [DOE Order 450.1; 30 TAC 106, 116, & 122; 10 CFR 260-265; and TWC Ch. 26]
 - 4) Cultural Resources and Wetland Management programs. [DOE Order 450.1 and 10 CFR 1021 & 1022]
 - 5) Natural Resource Damage Assessment process. [DOE Order 451.1, 10 CFR 1021]
 - 6) Public Drinking Water requirements. [30 TAC 290]
 - 7) Natural Resources requirements. [4 TAC 7, 22 TAC 591-599, 25 TAC 65, 25 TAC 169, 31 TAC 13, 30 TAC 20, and 31 TAC 52]
 - 8) Air Program requirements. [40 CFR 60-61 and 30 TAC 101, 106, 111, 112, 113, 114, 116, 117, 118, & 122.]
- (2) Environmental Restoration and Waste Management programs:

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- (a) Provide program direction to the M&O Contractor with regard to Sanitary, Hazardous, Radioactive, and Mixed Waste operations, storage, treatment and disposal. (Define Scope of Work) [DOE Order 435.1 and 450.1]
- (b) Assure that production sites are in compliance with the Comprehensive Environmental Resource Compensation and Liability (CERCLA) and Resource Conservation and Recovery (RCRA) Acts' requirements regarding waste generation, handling, packaging and storage. (Feedback and Improvement) [40 CFR 260-265]
- (c) Track Environmental Restoration program performance improvements. (Feedback and Improvement)
- (d) Review and concur on interim field-level exemptions to DOE Order 450.1 while permanent exemptions are being processed. (Define Scope of Work) [DOE Order 450.1]
- (e) Ensure compliance with: (Perform Work)
 - 1) Nevada Operations Office Authorization for Waste Shipments. [Nevada Test Site Waste Acceptance Criteria (WAC), DOE Order 435.1 Chg. 1]
 - 2) Waste Minimization program. [30 TAC 335, DOE Order 450.1]
 - 3) Pollution Prevention program. [30 TAC 335, DOE Order 450.1]
 - 4) Volume Reduction of Waste and Reduction of Low-Level, Non-Nuclear Hazardous Materials in Waste. [DOE Order 450.1]
 - 5) Waste Treatment Technologies program. [DOE Order 450.1]
- (3) Monitor the Agreement in Principal Grant with the State of Texas. (Define Scope of Work) [Grant No. DE-FG-90AL65780]
- (4) Monitor the Interagency Agreement with the Corps of Engineers for

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Design and/or Construction Activities. (Define Scope of Work) [IA-DEGM04-84AL23521]

- (5) **Oversee and ensure compliance with Configuration Management policy for physical plant arrangement and documentation control to ensure operation within the approved Safety Envelope. Plant Maintenance, Utilities, and Energy Conservation programs:**
- (6) **Project Management for Pantex Plant; monitor costs and schedules for major systems acquisitions, major projects, and other assigned programs:**
 - (a) **Assure that new or modified facilities are constructed or back fitted to meet appropriate safety and environmental requirements. (Define Scope of Work) [DOE Order 420.1A]**
 - (b) **Develop, implement, administer, evaluate, and enforce Project Management Policy and Guidelines. (Define Scope of Work) [DOE Order 430.1B and 413.3]**
 - (c) **Ensure the responsibilities and requirements of DOE Order 430.1B, Life Cycle Asset Management (LCAM) are properly planned, budgeted, managed, and executed. (Perform Work) [DOE Order 430.1B]**
 - (d) **Manage project planning, execution, design, construction, and NEPA for new, reconfigured, and modified facilities. (Feedback and Improvement) [DOE Order 420.1A and 413.3]**
 - (e) **Approve startup/restart of General Purpose, Explosives, Waste, and Hazardous Waste facilities. (Perform Work) [DOE Order 425.1C and 413.3]**
 - (f) **Oversee Authorization Basis records, status and issues for applicable facilities. (Perform Work) [O 413.3]**
- (7) **Pantex Plant Capital Assets Management Program:**
 - (a) **Monitor Capital & Expense projects and perform Energy Systems Acquisition Advisory Board activities. (Define Scope of Work)**

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[DOE Order 430.1B]

- (b) Ensure compliance with: (Perform Work)
 - 1) Site Development plans. (Define Scope of Work) [DOE Order 430.1B and 420.1A]
 - 2) Life Cycle Asset Management (LCAM) principles. (Perform Work) [DOE Order 430.1B]
 - 3) Surplus Facility assessment. [DOE Order 430.1B]
- (c) Evaluate and enforce site planning for Future Use facilities. (Perform Work) [DOE Order 430.1B]
- (d) Provide periodic reports on Construction Projects. (Perform Work) [DOE Order 413.3]
- (e) Concur in and submit Construction Project Data Sheets. (Perform Work) [DOE Order 413.3]
- (f) Support independent assessments of projects. (Perform Work) [DOE Order 413.3]
- (g) Issue project authorizations, allowing the execution of work. (Perform Work) [DOE Order 413.3]
- (h) Manage the Baseline Change Control Process for changes at Level 2 or below. (Perform Work) [DOE Order 413.3]
- (8) Provide Engineering Support for various activities:
 - (a) Resolution of division, facility, and operational ES&H issues. (Perform Work) [DOE Order 413.3]
 - (b) Environmental Management. (Perform Work) [DOE Order 450.1]
 - (c) ES&H Management Systems (e.g., maintenance, ES&H reporting, readiness reviews, configuration management, and EIS). (Perform Work) [DOE Order 413.3, 430.1, 433.1]

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- (d) Provide safety certification for readiness review of Low Hazard Non-Nuclear Hazardous Facilities and operations. (Perform Work) [DOE Order 425.1C]
- (9) Assure Project Authorizations for Operating/Expense Funded projects. (Perform Work) [DOE Order 413.1]
- (10) Readiness Review input:
 - (a) Develop readiness review Plan of Action for applicable facilities/activities/programs. (Perform Work) [DOE Order 425.1C, STD 3006-2000]
 - (b) Provide readiness review closure verification of pre/post start findings for applicable facilities/activities/programs. (Perform Work) [DOE Order 425.1C]
 - (c) Review and concur on start or restart of existing facilities/activities/programs. (Perform Work) [DOE Order 420.2A, 425.1C, AL 425.1B]
- (11) Pantex Plant Work for Others (Reimbursables) Program:
 - (a) Review and concur/non-concur with proposed Work for Others and other reimbursable projects involving Pantex personnel onsite or at offsite locations. (Perform Work) [DOE Order 481.1B and associated Notices, Manuals, and Guides]
 - (b) Monitor progress of Work for Others and reimbursable projects, and ensure DOE's and the sponsor's requirements are met. (Perform Work) [DOE Order 481.1B and associated Notices, Manuals, and Guides]
 - (c) Ensure Pantex Plant Technology Partnering Projects and CRADA projects are conducted in compliance with DOE requirements. [DOE Orders 482.1 and 483.1 and DOE Manual 483.1]
- (12) Component Disposition: [Atomic Energy Act of 1954, as amended, 40 CFR 266 Subpart M, AL 56XB, "Development and Production Manual,

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and 30 TAC 335 Subchapter H]

- (a) Review and concur with Legacy Material Disposition Program Plan in the area of non-nuclear components, to include tooling, equipment, trainers, handling gear, etc. (Perform Work)
- (b) Evaluate non-nuclear component disposition with respect to scope, schedule, and cost. (Perform Work)
- (c) Work with Oak Ridge Operations Office on component disposition performed under one of its contracts. (Perform Work)

(13) Cultural Resources: [36 CFR 800 & 16 USC 470H-2F]

- (a) Ensure cultural resources program is in compliance with applicable regulations. (Perform Work)
- (b) Review and concur with cultural resources documents. (Perform Work)
- (c) Ensure consultation occurs when required between the Pantex Site Office, the State Historic Preservation Office(r) and the President's Advisory Council on Historical Preservation. (Perform Work)

i. Assistant Manager for Contract Administration and Business Management

The Assistant Manager for Contract Administration and Business Management (AMCABM) acts as the Contracting Officer's Representative in all matters relating to Human Capital Management, Procurement and Contracting, Personal and Real Property Management, Finance and Accounting Systems and Information Technology. In addition to the applicable duties listed under the Assistant Managers, directs and performs supervisory, oversight, and contract administration activities.

(1) Human Capital Management:

- (a) Provide support for organizational analysis and position management to include FTE management and staffing allocations. [DOE Order 320.1, 322.1A, 325.1, 331.1B Chg. 1]

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- (b) Responsible for work force analysis and reporting staff functions for PXSO. [DOE Order 3750.1 Chg. 6]
 - (c) Responsible for employee relations and employee benefits processing for PXSO. [DOE Order 3771.1 Chg. 3]
 - (d) Support the Federal Diversity and EEO programs, and the Human Capital systems (e.g., CHRIS). [DOE Order 311.1B]
 - (e) Support the Federal Technical Capability Panel and program. [DOE Manual 426.1-1A]
 - (f) Manage the Federal Employee training program at PXSO: [DOE Order 360.1B and DOE Manual 360.1-1B]
 - (g) Support the Technical Qualification Program (TQP) and participate in or oversee periodic TQP assessments. [DOE Order 360.1B, 5480.20A, 361.1 Chg. 2 and 414.1A Chg. 1, DOE Manual 360.1-1B]
 - (h) Manage the Contractor Training Oversight Program (CTOP). [DOE Order 5480.20A]
 - (i) Make Davis Bacon/Service Contract Act (SCA) determinations.
 - (j) Support the Critical Skills Initiative (Foster Panel Review).
- (2) Procurement and Contracting:
- (a) Support NNSA Strategic Planning (Procurement and Acquisition).
 - (b) Responsible for M&O Contracting Officer duties including issuing and modifying contracts. (Define Scope of Work) [DOE Order 135.1, DOE Manual 135.1-1]
 - (c) Review and recommend M&O Contracting Officer's Representative appointments to Manager. [DEAR 901.603-72]

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- (d) Support Resource Management and Development (NNSA Acquisition Resource Planning) and Small Business Programs (M&O Contract) for PXSO.
 - (e) Implement the Business Clearance Policy at PXSO.
 - (f) Responsible for M&O and Non-M&O Contracting at the Pantex Plant. [DOE Order 135.1, DOE Manual 135.1-1]
 - (g) Provide Contracting Officer review and approval for other federal agencies, the private sector, Cooperative Research and Development Agreements (CRADAs), and intelligence for Work for Others projects. [DOE Order 481.1B]
- (3) Personal and Real Property:
- (a) Approve the M&O Contractor's Personal Property System. [41 CFR 109]
 - (b) Perform oversight of the M&O Contractor's Personal Property System. [41 CFR 109]
 - (c) Support the acquisition, control, and disposition of Real Property. [41 CFR 101, DOE Order 430.2A]
 - (d) Oversee maintenance of the M&O Contractor's utilities infrastructure. [DOE Order 420.2A]
- (4) Finance and Accounting systems:
- (a) Perform audit liaison and OIG/GAO coordination. [DOE Order 2300.1B and 2340.1C]
 - (b) Provide Waste, Fraud and Abuse Program support. [DOE Order 221.1]
 - (c) Oversee M&O indirect costs – Indirect Sizing.
 - (d) Support the Federal Managers Financial Integrity Act process.

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[DOE Order 413.1A]

- (e) Support the Financial Management Control program. [DOE Order 413.1A]
 - (f) Support oversight of the M&O Contractor Internal Audit program [U.S. DOE Contract No. DE-AC04-00AL66620]
 - (g) Support PXSO Funds Control Distribution by assisting in developing a local financial plan. [OMB Circular A-11 Part 4 and DOE Order 135.1]
 - (h) Support budget planning and analysis for Future Years Nuclear Security Program (FYNSP) and Financial Information Variance Reporting System (FIVRS). [DOE Order 135.1, DOE Manual 135.1-1]
 - (i) Prepare and submit Unicall budget requests, special purpose schedules and crosscut budgets. [OMB Circular A-11, DOE O 130.1A]
 - (j) Support the review of Budget and Reporting (B&R) Structure and definition and validation of budget estimates. [PPBE]
 - (k) Performs site budget reviews.
 - (l) Perform quarterly program reviews.
 - (m) Accept, process and authorize Work Authorizations for the M&O Contractor activities. [DOE Order 412.1]
- (5) Information Technology:
- (a) Support long-range and strategic budget planning for Information Technology (IT). [Clinger-Cohen Act]
 - (b) Support oversight of the M&O Contractor's IT operations.
 - (c) Support the Integrated Federal Unclassified Cyber Security Initiative – Conduct of Operations. [DOE Order 5480.19 Chg. 2]

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- (d) Manage acquisition of PXSO information technology equipment.
- (e) Support the Records Management Enterprise Initiative.
- (f) Manage site and technical information.
- (g) Provide support for archiving.

6. **REQUIREMENTS.**

a. **Delegation of Authority:**

Authorities may be delegated unless the delegation is prohibited by regulation or other obligation. Delegation of authority does not relieve the delegating officer of responsibility for the outcomes of the exercise of that authority.

The following restrictions apply to the delegation of authority:

- (1) Delegations of authority must be in writing and provided to the designee. There must be a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances under which the authority may be exercised, including any restrictions or prohibitions related to further delegation. A record should be kept of all delegations of authority.
- (2) The delegating authority may rescind the delegation, in writing, at any time.
- (3) Temporary delegations must specify when authority is to be terminated.

b. **Changes to the PXSO FRAM:**

The PXSO FRAM will be maintained and updated as a "living document" to reflect organizational and/or functional changes that affect this document or the NNSA FRAM.

The PXSO FRAM must be revised within 90 days of the issuance of revisions of the NNSA FRAM, and following local organizational changes.

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7. RECORDS

Records will be maintained in accordance with DOE/NNSA/PXSO records procedures.

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REFERENCES

1. U.S. Department of Energy Contract No. DE-AC04-00AL66620.
2. Atomic Energy Act of 1954, as amended.
3. Title 10, Code of Federal Regulations, Part 71, "Packaging and Transportation of Radioactive Material."
4. Title 10, Code of Federal Regulations, Part 711, "Personnel Assurance Program (PAP)."
5. Title 10, Code of Federal Regulations, Part 820, "Procedural Rules for Nuclear Activities."
6. Title 10, Code of Federal Regulations, Part 830, "Nuclear Safety Management."
7. Title 10, Code of Federal Regulations, Part 835, "Occupational Radiation Protection."
8. Title 10, Code of Federal Regulations, Part 1021, "National Environmental Policy Act Implementing Procedures."
9. Title 10, Code of Federal Regulations, Part 1022, "Compliance with Floodplain/Wetlands Environmental Review Requirements."
10. Title 29, Code of Federal Regulations, Part 1910, "Occupational Safety and Health Standards."
11. Title 40, Code of Federal Regulations, Part 260, "Hazardous Waste Management System - General."
12. Title 40, Code of Federal Regulations, Part 261, "Identification and Listing of Hazardous Waste."
13. Title 40, Code of Federal Regulations, Part 262, "Standards Applicable to Generators of Hazardous Waste."

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14. Title 40, Code of Federal Regulations, Part 263, "Standards Applicable to Transporters of Hazardous Waste."
15. Title 40, Code of Federal Regulations, Part 264, "Standards for Owners and Operators of Hazardous Waste Treatment, Storage and Disposal Facilities."
16. Title 40, Code of Federal Regulations, Part 265, "Interim Status Standards for Owners and Operators of Hazardous Waste Treatment, Storage and Disposal Facilities."
17. Title 40, Code of Federal Regulations, Part 266, "Standards for the Management of Specific Hazardous Wastes and Specific Types of Hazardous Waste Management Facilities."
18. Title 41, Code of Federal Regulations, Part 101, "Federal Property Management Regulations."
19. Title 41, Code of Federal Regulations, Part 109, "DOE Property Management Regulations."
20. Title 48, Code of Federal Regulations, Part 970, "DOE Management and Operating Contracts."
21. Title 49, Code of Federal Regulations, "Transportation."
22. DEAR 901.603-72, "Contracting Officer's Representatives."
23. DEAR 970.5204-2, "Integration of Environment, Safety, and Health Into Work Planning and Execution."
24. OMB Circular A-11 Part 4, "Instructions on Budget Execution," July 2003.
25. DOE Order 130.1, "Budget Formulation," September 29, 1995.
26. DOE Order 135.1, "Budget Execution – Funds Distribution and Control," September 30, 1995.
27. DOE Manual 135.1-1, "Budget Execution Manual," September 30, 1995.

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28. DOE Policy 142.1, "Unclassified Foreign Visits and Assignments, July 14, 1999.
29. DOE Manual 140.1-1B, "Interface with the Defense Nuclear Facilities Safety Board," March 30, 2001.
30. DOE Order 151.1B, "Comprehensive Emergency Management System," October 29, 2003.
31. DOE Notice 203.1, "Software Quality Assurance," October 2, 2000.
32. DOE Order 221.1, "Reporting Fraud, Waste, and Abuse to the Office of Inspector General," March 22, 2001.
33. DOE Order 225.1A, "Accident Investigations," November 26, 1997.
34. DOE Manual 231.1-2, "Occurrence Reporting and Processing of Operations Information," August 19, 2003.
35. DOE Order 231.1A, "Environment, Safety and Health Reporting," August 19, 2003.
36. DOE Manual 251.1-1A, "Directives System Manual," January 30, 1998.
37. DOE Order 251.1A, "Directives System," January 30, 1998.
38. DOE Order 252.1, "Technical Standards Program," November 19, 1999.
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50. DOE Order 412.1, "Work Authorization System," April 20, 1999.
51. DOE Order 413.1A, "Management Control Program," April 18, 2002.
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54. DOE Order 420.2A, "Safety of Accelerator Facilities," January 8, 2001.
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62. DOE Order 430.2A, "Departmental Energy and Utilities Management," April 15, 2002.
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75. DOE Policy 450.5, "Line Environment, Safety and Health Oversight," June 26, 1997.
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81. DOE Manual 460.2-1, "Radioactive Material Transportation Practices," September 23, 2002.
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83. DOE Order 461.1, "Packaging and Transfer or Transportation of Materials of National Security Interest," September 29, 2000.
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85. DOE Order 470.1 Chg. 1, "Safeguards and Security Program," September 28, 1995.
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96. DOE Notice 481.1A, "Reimbursable Work for Department of Homeland Security."
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123. Production and Planning Directive, 2004.
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128. Title 30, Texas Administrative Code, Part 101, "Air Emissions."
129. Title 30, Texas Administrative Code, Part 106, "Definitions/Permits by Rule."
130. Title 30, Texas Administrative Code, Part 111, "Control of Air Pollution from Visible Emissions and Particulate Matter."
131. Title 30, Texas Administrative Code, Part 112, "Control of Air Pollution from Sulfur Compounds."
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135. Title 30, Texas Administrative Code, Part 117, "Control of Air Pollution from Nitrogen Compounds."
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138. Title 30, Texas Administrative Code, Part 290, "Public Drinking Water."
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Attachment 2

DEFINITIONS

Accountability. Being liable for explanation to a superior NNSA official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specified actions. The delegate of an authority is accountable to the delegating responsible authority for the proper and diligent exercise of that authority. Responsibility differs from accountability in that a responsible official "owns" the function for which he or she is responsible; it is an integral part of his or her duties to see that the function is properly executed, to establish criteria for the judgment of excellence in its execution, and to strive for continuous improvement in that execution. A responsible official is associated with the outcomes of the exercise of authority regardless of whether it was delegated and regardless of whether the delegate properly followed guidance. Accountability, on the other hand, involves the acceptance of the authority for execution (or for further delegation of components of execution) by using guidance and criteria established by the responsible authority.

Adherence. When the conditions, activities, and physical configuration of a site, facility, or activity conform to the actions and conditions specified in the documentation established to implement the contractual standards and requirements.

Administer. To have charge of; manage.

Contracting Officer's Representative (COR). Acts as the PXSO Site Office Manager's (Contracting Officer) designee for administration of Pantex's Contract and line management for the Pantex Site Office. Administration includes the issuance of Work Authorization Directives (WADs) and modifications thereto. The designee also has the authority to modify the estimated cost set forth in the Contract and Contract line items so long as the fee set forth remains unchanged.

Applicable. Term applies to requirements that are pertinent to the site, facility, or activity.

Appropriate. Term applies to requirements that have a meaningful impact on the level of ES&H protection provided.

Approve. Confirm or agree to officially.

Assign. To give out as a task.

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Assist. Give aid or support.

Authority. The permission afforded by law, regulation or directive, or delegated by NNSA Senior Management enabling a NNSA employee to perform a function or reach and implement a decision.

Chair. The position or office of a person in authority. One holding such an office or position, especially one presiding over a meeting.

Comment. Make comment on; Annotate; Remark.

Compliance. Compliance is demonstrated when implementing documents contain the responsibilities and activities to meet requirements and when personnel follow the implementing documents during the conduct of work.

Conduct. Direct the course of; Control.

Control. Exercise authority or influence over; Direct.

Contracting Officer (CO). A DOE official holding the authority to make purchases or contract for goods and services in excess of \$25,000. Contracting officers are appointed in accordance with DOE Order 541.1A, "Appointment of Contracting Officers and Contracting Officer Representatives."

Coordinate. Arrange for activity involving other personnel.

Delegation. Written permission granted by a responsible authority to another NNSA employee to perform a specific function on behalf of that responsible authority, usually containing guidance on the manner in which the authority is to be used. By delegation, the responsible authority cannot diminish his or her responsibility for the consequences of the exercise of authority.

Designated Official (DO). Personnel who have been officially delegated in writing to act as authorized representatives for such functions as technical monitoring, inspection, and other functions of a more technical nature not involving a change in the scope, cost, terms or conditions of the contract for certain actions. These personnel maintain change control of the ISMS Description and standards and requirements for Pantex and periodically conduct ISMS Description meetings for these purposes.

Develop. Bring into being; Make active.

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Direct. Regulate or conduct the affairs of; Manage.

DOE Standard. A technical standard which is developed by a Secretarial Office for application by one or more other Secretarial Officers within DOE and coordinated with all affected Secretarial Officers, such as the Office of Security Affairs for safeguards and security matters. The standards may be developed from a DOE limited standard when the limited standard is determined to apply to more than one Secretarial Office.

Enforce. Compel observance of (e.g., a law or regulation).

Ensure. Confirm that an activity or condition has occurred in conformance with specified requirements (by action if necessary).

Establish. Bring about. Take necessary actions to cause a specified set of conditions to exist.

Evaluate. To assess; to determine the importance, size, or nature of; to give a value to based on collected data.

Execute. Put into effect; Carry out.

Exemption. A release, variance, relief, exception, deviation, or waiver from a requirement(s), either permanent or temporary, included in a DOE Order, Notice, or Manual that has been granted to the M&O Contractor by the appropriate DOE official. Requirements contained in DOE directives (e.g., Orders, Notices, and Manuals) are made applicable to contractors by incorporation in contracts as requirements.

Field Element Manger. The DOE term for an employee having overall responsibility for a field element. Within NNSA the Site Office Manager fills the function of FEM.

Formulate. To devise; Invent.

Function. An action or activity undertaken by a NNSA employee in performing or contributing to the performance of work in compliance with component 3 of DOE Policy 450.4, "Safety Management Policy." This component defines core functions for integrated safety management, each of which includes several derivative functions that are to be applied with a degree of rigor appropriate to the type of activity and hazards involved.

Implement. To carry out; To accomplish.

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Implementation Plan. A document that describes how the site, facility, or activity has met or will meet prescribed standards and requirements. An implementation plan may be prepared to address new or modified requirements.

Implementing Documents. Include but are not limited to policies, standards and procedures which assign specific responsibilities and specify which activities will be accomplished.

Incorporate. Cause to merge or combine together into a united whole.

Integrated Safety Management System (ISMS). A safety management system which ensures that safety is integrated systematically into management and work practices at all levels of the organization to ensure missions are accomplished while protecting the public, the worker, and the environment.

Interfaces. Interfaces between the facility requirements and the site or installation requirements or between functional areas.

Issue. Distribute or circulate officially.

Lead. Play a principle or guiding role.

Line Management. The NNSA Site Office or Headquarters element manager with direct safety responsibilities for the NNSA facility, who is also directly responsible for the development, approval (when delegated such authority by the Deputy Administrator), and implementation of Corrective Action Plans (CAP) and associated corrective action completion, tracking and reporting. The cognizant line manager is also responsible for initiating action to elevate issues associated with CAP development, implementation, and completion to higher authority for resolution when necessary.

Any management level within the line organization, including contractor management, that is responsible and accountable for directing and conducting work. The Pantex Site Office line management is comprised of the Site Office Manager and the Contracting Officer's Representatives. The Designated Officials execute responsibilities on behalf of line management.

Line Organization. That unbroken chain of command that extends from the Office of the Secretary to Secretarial Offices that set program policy and plans and develops assigned programs, to the field element organizations responsible for execution of these programs, to the contractors that conduct the work.

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Maintain. To hold or keep in a particular state or condition, especially in a state of efficiency or validity.

Manage. Direct or administer.

Modify. Change in form or character; Alter.

Monitor. Observe an activity, parameter value, or condition (usually on a continuous basis) to meet an instruction requirement.

Notify. Contact, advise, or communicate to make someone aware of an impending or completed activity, parameter value, or condition.

Oversee. Provide an objective evaluation of a program, process, activity or performance.

Participate. To join or share with others; Take part.

Perform. Carry out specified actions or action steps.

Plan. Formulate a scheme or program for the accomplishment or attainment of a goal.

Provide. To furnish; Supply.

Recommend. To counsel or advise that something be done.

Represent. Function as the official and authorized delegate or agent for an organization or other entity.

Requirements. Those terms and conditions that the DOE and M&O Contractor agree are necessary and sufficient for a particular site, facility or activity. Enforceable under law or under DOE contract.

Responsibility. The state of being liable for the outcome of the exercise of an authority granted by law, regulation or directive. See also Authority.

Review. Examine with deliberation for confirmation or compliance to an instruction.

Safety Management Function. An activity that may affect the safety and health of workers or the public or the protection of the environment.

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Safety Management Systems. Provide a formal, organized process whereby people plan, perform, assess, and improve the safe conduct of work. The Safety Management System is institutionalized through DOE directives and contracts to establish the Department-wide safety management objective, guiding principles and functions. The safety management system consists of six components: 1) objective, 2) guiding principles, 3) core functions, 4) mechanisms, 5) responsibilities, and 6) implementation. These are explained in detail in DOE P 450.4, "Safety Management Systems," and their implementation is outlined in the associated guides.

Serve. To act in a specific capacity.

Service Center. An NNSA integrated support organization established to ensure that technical, business, legal, and financial services are successfully accomplished in support of NNSA Site Offices, NNSA Service Center, NNSA Headquarters missions, and other Departmental missions, as assigned.

Site Office. The NNSA organization, located at a given site, given responsibility for directing and conducting oversight of contractor operations associated with a specified site.

Site Office Manager (SOM). The NNSA Employee having overall responsibility for a site office. The SOM serves as the formal contracting officer for the contracts at the site. At PXSO, this position is referred to as the Manager.

Specific. Term applies to requirements that are sufficiently specific such that functional area experts can agree on the criteria necessary to demonstrate compliance with the requirement.

Standards. Expressed expectations for the performance of work.

Standards and Requirements Identification Document (S/RID). A document that lists the standards and requirements to be implemented by a site, facility, or activity appropriate to its life cycle phase to achieve an adequate level of protection of worker and public health and safety, and of the environment during the life cycle phases of design, construction, operation, decontamination and decommissioning, and environmental restoration. An S/RID may include national security, business and mission requirements of the DOE. The S/RIDs are revised appropriately based on change in the site or facility's mission or configuration, a change in the facility's life cycle phase, or a change to the applicable standards and requirements.

Subject Matter Experts (SMEs). DOE technical experts consisting of PXSO personnel whose function is to perform adequacy assessment of standards and requirements, exemptions and changes to the Pantex ISMS Description as directed by their respective DOs.

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Submit. Commit something to the consideration or judgment of another.

Sufficient. Term applies to requirements that are adequate to control the risks or hazards presented by the site, facility, and/or activity as identified by the appropriate documentation/analysis.

Technical Standard. A prescribed set of rules, conditions, or requirements concerned with classification of components; delineation of procedures; specification of materials, products, performance, design, or operations; or the definition of terms or measurements of quality and quantity in describing materials, products, systems, services, or practices.

Track. Observe something carefully.

Transmit. Convey or dispatch from one person, thing, or place to another.

Verify. Confirm, substantiate, and assure that a specific activity has occurred or that a stated condition exists.

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Attachment 3

ACRONYMS

AB	Authorization Basis
AEA	Atomic Energy Act
AIMS	Assessment Information Management System
AM	Assistant Manager
AMCABM	Assistant Manager for Contract Administration and Business Management
AMESEP	Assistant Manager for Environmental and Site Engineering Programs
AMNE	Assistant Manager for Nuclear Engineering
AMO	Assistant Manager for Operations
AMOA	Assistant Manager for Oversight and Assessment
AMSS	Assistant Manager for Safeguards and Security
CAP	Corrective Action Plan
CATS	Corrective Action Tracking System
CERCLA	Comprehensive Environmental Resource Compensation and Liability Act
COR	Contracting Officer's Representative
CFR	Code of Federal Regulations
CPAF	Cost Plus Award Fee
CPAP	Contractor Performance Assessment Plan
CRAD	Criteria and Review Approach Document
CRADA	Cooperative Research and Development Agreement
CSO	Cognizant Secretarial Officer
CTOP	Contractor Training Oversight Program
DEAR	Department of Energy Acquisition Regulations
DM	Deputy Manager (of the Pantex Site Office)
DNFSB	Defense Nuclear Facilities Safety Board
DO	Designated Official
DOE	Department of Energy
DSA	Documented Safety Analysis
DSW	Directed Stockpile Work
EH	HQ - Office of the Assistant Secretary for Environment, Safety and Health
ES&H	Environment, Safety and Health
FEOSH	Federal Employee Occupational Safety and Health
FEM	Field Element Managers
FOIA	Freedom Of Information Act
FR	Facility Representative
FRA	Functions, Responsibilities and Authorities

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FRAM	Functions, Responsibilities and Authorities Manual
FTCP	Federal Technical Capability Panel
HE	High Explosives
HQ	(DOE) Headquarters
IR	Independent Review
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
ISO	International Organization for Standardization
IWAP	Integrated Weapons Activity Plan
LCAM	Life Cycle Asset Management
LOP	Line Oversight Plan
M&O	Maintenance and Operating (Contractor)
NA-1	NNSA Administrator
NA-2	Principal Deputy Administrator (PDA)
NS-3.6	Environment, Safety and Health Advisor
NA-10	NNSA Deputy Administrator for Defense Programs
NA-20	NNSA Deputy Administrator for Defense Nuclear Nonproliferation
NA-40	NNSA Director of Emergency Operations
NA-50	NNSA Associate Administrator for Facilities and Operations
NA-60	NNSA Associate Administrator for Management and Administration
NEPA	National Environmental Policy Act
NNSA	National Nuclear Security Administration
OA	Office of Independent Oversight and Performance Assurance
OPSEC	Operations Security
ORPS	Occurrence Reporting and Processing System
ORR	Operational Readiness Review
PAAA	Price Anderson Amendment Act
PAP	Personnel Assurance Program
PDA	Principle Deputy Administrator (NA-2)
PBI	Performance Based Incentive
POA	Plan of Action
PPBE	Planning, Programming, Budgeting and Evaluation
PXSO	Pantex Site Office
QA	Quality Assurance
QAP	Quality Assurance Plan
QAS	Quality Assurance Survey
RA	Readiness Assessment
RCRA	Resource Conservation and Recovery Act
RPP	Radiological Protection Plan

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RTBF Readiness in Technical Base and Facilities
SC Service Center
SER Safety Evaluation Report
SM Manager (of the Pantex Site Office)
SOM Site Office Manager (NNSA terminology)
SQA Software Quality Assurance
S/RID Source/Requirements Identification Document
SSTA Senior Scientific and Technical Advisor
TAC Texas Administrative Code
TQP Technical Qualification Program
TSR Technical Safety Requirements
TWC Texas Water Commission
USC United States Code
USQ Unreviewed Safety Question
USQD Unreviewed Safety Question Determination
WAD Work Authorization Directive

NA-10 FY 2006 PPBE Timeline

February 20	NA-10 Program & Fiscal Guidance Issued
March 15	M&O FYNSP Data Submitted to PIO (NA-13)
April 2	Program Managers Submit Final FYNSP Data to PIO (NA-13)
April 12	FY 04 2 nd Quarter Joule Report Due
April 14-15	Programming Meeting & Summary Meeting (Kansas City)
April 19	FY 2006 Programming Follow-On VTC (various locations)
April 19	NA-10 Begins to Develop PDM Strategy & Inputs
April 28	Financial Performance Mid-Year Review (DSW & STA PART presented)
May 6	QPR – Video Conference (various locations)
May 7	NA-10 Provides Programming Process FYNSP Update to NA-62
May 14	Clarifying Questions from NA-62
May 14	FY 05 Level 2 Milestones Entered in MRT
May 21	Responses to “Clarifying Questions” Due to NA-62
May 27	Presentation of FYNSP Update to the Program Decision Council
June 9	Administrator’s Programming Process Decisions
June 16	Draft FY05-FY10 Program Plans Due & Draft FY05-FY07 Preliminary Implementation Plans Due
July 1	Program Decision Memorandum (PDM) Issued
July 7	FY05-FY10 Detail Budget Data Call Issued to M&Os
July 26	QPR
July 27	Navigators Meeting (Post PDM Strategies)
July 10	FY 04 3 rd Quarter Joule Report Due
July 22	M&O Detailed Budget Data Due to PIO (NA-13)
July 30	Milestone Database Finalized; FY05-FY07 Preliminary Implementation plans Due; FY05-FY10 Program Plans Due
August 9 - 16	OMB Budget Submitted to NA-62
September 1	Baseline Program Budget Submitted to OMB
September 27-30	OMB Briefs
October 10	FY 04 4 th Quarter Joule Report Due
November 16	Final FY 04 QPR/Initial FY 05 QPR

SEPARATION

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Department of Energy
National Nuclear Security Administration
 Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, SANDIA SITE OFFICE

FROM: Everet H. Beckner 
 Deputy Administrator
 for Defense Programs

SUBJECT: **ACTION:** APPROVAL OF THE SANDIA SITE OFFICE
 (SSO) FUNCTIONS, RESPONSIBILITIES AND
 AUTHORITIES MANUAL (FRAM)

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached SSO FRAM submitted on February 6, 2004. Our review has determined that the submitted FRAM covers all needed functions, responsibilities and authorities required by NNSA FRAM. Also, the Site Office responsibilities and authorities for quality assurance and software quality assurance have been adequately covered in Sections 4.6 and 4.7 for meeting the requirements of Action 1.4.4 of the Quality Assurance Improvement Plan and Commitment 4.1.6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-1.

During our review we noted that the flow down of safety management responsibilities and authorities from Headquarters to Site Office, shown in Figure 2, is not consistent with NNSA FRAM. You are requested to correct this in the next update of the FRAM.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the Site Office FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the Site Office FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment:
 L. Brooks, NA-1
 T. Przybylek, NA-2





National Nuclear Security Administration

Sandia Site Office

P.O. Box 5400

Albuquerque, New Mexico 87185-5400



FEB 0 6 2004

MEMORANDUM FOR: Dr. Everet H. Beckner, Deputy Administrator for Defense Programs, NNSA (NA-10)

FROM: Patty Wagner, Manager *Patty Wagner*

SUBJECT: Sandia Site Office Functions, Responsibilities, and Authorities Manual

In accordance with your November 4, 2003 request, the National Nuclear Security Administration (NNSA) Sandia Site Office (SSO) is submitting the Functions, Responsibilities, and Authority Manual (FRAM) for your approval. As requested, this document complements the NNSA FRAM and addresses the respective action item of the Quality Assurance Improvement Plan for Defense Nuclear Facilities.

If you have any questions pertaining to the SSO FRAM, please contact Ken Zamora, the SSO Assistant Manager for Oversight and Assessment at (505) 845-6869, or Daniel Dilley, the SSO ISMS Program Manager, at (505) 845-6246.

Attachment

cc w/attachment:
S. Goodrum, SSO
M. McFadden, SSO
K. Zamora, SSO
B. Mullen, SSO
L. Adcock, SSO
J. Loftis, SSO
D. Pellegrino, SSO
M. Wood, SSO
G. Schmidtke, SSO
D. Dilley, SSO
L. Maestas, NNSA, SC

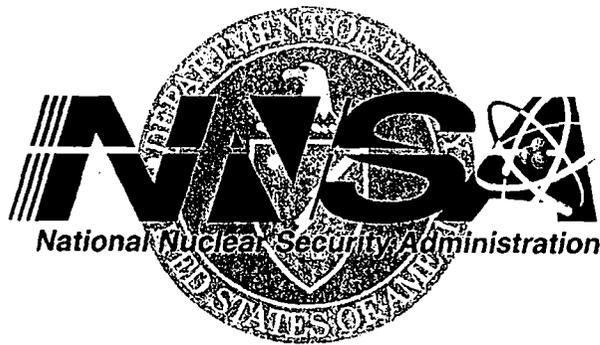
[Faint handwritten notes and a date stamp, possibly "FEB 11 2004"]

2004-01-27 10:30
2004-01-27 10:30

SANDIA SITE OFFICE MANUAL

**SANDIA SITE OFFICE SAFETY MANAGEMENT
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES
MANUAL (SSO FRAM)**

January 27, 2004

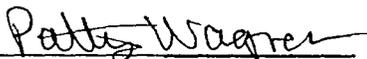


Distribution: SSO, NNSA Headquarters, NNSA Service Center

**Sandia Site Office
Manual of Safety Management Functions,
Responsibilities, and Authorities**

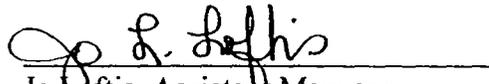
The National Nuclear Security Administration (NNSA) Sandia Site Office (SSO) Safety Management Functions, Responsibilities, and Authorities Manual (FRAM) defines and documents SSO federal implementation of Integrated Safety Management. The SSO Manager is responsible and accountable for ensuring the safety and security of operations at Sandia National Laboratories (SNL). The SSO Manager executes the NNSA direction and guidance through the Sandia Corporation Managing and Operating Contract. Specific responsibilities and authorities are detailed amongst each Assistant Manager (AM) to enable effective execution of the NNSA mission objectives.

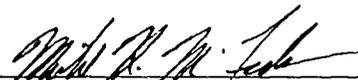
This document presents the safety management functions for SSO and the associated responsibilities and authorities to perform those functions. The SSO Manager with input and feedback from the SSO staff approves this manual.

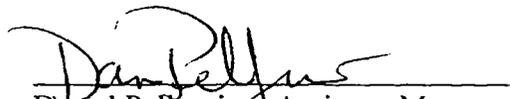

Patty Wagner, Manager
Sandia Site Office

The SSO Deputy Manager and SSO Assistant Managers understand their Safety Management functions and responsibilities as defined in this FRAM and their signatures below document their recognition and concurrence with these assignments.


W. Steven Goodrum, Deputy Manager


Jo Loftis, Assistant Manager
Safeguards and Security

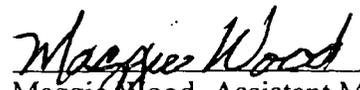

Michael McFadden, Assistant Manager
Facilities and Project Management


Daniel Pellegrino, Assistant Manager
Defense Programs and Quality
Assurance


Kenneth Zamora, Assistant Manager
Oversight and Assessment


Larry Adcock, Assistant Manager
Science and Technology


William Mullen, Assistant Manager
Nuclear Facilities and Safety Basis


Maggie Wood, Assistant Manager
Contract Administration and Business
Management

REVISION LOG

Revision Number	Affected Pages	Date	Reason for Revision

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1. INTRODUCTION

The Department of Energy (DOE) is committed to conducting work efficiently and in a manner that ensures protection of the worker, the public, and the environment. DOE defines its safety¹ management functions and responsibilities in Policy 411.1, *Safety Management Functions, Responsibilities and Authorities Policy* and DOE Manual 411.1-1C, *Safety Management Functions, Responsibilities and Authorities* (DOE FRAM). On October 15, 2003, the National Nuclear Security Administration (NNSA) Administrator approved the *NNSA Safety Management Functions, Responsibilities, and Authorities Manual* (NNSA FRAM) that further defines NNSA safety management roles and responsibilities. The Sandia Site Office (SSO) developed the *SSO Functions, Responsibilities and Authorities Manual*, (SSO FRAM) in response to the NNSA FRAM to document the SSO Federal implementation of Integrated Safety Management² (ISM). The SSO FRAM is written to provide clear roles and responsibilities to the NNSA in implementing safety management.

In addition to satisfying requirements in the NNSA FRAM to document safety management roles and responsibilities, the SSO FRAM serves as the baseline for all SSO Federal safety related functions and as such serves as the SSO ISM System (ISMS) Description. During the development of the SSO FRAM, ISO 9001 and the DOE Order 414.1A general requirements and 10 quality assurance criteria were considered. Seven of the 10 were determined to be applicable and were included in the SSO FRAM. Criteria 6, Design; 7 Procurement; and 8, Inspection and Acceptance Testing were not found to be applicable to current SSO operations; these functions are implemented by SNL, and the SSO role is specific to oversight (reference 10 CFR 830). ISO 9001 requirements were reviewed and applicable requirements were incorporated into the SSO FRAM. SSO has elected to develop a Quality Assurance Program (QAP) as a separate document to address the requirements in DOE Order 414.1A, 10 CFR 830, and ISO 9001.

2. PURPOSE

SSO is the risk acceptance agent for the NNSA and provides operational oversight and contract administration for work conducted by Sandia Corporation, the company that is under contract to operate the Sandia National Laboratories (SNL). The SSO Site Office Manager (SOM) is responsible and accountable for ensuring the safety of operations at SNL. The SOM provides direction and guidance to the Assistant Manager for Contract Administration and Business Management (AMCABM) who executes the requirements to the SNL contractor and subcontractor(s). The SSO FRAM documents the assignment of safety functions and responsibilities to each Assistant Manager as well as the

¹ Throughout this document, the term "safety" is synonymous with "environment, safety, and health" and encompasses protection of the public, workers, and the environment.

² ISM is defined in the Department of Energy (DOE) Implementation Plan 95-2, *Integrated Safety Management*, and DOE Policy 450.4, *Safety Management System Policy*.

mechanisms used to carry out these responsibilities to enable effective execution of NNSA program direction. The authority to perform these functions is derived from a variety of sources (e.g., NNSA FRAM, DOE directives, contractual requirements). Each safety function detailed in Section 9 of this document includes at least one reference to the source of the authority to perform the function. These functions, responsibilities, and authorities are controlled and maintained through the SSO FRAM and are further delineated in the contract with Sandia Corporation as appropriate.

Each Assistant Manager is responsible for defining and documenting how each assigned function and responsibility are to be implemented. In some instances the appropriate implementation mechanism is referenced in Section 9, SSO FRAM Functional Responsibility Assignments, of this document. In more complex instances, the responsible Assistant Manager may develop a lower tier Functions, Roles and Authorities (FRA) document specific to their functional area to document the implementation of their responsibilities.

3. BACKGROUND

Within SSO, the safety management functions, responsibilities, and authorities for protection of the environment, and the health and safety of workers and the public are founded upon the principles and functions of ISM to accomplish SSO mission requirements. SSO employees are responsible for the safe administration of contracted work performed by SNL. The fundamental premise of the SNL ISMS is to "Perform Work Safely." The responsibility of administering the contract with Sandia for ES&H activities assists with this determination of performing the work safely. To assist in achieving this objective, SSO supports contractor workforce initiatives and involvement in achieving safety excellence. Furthermore, SSO continues to actively participate in many of the SNL ISMS processes, committees, and working groups to maintain involvement in the development, implementation, and continuous improvement of the ISMS as applied throughout SNL.

The ISMS guidance promotes integration between ES&H programs and the management of work. It also provides a common understanding and a more systematic way to manage ES&H. This system promotes the full inclusion and integration of ES&H into the totality of work, such that it is an integral part of the whole – not a stand-alone program. The Appendix A includes examples of SSO's implementation mechanisms for ISMS. While considering the seven guiding principles of ISM, a number of assumptions were used in the development of the SSO FRAM. They form the basis of the SSO safety management approach to managing mission work including the work associated with maintaining a safe, secure, and reliable nuclear weapons stockpile. These assumptions are as follows:

1. The responsibility, authority, and accountability within SSO shall be clearly defined.
2. SSO is responsible and accountable for planning, implementing, and self-assessing of its mission related work.

3. Development of the budget is part of the process that “balances priorities” among environment, safety, security, quality, and program needs. The budget formulation and execution functions will be integrated at Headquarters. SSO will be involved in budget formulation and content. At a minimum, all legal requirements for environment and regulatory compliance will be met.
4. SSO shall set performance objectives for SNL mission requirements.
5. SSO oversight of Sandia Corporation will utilize available self-assessment data and will be accomplished as close to the work as practical and as required by DOE P 450.5, *Line Environment, Safety and Health Oversight* and the NNSA FRAM.
6. Safety management authorities that are delegated to SSO will be captured in Section 9 of the SSO FRAM. The SOM will further delegate authority to the extent feasible, based upon the capability of the receiver to accomplish the task.
7. SSO staff will be assigned based upon a vision of “steady state/normal operations.” When required, additional DOE assets and/or contract support shall supplement staff.
8. SSO will participate with NNSA-HQ on the development of Quality Assurance Policies and will have oversight and assessment responsibilities for Sandia Corporation implementation and performance.

4. SCOPE

This manual documents SSO safety management functions, responsibilities, and authorities and corresponding mechanisms (and indicates on going efforts to develop SSO implementing mechanisms). The SSO FRAM applies to all SSO personnel who provide technical direction and oversight of Sandia Corporation performance and execution of work at SNL. This manual addresses the safety management FRAM for planning, funding, performing, assessing, improving, and enforcing the requirements necessary to work safely, including the establishment of standards for which the SSO Manager is responsible. The objective of the SSO FRAM will be to better document functions, responsibilities, and authorities for the SSO staff to comply with and adhere to the implementation of safety management while executing their work activities. In addition, the SSO will document safety delegations of authority from Headquarters (NNSA-HQ) organizations to the SSO management, where those delegations have been made separate from DOE directive responsibility statements.

5. ORGANIZATIONAL RESPONSIBILITIES

General Statement of Functions: The Sandia Site Office (SSO) provides operations, production, and program oversight and contract administration for Sandia National Laboratories (SNL) activities and serves as the risk acceptance agent for the NNSA. The SSO is responsible for: (1) the safe and secure operation of SNL facilities; (2) supporting NNSA programs to ensure their success in accordance with their expectations; and (3)

ensuring the long-term viability of SNL to support NNSA programs and projects. The following paragraphs detail specific responsibilities of the offices within SSO and in addition, includes a summary of ES&H related responsibilities. Figure 1 shows the SSO organizational chart.

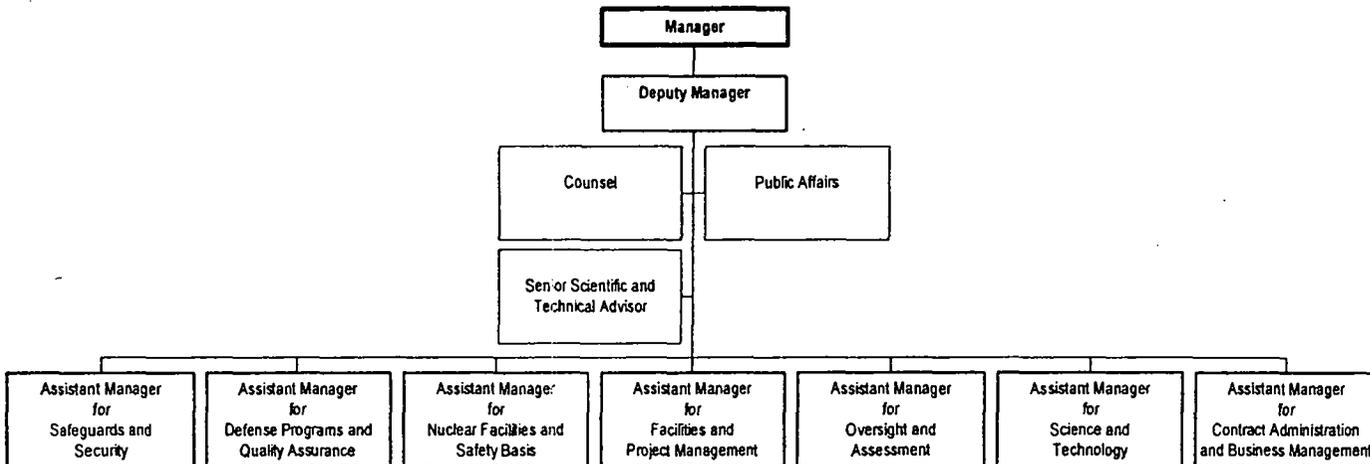


Figure 1: SSO Organizational Chart

Office of the Manager: The SOM serves as the SSO Senior Executive and Contracting Officer, with comprehensive responsibility for overall management of the Site Office and M&O contractor in matters pertaining to execution of contract terms and conditions, and programmatic requirements. This Office serves as the primary advisor to the NNSA/HQ on all matters affecting the SNL M&O contract and appoints Contracting Officer Representative(s) for the contract. Site Counsel provides legal counsel to the Site Manager on all legal matters affecting the site and liaison with the local U.S. Attorney on local NNSA litigation; assists Headquarters in the development of legal policy; and coordinates SSO legal activities with Headquarters. Public Affairs, Information & Intergovernmental Relations provides interface with the community, regulators and interest groups; produces site-specific communications; and implements a site-specific external relations and communications program to include community and media relations, protocol, intergovernmental relations, and employee communications.

The **Deputy Site Office Manager** is responsible for the direction of programs, projects and administrative functions and activities assigned to SSO and serves as the Acting Manager in the absence of the Manager. The Deputy SOM acts for the SSO Manager when delegated and represents the Manager for SSO in negotiations and interactions with contractors, representatives of other government agencies (Federal, state, and local), and other DOE/NNSA offices in assigned programs. The Deputy SOM also recommends fee allocation, fee awards (including penalties), and performance-based incentives to the SSO Manager.

The **SSO Counsel** reports to the SOM on programmatic, administrative, and functional matters and to the General Counsel on matters of law and legal policy; and directs and is responsible for all matters of law and legal policy that are connected with the functions of SSO. Counsel is directly accountable to the SOM for all matters of law and legal policy at SSO. Counsel provides frequent updates pertaining to activities, actions, and decisions regarding legal issues. In accordance to basic ISMS principles to have authorities, responsibilities, and accountabilities defined, the SSO Counsel is the single point of contact, representing the SOM pertaining to the interpretation, review, and approval of legal documents.

The **Public Affairs Specialist** reports to the SOM and Deputy SOM for the SSO and is responsible for all public affairs matters that are connected with the functions of SSO. In this capacity the Public Affairs Specialist is responsible for the development, management and oversight of the SSO public affairs programs including media relations, community relations, tribal relations, public participation, government/congressional relations, protocol, emergency management public affairs, and internal employee communications. The Public Affairs Specialist keeps the NNSA Headquarters Office of Congressional, Intergovernmental, and Public Affairs and the NNSA SC Office of Public Affairs informed of issues that might result in broader public interest. In accordance to basic ISMS principles to have authorities, responsibilities, and accountabilities defined, the SSO Public Affairs Specialist is the single point of contact, representing the Office when activities pertains to the interpretation, review, and approval of public affairs related documents or activities.

The **SSO Senior Scientific and Technical Advisor** is responsible for providing technical advice to the SOM and acts as the principle contact for all matters relating to technical issues associated with the safe operation of the SNL performed in support of the DOE strategic mission.

The **Assistant Manager for Defense Programs & Quality Assurance (AMDPOA)** is a Contracting Officer Representative and is responsible for direction, day-to-day production and programmatic oversight, and contract administration activities. NNSA Nuclear Weapon Programmatic support includes: Ensures site readiness to respond to new requirements and is supportive of NNSA production readiness policies; Directed Stockpile Work, Campaign, and Readiness in Technical Base Facilities oversight, supports planning and execution processes through identification of site issues and impacts to priorities established by NNSA Program Managers; ensures appropriate site level coverage of program in SNL budget documents; provides, product status, validation of management systems, and design/production interface. Coordinates and facilitates resolution of nuclear weapon complex, cross-platform, cross-laboratory, and long-term issues involving SNL support to other sites, including the Integrated Weapons Activity Plan (IWAP). Resolves competing requirements not resolved at a lower level for resources affecting SNL support to the nuclear weapons complex. Ensures Sandia processes for tracking potential weapon safety issues to closure is functioning, and results

are being disseminated to all potentially affected NNSA sites. Quality Assurance and Control: Serves as Site Office Quality Assurance Agency (QAA); establishes local procedures for quality assurance activities and performs product acceptance for the U.S. government and the United Kingdom; performs quality surveys of WR components and manufacturing processes; and supports quality and process improvement initiatives such as six sigma and lean manufacturing.

The **Assistant Manager for Safeguards and Security (AMSS)** is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration for all Sandia activities related to Safeguards and Security (S&S) and Intelligence. The AMSS performs comprehensive compliance and performance-based monitoring and evaluation of the contractor's safeguards and security program effectiveness through the conduct of surveys, surveillances, compliance reviews and performance testing across all topics and sub topics. Evaluates the credibility and effectiveness of the contractor's protection plan and strategies in comparison to the current Design Basis Threat and site-specific vulnerability assessments. The AMSS participates in the formulation of the annual sites S&S fiscal budget and monitors the execution of the approved budget. Responsible for the final approval of the SNL Site Safeguards and Security plan and other pertinent security plans. The AMSS provides oversight to ensure the effective implementation of the overall SNL S&S program to include the topics: program management, protection program operations, nuclear material control and accountability, information security to include classified and unclassified cyber security, and personnel security.

The **Assistant Manager for Contract Administration and Business Management (AMCABM)** is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration activities related to the Sandia M&O contract and associated business management functions to include information technology, human resources, procurement, personal property management, Inspector General/General Accounting Office interface, and records management. Also responsible for the coordination of the SSO's evaluation of contractor performance through the development of the Performance Evaluation Report and annual Performance Evaluation Plan. Oversees and facilitates the implementation of DOE and NNSA-specific policies, procedures, programs, and management systems pertaining to development and implementation of program controls related to the administration of prime contracts, grants and agreements, performance incentive and assessment programs, Work Authorizations, and general financial planning, management, costing and budgeting. Provides direction, advice, processes and systems to facilitate SSO internal management systems for federal program direction budgeting, information technology, records management, and training. Responsible for the SSO directives system process includes the review, comment, and resolution of DOE-HQ Policies, Orders, Manuals, Guides, Rules, and technical standards, along with the SSO Orders, Manuals, and Notices and incorporation of these directives into the Sandia contract. AMCABM is also responsible for establishing the SSO business management system.

The **Assistant Manager for Facilities and Project Management (AMFPM)** is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of facilities, project management and Environmental Management (EM) funded projects. Facilities Management: Provides oversight and contract administration of the SNL Ten-Year Comprehensive Site Plan process; infrastructure and facilities program execution; SNL maintenance; and of the facilities and infrastructure recapitalization program. Construction Project Management: Provides oversight and contract administration of construction project planning and management; and in project planning for site construction projects. Real Property Management: Approves SNL contractor property systems with respect to property acquisition, control, and disposition at SNL sites. Provides oversight and contract administration of Environmental Management funded projects, including environmental restoration projects and activities involving all aspects of cleanup and long-term stewardship.

The **Assistant Manager for Nuclear Facilities and Safety Basis (AMNFSB)** is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities regarding safe nuclear operations in support of mission objectives. The AMNFSB is responsible for the planning, implementation, and operations at the SNL nuclear facilities to ensure programmatic objectives are met. The AMNFSB is responsible for interfacing with the Defense Nuclear Facilities Safety Board as the SSO point of contact for all SNL site-specific issues. In addition, the AMNFSB is responsible for coordinating all Sandia Site Price Anderson Amendment Act (PAAA) activities and for providing oversight for daily operations at the SNL TA-V Facilities; supports long term planning of facility operations and mission/program activities. The AMNFSB is responsible for ensuring satisfactory development and implementation of the safety basis requirements for all SNL Sites both nuclear and non-nuclear. The AMNFSB also performs the functions and duties required as the onsite representative for the Office of Nuclear Energy, Science and Technology. The AMNFSB will provide assistance, direction, guidance, oversight, and evaluation of safety software at Defense Nuclear Facilities. This includes safety software used for consequence analysis for potential accidents and design basis events, design for structures, systems and components, and instrumentation and controls.

The **Assistant Manager for Oversight and Assessment (AMOA)** is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of the of environmental, safety, and health (ES&H) programs at SNL; serves as NNSA lead for site environmental planning, compliance, monitoring, and permitting; conducts process for the National Environmental Policy Act (NEPA); provides oversight including independent readiness assessments, programmatic ES&H assessments, authorization basis support, accident investigations and employee concern reviews; develops and maintains a qualified Facility Representative program; implements and oversees the SSO non-nuclear quality assurance (QA) program; implements and oversees Integrated Safety Management Systems (ISMS); implements the SSO emergency management program and maintains a qualified SSO emergency

response organization; provides subject matter expertise and technical support at the local Honeywell facility and other sites and facilities as requested; manages the Federal Employee Occupational Safety and Health Program; and provides oversight and direction for SNL waste management and pollution prevention programs.

The **Assistant Manager for Science and Technology (AMST)** is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of the technical activities at SNL that are funded from sources external to NNSA Defense Programs. Specifically, these programs include: Work for Other (WFO), (both Other Federal Agencies and Non-Federal Sponsors); Department of Homeland Security (DHS); Non-NNSA DOE Offices (Offices of: Science, Nuclear Energy, Energy Efficiency, Fossil Energy, etc.); Technology Partnerships; and Technology Deployment Centers (TDC)/User Facilities (both Congressional designated and NNSA approved). Provides federal oversight for the following NNSA programs: Defense Nuclear Non-Proliferation (NA-20) and Laboratory Directed Research and Development (LDRD).

The **NNSA Service Center (SC)** is independent of SSO, but provides assistance to the SSO as requested for various activities under the purview of the SSO. The SSO has a formal Service Arrangement (SA) with the NNSA SC to provide services to the SSO. The Agreement is a living document and is scheduled to be revised on an annual basis. The SSO will continue to use the NNSA SC directives, as necessary, in concert with SSO Procedures to implement the FRAM requirements.

6. DELEGATION OF AUTHORITY

This site FRAM is established to comply with the Secretary's direction concerning safety management responsibilities and authorities stated in the DOE FRAM and NNSA FRAM. Several safety management authorities have been delegated to the SOM (e.g., NNSA FRAM, DOE Directives, Memorandum). The SSO uses the SSO FRAM to document the acceptance of delegated authorities. The SOM may use the SSO FRAM to document delegation of authority within SSO (reference section 9). All records of delegation must be documented and maintained. Delegation of authority does not relieve the delegating officer of responsibility for the outcomes of the exercise of that authority. The following restrictions apply to the delegation of authority:

- (1) All delegations of authority must be in writing and provided to the designee. This document shall establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances, under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.
- (2) SSO FRAM and SSO procedures are an approved method for documenting delegations of authority.

The SSO AMs and staff receive authority from assignments contained within this SSO FRAM, Procedures Manual, and other SSO documents that are written to implement/supplement DOE directives. Major elements of the SSO safety management program pertain to site and facility requirements, authorization basis, certification of readiness, and the approval to proceed. The SOM approves site and facility ES&H requirements documents or initial applications or major revisions (where applicable), as previously delegated by the Program Secretarial Officer.

7. OVERVIEW OF MANAGEMENT INTERFACES

The execution of the Contract must be consistent with the NNSA performance direction as provided the Contracting Officer (CO) or Contracting Officer's Representative (COR) consistent with their delegated authority, and the terms and conditions of the Contract. All other Federal staff and oversight components are precluded from tasking contractor personnel. The CO and CORs will provide program and performance direction regarding what NNSA wants in each of its programs (i.e., performance expectations and results) and the Contractor will determine how the programs are executed. The CORs interface with their identified Sandia counterparts when providing performance direction, within the CO approved scope, schedule, and budget.

The SSO Assistant Managers provide oversight of Sandia Corporation's performance. SSO staff and support organizations interface routinely with internal staff as well as with SNL on work related matters. SSO staff communicates informally with their NNSA/HQ and other site office counterparts. Although major items (such as budgets, project execution, plans, and review of directives) are formally transmitted, much of the daily communication is usually informal.

The SOM as Contracting Officer:

- Provide clear expectations and performance measures to Sandia Corporation regarding the work to be performed including the safety requirements.
- Responsible for oversight and assessment of contractor performance.
- Determines annually that Sandia Corporation safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.
- Determines the need for team review of the Sandia Corporation safety management system and appropriate revisions.

NNSA HQ Offices, Service Center, and Site Offices share the following responsibilities.

- Ensure employees are qualified to perform their assigned safety functions, including oversight, by implementing the Federal Technical Capability Program.

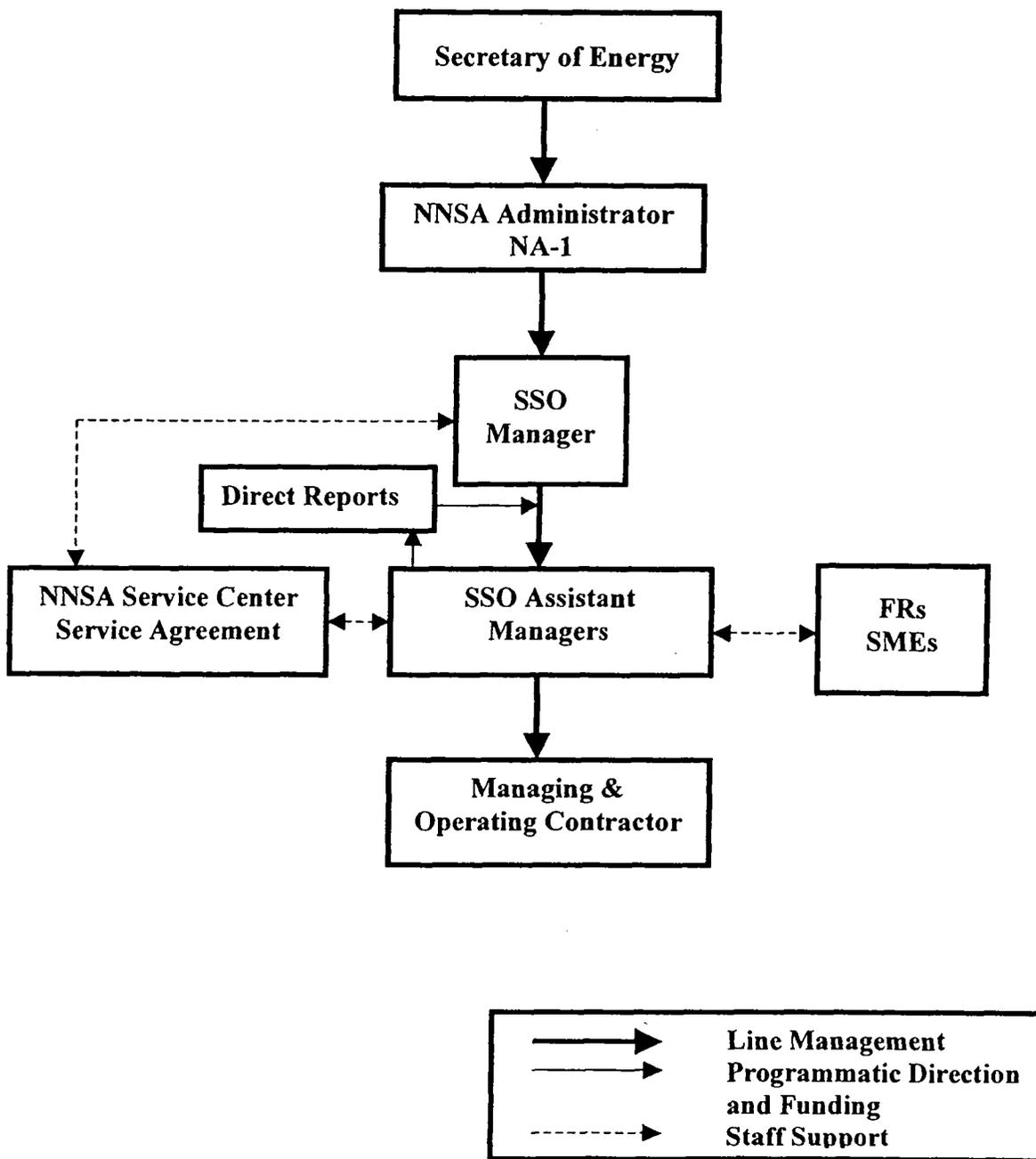
- Assess their own organizations to identify areas in which continuous improvement in the safety of NNSA operations can be realized. Assign responsibility within the element for establishing criteria for such assessments and for conducting them.
- Examine the findings of both internal and external assessments conducted by competent authority of their element to identify root causes, trends, and necessary corrective actions within the responsibility of their element.
- Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and lessons learned.
- Ensure that corrective actions are planned, prioritized, and pursued to completion and adequately correct the root causes of the conditions that prompted them.
- Ensure that information from various feedback sources is evaluated in an integrated manner.
- Implement and participate in DOE/NNSA lessons learned programs to improve internal organizational lessons learned processes, and enhance NNSA/DOE-wide sharing of lessons learned. Integrate sharing of lessons learned with contractor programs to maximize lessons learned exchange.
- Cooperate fully with the Defense Nuclear Facilities Safety Board (DNFSB), by providing ready access to NNSA facilities, personnel, and information; and timely responses to DNFSB recommendations and requests for information and data as described in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*.

8. CHANGE CONTROL

The SOM and SSO Assistant Managers execute functions, responsibilities, and authorities as described in SSO FRAM and SSO procedures. The FRAM defines the SSO expectations regarding organizational accountability for safety management. This FRAM will be referenced as a requirement in the SSO Procedures Manual. The Assistant Managers will be responsible for providing changes necessary for the annual update for this SSO FRAM. In addition, each SSO Assistant Manager is responsible for ensuring that their responsibilities are accurately depicted within the SSO FRAM. Documentation of changes and reissues will be maintained as followed:

- (1) Assistant Managers may request a change to the SSO FRAM.
- (2) The change to the SSO FRAM must be justified and this justification can be provided to the SOM or their designee.
- (3) The change request must reflect impacts to the SSO FRAM.
- (4) The SOM or designee must approve all changes. Approved change requests will be maintained as official records (See Figure 2 – SSO Flow of Responsibilities and Authorities).

Figure 2 – SSO Flow of Responsibilities and Authorities



9. SSO FRAM FUNCTIONAL RESPONSIBILITY ASSIGNMENTS

A description of additional safety management functions, responsibilities, and authorities for the SSO Manager (SOM) is outlined below (to the right of the actions are the current and planned SSO implementing mechanisms):

1.0 Provide Direction – Strategic Plans, Missions Statements, Budget, Resource Allocation, Technical Qualification and Competency

- 1.1 Review and provide input to the Federal Technical Capability Program with guidance developed by the Principal and Deputy Administrators to ensure the NNSA Federal technical employees responsible for oversight at NNSA facilities are trained to perform their duties safely and efficiently. (NNSA FRAM, DOE G 426.1-1, O 360.1B)

SOM delegates FTCP Agent to the AMOA for SSO FRAM.
Site Office Technical Personnel.

(AMOA Lead)

- 1.2 Ensure that SSO Staff are trained and qualified to perform their assigned duties. (DOE G 426.1-1, O 360.1B, DOE O 414.1A Criterion 2)

Supervisors review technical staff's qualification standards, qualification cards, training records, and performs interviews to determine satisfactory completion of the requirements. Recommends staff qualification to the SSO Manager. Ensures staff completes competencies in the qualification card within an appropriate time period.

Ensure all personnel, through the IDP process, are trained and qualified to accomplish their assigned duties. First line supervisors responsible for approving staff Individual Development Plans (IDPs).

AMCABM is responsible for the development of an SSO Training and Qualification Procedure.

(AMOA Lead)

Staff Qualification Standards.
Individual Development Plans.
Appropriate Training Courses.
NNSA Technical Qualification Plan (on going)

- 1.3 Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and

safety initiatives; landlord activities; implement correction actions and safety improvements. (NNSA FRAM)

AMCABM is responsible for the coordination of review and approval of M&O budget and development of the SSO Program Direction budget. Each AM validates their portion of the SNL budget submission and ensures that the budget is executed in accordance with the submission. Concur on work authorizations sent by HQ prior to signature by the CO. Examples include:

- AMDPQA supports budget development and execution for RTBF, DSW and production activities.
- AMFPM submits Ten Year Comprehensive Site Plan (TYCSP) and Project Data Sheets to support preparation of the proposed budgets. Reviews subsequent budget allocations and provides an impact analysis of any proposed reductions to the AMCABM and Headquarters.
- AMOA provides input to the AMCABM pertaining to ES&H issues and their corrective actions/improvements. Includes the review of the ES&H 5-year site plan.
- AMSS validates the SNL S&S budget submission and ensures that the budget is executed in accordance with their submission.
- AMST provides determination of mission support for selected programs and projects.

ES&H 5-Year Site Plan.
TYCSP guidance.
PDS guidance.
Work Authorizations.

(AMCABM Lead)

- 1.4 Provide oversight to ensure that contractor employees maintaining and operating NNSA facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements. (NNSA FRAM, DOE P 450.5)

SOM ensures that each AM provides an adequate level of oversight in their assigned areas per DOE P 450.5. Examples include:

- AMSS provides oversight of all safeguards and security activities for all SNL facilities, as well as subcontractors performing classified work to ensure that an adequate level of security is maintained against the established threat.

SNL Contract regarding the Assurance System.
SSO AMOA Assessment Procedure and Schedule.

- AMDPQA conducts quality assurance and operations assessments to verify SNL personnel are trained and qualified.
- AMFPM provides oversight of SNL facilities and project management processes.
- AMOA provides day-to-day oversight and programmatic assurance (including formal assessments) by the Facility Representatives (FRs) and Subject Matter Experts (SMEs). Competence commensurate with responsibilities (training) is reviewed on many oversight activities.
- AMST notifies AMOA and AMNFSB of any perceived safety concerns.
- AMNFSB provides oversight of the SNL nuclear facilities.

(All SSO AMs Lead)

2.0 Define Scope of Work – Translate Mission into Work, Set Expectations

- 2.1 Authorize ISMS verification to ensure ISMS is implemented and maintained at NNSA facilities. (NNSA FRAM, DOE P 450.4, DOE G 450.4-1B)

SOM ensures that the ISMS is implemented, maintained and continually improved at SSO and SNL.

Contractor Assurance System.

- AMSS ensures, as part of the oversight activities, that SNL has an ISSM program that is effective. Any safety-related issues are coordinated with AMOA.
- AMDPQA supports HQ elements as necessary with DSW, RTBF, and QA work objectives.
- AMFPM provides oversight of SNL facilities and project management processes. Any safety-related issues are coordinated with AMOA.
- AMOA provides day-to-day oversight and programmatic assurance (including formal assessments) by the FRs and SMEs. Formal assessments of the SNL ISMS program are conducted by AMOA with support from NNSA SC.

- AMOA is responsible for ensuring that the SSO FRAM documents the SSO ISMS.
- AMNFSB verifies that ISMS is implemented and maintained at SNL nuclear facilities.

(AMOA lead)

- 2.2 Develop work plans, including scope, schedule, and funding allocations for each fiscal year. These plans should reflect mission assignments to the field and by facilities, project, and programs. (NNSA FRAM)

SOM is responsible for ensuring that each fiscal year work plans and funding allocations reflect mission assignments. AMCABM is responsible for coordination of the review and approval of all Work Authorizations for Sandia Corporation.

TYCSP guidance.
DOE O 413.3.
Work Authorizations.

Specific examples include:

- AMSS participates, through the budget process, on the scope of work and workload priorities. AMSS monitors work plans throughout the year to ensure that work is being accomplished according to the budget submission and an adequate level of safeguards and security is maintained.
- AMDPQA reviews Was for RTBF, DSW, and Campaigns. AMDPQA also supports HQ requests to clarify SNL plans, and track progress against the work plans.
- AMFPM participates in the development of the SNL TYCSP and Project Execution Plans. AMFPM recommends approval of these plans. AMFPM reviews and concurs on SNL work authorization plans.
- AMOA reviews work plans for potential ES&H impacts. AMOA develops formal assessment schedule that is the AMOA work plan for oversight.
- AMNFSB reviews work plans to ensure that facilities, projects, and programs involving SNL nuclear facilities are adequately implemented.

(AMCABM lead)

- 2.3 Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules, NNSA and DOE policies, Orders, Notices, Manuals, Guides, and Technical Standards. (NNSA FRAM, P 251.1, M 251.1-1A, O 251.1A, O 252.1, 10 CFR 820)

SOM is responsible for ensuring SSO participates in the development of new/revised directives (e.g., Rules, NNSA and DOE policies, Orders, Notices, Manuals, Guides, and Technical Standards). SOM is responsible ensuring that SSO implements applicable directives. SOM is responsible for ensuring the appropriate directives are included in the SNL contract.

Writing SSO Procedures and Operating Procedure. SSO Directives Process (on going).

AMCABM is responsible for the implementation of the directives program for SSO. Each AM reviews and comments on draft guidance under their purview. Each AM determines applicability to SNL prior to CO formal transmission to the contractor, and reviews/approves required Implementation Plans prior to implementation. AMCABM ensures that appropriate directives are reviewed by appropriate SSO entities and are entered on to the SNL contract.

(AMCABM lead)

- 2.4 Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates. Monitor contractor performance to assess whether performance expectations have been met. (NNSA FRAM)

SOM ensures that contracts are awarded and administered with clear expectations and performance measures with requirements for annual updates. SOM ensures that contractor performance is monitored and whether performance expectations have been met.

M&O Contract.
Contractor Assurance System.
M&O Performance Evaluation Plan (PEP).

AMCABM is responsible for contracting activities that include the preparation and administration of contracts. Works with SMEs and AMs to ensure that clear expectations and performance measures are included in the annual Performance Evaluation

Plan. AM involvement in this process includes the following:

- Each AM provides input into the SNL Performance Evaluation Plan for measures that will apply to their assigned area.
- Each AM monitors SNLs performance against the agreed to measures, and provide quarterly feedback regarding their performance.
- Each AM evaluates SNLs performance annually as part of the overall Performance Assessment of the contractor.

(AMCABM Lead)

2.5 As Contracting Officer (NNSA FRAM, DOE P 450.4):

- Negotiate with each contractor, in consultation with Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the contract.
- Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for mission including safety requirements.
- Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.
- Determine the need for team review of the contractor's safety management system and revisions thereto.
- Approve safety management systems and revision thereto (48 CFR 970)
- Incorporate approved Standards into contract requirements.
- Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.

Reference sections 2.1 - 2.4.

2.6 Prepare Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise FRA documents within 90 days of issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from Deputy Administrator for Site FRAMs that have QAP elements integrated. (NNSA FRAM, P 411.1, M 411.1-1C, DOE O 414.1A Criterion 1, ISO 9001)

SOM approves the SSO FRAM. SOM is responsible for assuring that the SSO FRAM is implemented. SOM shall ensure that responsibilities and authorities are defined and communicated within SSO per ISO 9001.

SSO FRAM.

AMOA leads the development of the SSO FRAM. All AMs provide the appropriate input to the FRAM in terms of their program responsibilities. AMOA is responsible for ensuring that the SSO FRAM is maintained.

(AOMA lead)

- 2.7 Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed. (NNSA FRAM, P 411.1, M 411.1-1C)

SOM is responsible and accountable for the operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed. (NNSA FRAM, P 411.1, M 411.1-1C)

SSO FRAM.

- AMOA works with each AM to ensure that the SSO FRAM identifies specific responsibilities pertaining to the operation and maintenance of the SNL facilities.
- FRs are assigned facilities to provide appropriate oversight of operations. SMEs have programmatic responsibilities for ES&H functional areas. FRs and SMEs provide input to line management regarding the operations and maintenance of facilities.
- Each AM is responsible for implementing the elements of the SSO FRAM.
- AMFPM ensure facilities are properly maintained.
- AMDPQA oversees the RTBF Program.
- AMNFSB ensures that the nuclear facilities are operated and maintained.

(AMOA, AMNF, AMFDPQA and AMFPM have shared responsibilities)

- 2.8 Conduct line oversight of safety management systems to ensure effective implementation and maintenance. (NNSA FRAM, P 450.5)

SOM ensures all AMs participate in the oversight of the SNL ISMS. Reference 2.1 and 2.7. SSO FRAM Appendix A.

- 2.9 Ensure that contractors describe, document, implement, and maintain their safety management systems. (NNSA FRAM, P 450.4, G 450.4-1B)

SOM provides day-to-day oversight and programmatic assurance including formal assessments by the SSO. Reference 2.1. SNL Contractor Assurance System.

- 2.10 Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources. (NNSA FRAM, P 450.4)

SOM ensures that work is prioritized to meet mission and safety expectations within the available budget. SNL Contractor Assurance System.

- 2.11 Review and support development of expected performance objectives and related Deputy Administrator goals and priorities. (NNSA FRAM)

SOM ensures the development of ES&H performance objectives and ES&H goals from the NNSA Strategic Plan and the SSO Operations Plan. NNSA Strategic Plan. SSO Operations Plan. SNL Contractor Assurance System.

AMCABM responsible for the development of the SSO Operations Plan and performance objectives that are measured throughout the year and presented in the Performance Evaluation Plan.

AMOA ensures the incorporation of these objectives into the SSO FRAM and daily oversight activities.

(AMCABM lead)

- 2.12 Develop and implement a document control process for the SSO. Ensure appropriate records are maintained for the SSO. (DOE O 414.1A, Criterion 4, DOE O 413.3)

SOM is responsible for the development and implementation of a document control process for SSO Procedure for Document Control Process

the SSO.

(on going).

DOE O 413.3.

AMCABM is responsible for the development of an information management system that will ensure that appropriate records are developed and maintained for SSO.

All AMs support SSO Management System

AMFPM is responsible for the development and implementation of a Project Baseline Change Control Process.

AMNFSB is responsible for ensuring adherence to nuclear documentation retention requirements.

(AMCABM (ISO) lead)

2.13 Develop and implement SSO procedures per ISO 9001 requirements. (ISO 9001, DOE O 414.1A Criterion 5)

SOM is responsible for ensuring that SSO AMs develop and maintain an effective business management system. Develop documented statements of quality policy and objectives as required by ISO 9001.

SSO Business Management System Document (on going).

Each AM is responsible for developing, maintaining and implementing work control processes for their area of expertise.

Each AM participates in the implementation of ISO related initiatives for SSO.

(AMCABM (ISO) lead)

3.0 Analyze Hazards and Develop and Implement Controls

- 3.1 Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities). (NNSA FRAM, P 450.4)

SOM directs SNL to develop appropriate site and/or facility specific standards.

SNL Contractor Assurance System.

AMCABM incorporates tailored standards into the Sandia contract.

(AMCABM lead)

- 3.2 Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls. (NNSA FRAM, P 450.4, P450.5)

SOM ensures that SNL has adequately defined and implemented a process to analyze hazards associated with the work and provides sufficient documentation for the selection of safety standards and controls.

Contractor Assurance System.
DOE O 413.3.
Examination of Various SNL Assessments.

AMNFSB ensures that SNL has a process defined and implemented to analyze hazards and select adequate safety standards and controls. AMNFSB and AMOA ensure the SNL process to analyze hazards and select adequate safety standards and controls has been adequately implemented in their areas of influence. Assessment activity validates SNL implementation.

(AMNFSB lead)

- 3.3 Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE 151.1A, Comprehensive Emergency Management System except at sites where exemption has been granted or the Order is not applicable. Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Directors of Emergency Operations, as appropriate. (NNSA FRAM, O 151.1A)

SOM provides day-to-day oversight and programmatic assurance (including formal assessments) by the assigned Emergency Management Program Manager.

SSO Emergency Plan.

All AMs participate in the assessment of
Emergency Management exercises.

(AMOA lead)

- 3.4 Ensure that a documented PAAA coordination process exists in accordance with NNSA policies and procedures, including a process for tracking and verification of closure of contractor corrective actions. (NNSA FRAM, 10 CFR 820)

SOM ensures that a documented PAAA
coordination process has been implemented.

SSO PAAA Procedure (on
going).

AMNFSB ensures the implementation of the
PAAA program. Provides oversight of the
contractor PAAA process. Interfaces with the
SNL and HQ as necessary to ensure compliance.

Each AMs participates in the assessment of
corrective actions related to activities under their
purview that do not meet PAAA requirements of
Subpart A.

(AMNFSB lead)

- 3.5 Review and approve the ES&H requirements to be included in the contracts.
(NNSA FRAM)

SOM ensures appropriate ES&H requirements are
included in the SNL contract. SNL Contract.

AMCABM incorporates identified ES&H
requirements into the Sandia contract.

AMOA and AMNFSB recommends approval of
ES&H requirements to be included in the SNL
contract

(AMCABM lead)

- 3.6 Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities
meet the requirements of 10 CFR 830. (NNSA FRAM, 10 CFR 830)

(There are no Hazard Category 1 nuclear facilities
at SNL). SOM ensures that the hazard analyses
for SNL nuclear facilities meet the requirements of
SNL Contractor Assurance
System.
DOE O 413.3.

10 CFR 830.

AMNFSB reviews Hazard Analysis documents prepared by the contractor to ensure compliance with 10 CFR 830.

(AMNFSB lead)

10 CFR 830.

SSO AB Review and Approval Procedure.

- 3.7 For Hazard Category 1 nuclear facilities, ensure that appropriate safety requirements in necessary functional areas are included in the contracts and in the authorization agreement as directed by the Deputy Administrator. (NNSA FRAM – not applicable to SSO)

Not applicable - SNL does not have any Hazard Category 1 nuclear facilities. N/A.

- 3.8 Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830. (NNSA FRAM, 10 CFR 830)

SOM approves nuclear facility/ activity hazard categorization.

SNL Contractor Assurance System.

DOE O 413.3.

AMNFSB reviews and recommends approval of nuclear facility/activity hazard categorization level based on hazard type and amounts per the requirements of 10 CFR 830.

10 CFR 830.

SSO AB Review and Approval Procedure.

(AMNFSB lead)

- 3.9 Approve the nuclear safety design criteria selected for the preliminary Documented Safety Analysis (DSA) for Hazard Category 1,2, and 3 nuclear facilities if they are consistent with DOE O 420.1, *Facility Safety*, as required by 10 CFR 830. (NNSA FRAM, O 420.1A, 10 CFR 830)

(SNL does not have any Hazard Category 1 nuclear facilities at SNL).

SNL Contractor Assurance System.

DOE O 413.3.

SOM Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities.

10 CFR 830.

DOE O 420.1.

AMNFSB reviews nuclear design criteria selected for the PDSA for consistency with DOE O 420.1 as required by 10 CFR 830. Recommend

Approval to the Approval Authority.

AMFPM provides oversight of facilities and project management processes.

(AMNFSB lead)

- 3.10 Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2, and 3 nuclear facilities). Review the adequacy of the controls and of their documentation. (NNSA FRAM, 10 CFR 830)

(There are no Hazard Category 1 nuclear facilities at SNL).

SNL Contractor Assurance System.

SOM directs SNL to adequately document controls for the prevention and mitigation of hazards.

DOE O 413.3.

10CFR 830.

DOE O 420.1.

SSO AB Review and Approval Procedure.

AMNFSB ensures SNL has a process to document controls for the prevention and mitigation of hazards. AMNFSB reviews and recommends approvals of Technical Safety Requirements (TSRs) for SNL nuclear facilities.

(AMNFSB lead)

- 3.11 Direct the contractor to prepare Radiological Protection Plans (RPPs), Unreviewed Safety Question (USQ) procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835. (NNSA FRAM, 10 CFR 830& 835)

SOM directs SNL to meet the requirements of 10 CFR 830 and 835.

10 CFR 830.

10 CFR 835.

AMOA provides guidance regarding the development of RPPs in accordance to 10 CFR 835.

AMNFSB provides guidance regarding the development of USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830.

(AMOA and AMNFSB lead)

- 3.12 Review and approve the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedure for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830. (NNSA FRAM, 10 CFR 830 & 835)

SOM approves the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedure for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.	10 CFR 830. 10 CFR 835. SSO AB Review and Approval Procedure.
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AMOA recommends approval of RPPs in accordance to 10 CFR 835.

AMNFSB recommends approval of USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830.

(AMOA and AMNFSB lead)

- 3.13 Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used. (NNSA FRAM, 10 CFR 830)

SOM request EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.	10 CFR 830. SSO AB Review and Approval Procedure.
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AMNFSB requests approval for DSA methodologies for nuclear facilities if other than the use of 10 CFR 830 provisions.

(AMNFSB lead)

- 3.14 Send recommendation for approval or disapproval of DSAs and preliminary DSAs for Hazard Category 1 nuclear facilities, including the nuclear safety design criteria, to the Deputy Administrator with comments. Respond to Principal Deputy Administrator, Deputy Administrator, ES&H Advisor, Director of Emergency Operations, and Associated Administrator for Infrastructure and Security (AAIS), or EH comments. (NNSA FRAM, Not applicable to SSO)

Not applicable – SNL does not have any Category 1 nuclear facilities. N/A.

- 3.15 Approve the Technical Safety Requirements (TSRs) and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation. (NNSA FRAM, 10 CFR 830)

SOM approves the TSRs and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.

10 CFR 830.
SSO AB Review and Approval Procedure.

AMNFSB reviews TSRs and other hazard controls to ensure compliance with 10 CFR 830 and recommends approval.

AMNFSB monitors SNL performance and ensures adequate funding for implementation.

(AMNFSB lead)

- 3.16 For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report. (NNSA FRAM, 10 CFR 830)

SOM approves the safety basis for hazard category 2 and below nuclear facilities and accelerators.

10 CFR 830.
SSO AB Review and Approval Procedure.

AMNFSB reviews safety basis and prepares the Safety Evaluation Report in compliance with 10 CFR 830 and recommend approval.

(AMNFSB lead)

- 3.17 Review and provide recommendations to the Deputy Administrator on request for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator. (NNSA FRAM, 10 CFR 830 & 835)

SOM provides recommendations to the Deputy Administrator on request for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursues Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator.

10 CFR 830.
10 CFR 835.

AMNFSB reviews and recommends exemptions to 10 CFR 830.

AMCABM ensures that exemptions to DOE directives or other requirements are properly reflected in the Sandia contract.

(AMNFSB and AMCABM lead)

- 3.18 Provide line management oversight and ensure the implementation of hazards mitigation programs and controls. Monitor proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements. (NNSA FRAM, P 450.5)

SOM ensures SSO provides line management oversight and ensures the implementation of hazards mitigation programs and controls.

10 CFR 830.
DOE O 420.1.
SSO AB Review and
Approval Procedure.

AMNFSB monitors implementation of controls at nuclear facilities, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements.

AMOA monitors implementation of controls at SNL non-nuclear facilities.

(AMNFSB and AMOA lead)

- 3.19 Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems). (NNSA FRAM, O 420.2A, P 450.4)

SOM ensures that all facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators) have been identified.

SNL Contractor Assurance
System.
DOE O 413.3.
10 CFR 830.
DOE O 420.1.

AMNFSB ensures all facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems).

AMNFSB recommends approval to the Approval Authority for non-nuclear safety basis documentation that has not been delegated to the contractor.

(AMNFSB lead)

- 3.20 As Contracting Officer, determine appropriate protocol based on work hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date. (NNSA FRAM, P 450.4)

SOM ensure that authorization agreements are in place and maintained up-to-date. 10 CFR 830.
DOE M 411.1-1C.

AMNFSB ensures Authorization Agreements are established and maintained for the CO.

AMCABM develops contract modifications or appends agreements as required to ensure that they accurately reflect current work requirements.

(AMNFSB lead)

- 3.21 Ensure that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement. (NNSA FRAM, P 450.4, M 411.1-1C, O 452.1B)

SOM ensures that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement. 10 CFR 830.
DOE M 411.1-1C.

AMNFSB recommends approval for all Hazard Category 2 nuclear facilities Authorization Agreements. AMNFSB is responsible for monitoring the status of the Authorization Agreements.

(AMNFSB lead)

- 3.22 Authorize type B Accident Investigations

SOM authorizes required Type B Accident Investigation Board. DOE O 225.1A.

(AMOA Lead)

4.0 Confirm Readiness Quality Assurance, Collect Feedback

- 4.1 Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees. (NNSA FRAM, O 440.1A)

SOM ensures a FEOSH program is established for SSO employees. SSO FEOSH Procedure (on going).

AMOA establishes and maintains a FEOSH program for SSO.

All AMs ensure that their employees adhere to the Site Office FEOSH program.

(AMOA Lead)

- 4.2 Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, *Startup and Restart of Nuclear Facilities*. Review and approve contractor Startup Notification Report (SNR) in accordance with DOE O 425.1C. Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C. (NNSA FRAM, 0 425.1C)

SOM ensures that readiness reviews are conducted in accordance with DOE O 425.1C. SOM approves SNL SNR and forwards SNR to Deputy Administrator as required by DOE O 425.1C. SSO Startup and Restart Procedure. DOE O 425.1C.

AMNFSB reviews and recommends approval of the SNL SNR and ensures that all appropriate readiness activities have been included and a proper level of readiness review has been identified for each item. AMNFSB will coordinate the SNR with other AMs as appropriate.

All AMs remain cognizant of the need for readiness activities for projects under their purview.

AMNFSB facilitates the NNSA readiness review process by ensuring that qualified team leaders are identified and supported throughout the readiness review process.

(AMNFSB lead)

- 4.3 Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1C for all cases except those designated

for the Secretary of Energy/NNSA Administrator. Headquarters retains startup authority for new Category 2 nuclear facilities. (NNSA FRAM, O 425.1C)

SOM serves as the startup authority for SNL in accordance with DOE O 425.1C for all cases except those designated for the Secretary of Energy/NNSA Administrator.

SSO Startup and Restart Procedure.
DOE O 425.1C.

AMSS validates that all S&S protection requirements are in place to support startup.

AMNFSB coordinates startup/restart activities to ensure appropriate level of independent review and provide recommendations to the approval authority.

(AMNFSB lead)

- 4.4 Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercises all startup authority. (NNSA FRAM, O 425.1C)

SOM will coordinate with headquarters to determine the appropriate level of startup authority for any new Category 2 nuclear facilities that have not been clearly delegated to SSO. SOM will exercise startup authority as delegated by NNSA.

SSO Startup and Restart Procedure.
DOE O 425.1C.

AMNFSB coordinate with other AMs to ensure that an appropriate level of readiness has been achieved by SNL and SSO prior to the commencement of an NNSA Readiness Review.

All AMs ensure that requirements under their purview are adequately implemented prior to the commencement of an NNSA Readiness Review.

(AMNFSB lead)

- 4.5 Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives. (NNSA FRAM, P 450.5)

SOM ensures line management oversight of SNL's worker, public, environment, and facility protection programs is conducted. SOM ensures day-to-day operational oversight of SNL activities is conducted by SSO Facility Representatives at applicable facilities.

DOE P 450.5.
SSO AMOA Assessment Procedure.

The FRs provide day-to-day oversight at SNL facilities with appropriate support from line managers and SMEs.

All AMs participate in line management oversight of appropriate elements of SNL's worker, public, environment, and facility protection programs under their purview.

(AMOA lead, AMNFSB lead for nuclear facilities only)

- 4.6 Review and approve contractors' QAPs, and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830 and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs (NNSA FRAM, 10 CFR 830, O 414.1A)

SOM approves the SNL QAPs.

10 CFR 830.
DOE O 414.1A.
SSO QA Plan (on going).

AMNFSB ensures that the SNL QAPs for nuclear facilities meet the requirements of 10 CFR 830 and are integrated with the SNL management programs.

AMNFSB ensures that contractors implement QAPs.

AMDPQA will support AMNFSB as required for 10 CFR 830 Quality Assurance issues under the purview of AMDPQA.

(AMNFSB lead)

- 4.7 Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents. Submit integrated site FRAM/QAPs to the Deputy Administrator for approval. (NNSA FRAM, P 411.1, M 411.1-1C)

All AMs Participate in the development and implementation of the SSO FRAM and support as required for Quality Assurance issues.

DOE P 411.1.
DOE M 411.1-1C.
SSO QA Plan (on going).

(AMOA lead)

The AMNFSB will provide assistance, direction, guidance, oversight, and evaluation of safety software at Defense Nuclear Facilities. This includes safety software used for consequence analysis for potential accidents and design basis events, design for structures, systems and components, and instrumentation and controls.

SSO SQA Guidance (will be based on HQ SQA Guidance once final).

(AMNFSB lead SQA only)

- 4.8 Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE-wide sharing of lessons learned. (NNSA FRAM, O 414.1A)

SOM directs SNL to develop and implement a lessons learned program that includes analysis and trending of events and promotes DOE-wide sharing of lessons learned.

SNL Contractor Assurance System.
Annual FY Contractor PEP.

AMOA and AMNFSB monitor the SNL lessons learned program and assess its implementation (performance criteria included in the SNL PEP).

All AMs monitor the development and distribution of lessons learned associated with responsibilities under their purview.

(AMOA lead, AMNFSB lead for nuclear facilities only)

- 4.9 Require contracts to report occurrences on ORPS. Review and approve reports, as delegated, including proposed corrective actions and lessons learned. Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences. (NNSA FRAM, O 231.1A)

SOM ensures the SNL contract includes the requirements for SNL to report occurrences on ORPS.

DOE O 231.1A.

The FRs review and approve ORPS reports as appropriate.

All AMs ensure their staff reviews applicable SNL ORPS reports including proposed corrective actions and lessons learned.

All AMs ensure that ORPS reports from other DOE sites are reviewed to detect potential improvements and means of averting occurrences.

(AMOA lead, AMNFSB for nuclear facilities)

- 4.10 As part of overall issue management, review the finding of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions. (NNSA FRAM, O 414.1A, DOE O 414.1A Criterion 3, ISO 9001)

SOM ensures that an issues management program is in place for SSO.

SNL Contractor Assurance System.

AMCABM (ISO) develops an issues management program that systematically reviews the findings from assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.

SSO Business Management Procedure (on going).
SSO Corrective and/or Preventative Action Procedure (on going).

Each AM supports the issues management program by reviewing findings from assessments in their area of expertise to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective and/or preventative actions per ISO 9001.

Preventative actions shall be appropriate to the effects of the potential problems per ISO 9001.

Each AM shall take action to eliminate the cause of non-conformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the non-conformities encountered per ISO 9001.

(AMCABM (ISO) lead)

- 4.11 Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements. (NNSA FRAM, DOE P 450.5)

SOM ensures that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.

DOE P 450.5.
SSO Security Plan.

All AMs will support the SSO unfettered access policy. Each AM will facilitate access for duly authorized independent oversight personnel if issues arise in an area under their purview.

(AMSS lead)

- 4.12 Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement and Investigation. (NNSA FRAM, 10 CFR 820)

SOM ensures that 10 CFR part 820 reporting requirements are followed by SSO and SNL. SOM ensures support for investigations and participates in enforcement conference as requested by the Office of Enforcement and Investigation.

10 CFR 820.
SSO PAAA Procedure (on going).

AMNFSB actively monitors SNL's reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation as required by 10 CFR Part 820. AMNFSB will participate in enforcement conferences with the Office of Enforcement and Investigation as requested.

All AMs will provide information and support investigations as requested.

(AMNFSB lead)

- 4.13 Ensure implementation of the CAP and assign a cognizant line management to review CAPs for assurance that issues raised in formal independent assessment reports are addressed. (NNSA FRAM, O 414.1A, O 470.2B)

SOM ensure an SSO process is in place to manage CAPs. SNL Contractor Assurance System.
SSO CATS process.

AMOA is responsible for establishing and maintaining a procedure to manage ES&H and emergency management CAPs.

All AMs will participate in the review and validation of any CAPs that are under their purview. All AMs will coordinate with the assigned lead AM for CAPs that involve more than one AMs assigned responsibilities.

(AMOA lead)

- 4.14 Ensure the status of corrective actions in the DOE Correction Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP. (NNSA FRAM, O 470.2B)

SOM ensures that the status of SSO and SNL CAPs are tracked in DOE CATS are maintained on the system. SSO CATS Process.

AMOA ensures the status of corrective actions in the DOE Correction Action Tracking System (CATS) is up to date for SSO and SSO corrective actions. AMOA will coordinate with the SNL and Headquarters elements as necessary; in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.

All AMs will support AMOA as required for issues related to requirements under their purview.

(AMOA lead)

- 4.15 If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately. (NNSA FRAM, O 470.2B)

SOM approves CAPs that have been delegated to SSO CATS Process. SSO as required.

AMOA ensures the SSO CATS Process captures the requirements for the approval for CAPs.

AMOA facilitates SOM approval of the CAPs and coordinates issues with the appropriate AMs.

All AMs support the SSO CATS Process as required.

(AMOA lead)

- 4.16 Perform management assessments of contractors to evaluate their success in doing work safely. (NNSA FRAM, P 450.5, DOE O 414.1A Criterion 9, ISO 9001)

SOM ensures management assessments are performed and documented to evaluate SNL's success in doing work safely. SOM (and/or Deputy Manager) participates in management assessments as appropriate. SOM shall review the organization's quality management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness per ISO 9001.

SNL Contractor Assurance System. SSO Protocol and Process for management assessments (on going).

AMOA will establish protocol and process for management assessments.

All AMs will participate in management assessments as defined in the management assessment protocol/procedure.

(AMOA lead)

- 4.17 Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency

management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised. (NNSA FRAM, P 450.4, P 450.5)

SOM ensures appropriate measures are developed and included in the SNL to appraise ES&H and emergency management performance. At a minimum, the measure will include management performance, SNL self-assessment, and assessments of safety system operability and programs that support system operability.

DOE P 450.4.
DOE P 450.5.
SSO AMOA Assessment
Procedure and Schedule.

SSO provides day-to-day oversight and programmatic assurance (including formal assessments) by the FRs and SMEs. As part of the programmatic assurance, SSO determines the adequacy of the contractor self-assessment and evaluates SNL against the PEP criteria.

All AMs will support ES&H and emergency management performance assessments as appropriate.

(AMOA lead, AMNFSB for nuclear facilities)

- 4.18 Assess the SSO to identify areas in which continuous improvement in the safety of NNSA operations can be realized. Ensure that independent assessments are also performed of SSO. (NNSA FRAM, DOE O 414.1A Criteria 3 & 10)

SOM will assign Assistant Manager to lead the self-assessment of SSO performance.

DOE O 414.1 A.
SSO AMOA Assessment
Procedure.

AMOA will develop a process to perform formal, documented self-assessments of SSO performance (with independent assessment from the NNSA SC).

(AMOA lead)

- 4.19 Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and lessons learned. (DOE P 450.4, 450.5)

SOM will strive to continuously improve the

TQM.

efficiency and quality of operations. Specific emphasis will be placed on the development, implementation, and tracking of SSO and SNL corrective actions to profit from prior experience and lessons learned.

SSO Corrective Action Process.
SSO CATS Process.
SSO Business Management Procedure (on going).

Assign Assistant Manager that will lead the effort to improve efficiency and quality of operations and to track SSO corrective actions.

Assigned AM will develop a process to manage SSO and SNL corrective actions such that SSO and SNL can profit from prior experience and lessons learned.

All AMs will strive to continuously improve the efficiency and quality of operations under their purview. All AMs will implement the SSO corrective action process.

(AMCABM (ISO) lead)

Appendix A – SSO INTEGRATED SAFETY MANAGEMENT

The following sections present the basic structure of the SSO ISMS in terms of the five ISMS core safety management functions:

- Define the Scope of Work
- Analyze the Hazards
- Develop and Implement Hazard Controls
- Perform Work within Controls
- Provide Feedback and Continuous Improvement.

In addition, the guiding principles are the fundamental policies that guide NNSA and contractor actions, from development of safety directives to the performance of work:

- Line Management Responsibility for Safety
- Clear Roles and Responsibilities
- Competence Commensurate with Responsibilities
- Balanced Priorities
- Identification of Safety Standards and Requirements
- Hazard Controls Tailored to Work being Performed
- Operations Authorization.

Figure A-1: ISMS Core Functions



The first three guiding principles apply to all ISMS management core functions; the remaining four relate to the core functions as illustrated in Figure A-1.

To systematically integrate safety into management and work practices at all levels so that work is accomplished while protecting the public, the worker, and the environment. This is to be accomplished through effective integration of safety management into all facets of work planning and execution. In other words, the overall management of safety functions and activities becomes an integral part of accomplishing the work. Listed

below, are the SSO supporting actions and responsibilities in regards to both the ISMS core management functions and guiding principles:

Figure A-2: Safety Management System

Guiding Principles	Core Functions
1. Line Management Responsibility 2. Clear Roles and Responsibilities 3. Competence Commensurate with Responsibilities	1. Define Scope of Work 2. Analyze the Hazards 3. Control the Hazards 4. Perform Work 5. Feedback and Improvement
4. Balanced Priorities	Specific to Core Function 1, Define Scope of Work
5. Identification of Safety Standards 6. Tailored Hazard Controls to Work	Specific to Core Function 3, Control the Hazards
7. Operations Authorization	Specific to Core Function 4, Perform Work

FOR NNSA OVERSIGHT OF ISMS AT SNL

CORE MANAGEMENT FUNCTIONS

PLAN THE WORK:

- Develop the SSO Operations Plan priority list
- Update and maintain the SSO operating procedures
- Review the SSO operating procedures
- Update and maintain the SSO and NNSA SC performance plans
- Develop and maintain assessment plans
- Translate mission into work
- Translate statement of work into appropriate tasking
- Prioritize project tasks
- Allocate appropriate resources
- Coordinate meaningful schedule with deliverables
- Review contracts and budget process
- Assist the contractor with updating their ISMS Description
- Participate on the joint SSO/SNL ISMS Facilitation Team
- Maintain corrective action data base for SSO assessments
- Review NEPA compliance requirements
- Develop prioritized assessment plan
- Analyze operational data and develop performance indicators
- Participate SNL Line Integration Working Group/Line Integration Team meetings
- Keep SSO management fully informed of any issues and trends

ANALYZE THE HAZARDS:

- Analyze project tasks
- Identify new and potential process(es)
- Identify hazards associated with the process or job
- Approve the categorization of nuclear facilities
- Categorize the potential hazards
- Review hazard analysis with SNL (including safety analysis and NEPA)
- Review hazard analysis with SNL (approve moderate, high, and nuclear)
- Review authorization basis (including Primary Hazard Screening & Hazard Analysis)
- Review SNL operations to ensure hazard identification
- Ensure the intended SNL operational process is performed
- Review schedule of work activities
- Validate SNL assurance model(s)
- Conduct daily operations status meeting between management and safety technical staff

CONTROL THE HAZARDS:

- Identify appropriate DOE Orders, Policies, or guidance
- Identify applicable laws, regulations, rules, and standards
- Identify controls required to prevent/mitigate potential hazards
- Ensure training and qualifications needed to perform the work
- Allocate appropriate resources to control hazards
- Establish and oversight engineering controls
- Establish administrative controls
- Oversight of SNL engineering controls
- Oversight of SNL administrative controls
- Oversight of SNL ensuring only approved work activities are performed
- Approve appropriate DSAs and TSRs
- Ensure mitigation of identified hazards in SNL Operations
- Provide oversight of project design reviews to ensure safety design requirements are met
- Develop and implement a risk based oversight program
- Approve Operational Readiness Reviews
- Oversight of Readiness Reviews

PERFORM THE WORK:

- Observe contractor performing work in the field
- Perform a prestart assessment to verify that procedures, personnel, systems, and equipment are ready to perform the project tasks
- Participate in the contractor's pre-job briefings
- Communicate authorization to start the work
- Oversight perform work within established controls and procedures
- Approve authorization agreements (for nuclear facilities)

- Perform for-cause reviews
- Document findings in the SSO Kirtland Information Management System (KIMS)
- Conduct facility tour program (management tour)
- Use “stop work” authority where appropriate
- Eliminate “scope creep” and focus upon the tasking

FEEDBACK AND IMPROVEMENT:

- Provide advice and opinions to complete tasking
- Communicate expectations to staff so that they appropriately report identified issues or concerns
- Identify and implement corrections for identified issues or concerns
- Assess completed work to identify deficiencies
- Approve occurrence reports
- Monitor lessons learned for trending purposes and implementation of lessons learned in TWDs and ES&H training lesson plans
- Comment and provide information on the contractor ISMS Description
- Perform operational awareness activities by SMEs, FRs, and management
- Participate in SNL root cause analysis
- Participate in SNL critiques of events
- Participate in SNL self-assessment and management walkthroughs
- Review SNL self-assessment causal factor trend analysis
- Review SNL performance indicators
- Perform the quarterly ES&H multiprogram appraisal scoring and feedback
- Lead the annual Performance Assessment Matrix (PAM) process
- Lead/participate in SNL-led assessments (including self-assessments)
- Provide feedback on SNL independent assessment results
- Review SSO data base entries (KIMS) for trending analysis
- Conduct daily operations status meetings
- Perform detailed assessment of ES&H risk by SMEs
- Review issues management within the KIMS
- Provide quarterly feedback to SNL
- Conduct SSO annual self-assessment
- Develop performance indicators based on analysis of operational data
- Communicate findings from oversight activities to SNL through monthly/quarterly roll-up reports

GUIDING PRINCIPLES

LINE MANAGEMENT RESPONSIBILITY FOR SAFETY:

- Responsible for the effective oversight of SNL ES&H activities
- Perform oversight of SNL on a regular basis
- Assess SNL via the FR and SME walkthroughs (including SSO management)
- Perform the quarterly ES&H multiprogram appraisal

- Review/assess SNL upper tier management self-assessment and interaction with external assessments

CLEAR ROLES AND RESPONSIBILITIES:

- Ensure appropriate responsibilities are outlined in the SSO FRAM
- Make certain of clear and unambiguous SSO lines of authority
- Ensure qualifications of SSO staff are current and updated
- Ensure all SSO Quality Management Process roles & responsibilities are cross-walked and periodically updated in the SSO FRAM
- Ensure SSO staffing allowance supports required SSO roles and responsibilities

COMPETENCE COMMENSURATE WITH RESPONSIBILITY:

- Ensure that the SSO technical qualification program is in place and adequate
- Ensure competent training for FRs and SMEs
- Ensure cross training is available for staff members
- Mentor new/inexperienced FRs/SMEs

BALANCED PRIORITIES:

- Make certain staffing allocations are current
- Ensure program coverage with primary and secondary staff
- Effectively allocate SSO resources
- Plan and coordinate activities with SNL with both programmatic and ES&H input

IDENTIFICATION OF SAFETY STANDARDS AND REQUIREMENTS:

- Ensure associated new and existing hazards have been evaluated
- Ensure controls of new and existing hazards analyzed
- Make certain that the SNL baseline contract is kept current
- Coordinate changes to the SNL contract immediately

HAZARDS CONTROLS TAILORED TO WORK BEING PERFORMED:

- Ensure administrative and engineering controls are implemented to prevent/mitigate hazards
- Participate on SNL lessons learned committees

OPERATIONS AUTHORIZATION:

- Ensure that the PHS/HA are current and appropriate (non-nuclear sites)
- Ensure safety analysis reports are complete
- Ensure authorization agreement documentation are current
- Ensure readiness reviews are performed as appropriate
- Approve list of facilities requiring authorization basis documentation.
- Approve site nuclear facility list and accelerator

SSO FRAM Implementing Documentation Plan

Reference #	Priority	SSO Procedure Number	SSO Procedure Name	Impact Level	Documentation Notes	SSO Lead	Target Completion Date
1.1	1	0802.01	SSO FRAM	High	As per request from NNSA-HQ for Functions, Responsibilities and Authorities Manual for HQ Approval	AMOA	Completed 02/06/04 (next review/update due 08/30/04)
1.2	2	0603.03	NNSA Technical Qualification Plan	Med	Will be coordinated with the NNSA Service Center Training & Development Department	AMOA	06/30/04
1.4	2	1304.01	SSO ES&H Assessment Procedure & Schedule	Med	Will be updated on an annual basis	AMOA	Completed 11/13/03 (next review/update due 09/30/04)
2.3	2	1001.02	SSO Directives Process	Med	Internal process to supplement HQ Directives Process.	AMCABM	06/30/04
2.12	2	0702.02	SSO Document Control Process	Med	Implement consistent process throughout SSO.	AMCABM	12/30/04
2.13	2	0803.12	SSO Business Management System Document (Manual)	Med	Manual for Implementation & Maintenance of SSO BMS including Policy & Objectives.	AMCABM	12/30/04

SSO FRAM Implementing Documentation Plan

Reference #	Priority	SSO Procedure Number	SSO Procedure Name	Impact Level	Documentation Notes	SSO Lead	Target Completion Date
3.4	3	1306.01	SSO Price-Anderson Amendment Act (PAAA) Program Procedure	Low	Procedure to augment a PAAA coordination process in accordance with NNSA policies and procedures.	AMNFSB	12/30/04
4.1	2	0604.02	SSO Federal Employees Occupational Safety & Health (FEOSH) Procedure	Med	Procedure to augment a FEOSH process for SSO employees in accordance with NNSA policies and procedures.	AMOA	06/30/04
4.6	2	1202.01	SSO Operations Quality Assurance Program (QAP) Plan	Med	Procedure to augment DOE Order/Policy/Manual for a QA process.	AMDPQA	06/30/04
4.10	2	0803.05	SSO Issues Management System	Med	Procedure to document issues and their associated corrective and preventative actions.	AMCABM	12/30/04
4.16	2	0803.04	SSO Self-Assessment for Federal Operations	Med	Procedure for Internal Self-Assessment of Federal Operations	AMCABM	06/30/04

SEPARATION

PAGE



Department of Energy
National Nuclear Security Administration
 Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, SAVANNAH RIVER SITE OFFICE

FROM:

Everet H. Beckner
 Deputy Administrator
 for Defense Programs

SUBJECT:

**ACTION: APPROVAL OF THE SAVANNAH RIVER
 OFFICE (SRSO) FUNCTIONS, RESPONSIBILITIES AND
 AUTHORITIES MANUAL (FRAM)**

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached (SRSO) FRAM, dated January 31, 2004. Our review has determined that the SRSO FRAM covers all needed functions, responsibilities and authorities required by the NNSA FRAM.

During the review we noted that responsibilities and authorities for software quality assurance are not covered even though SRSO has already designated personnel performing the required functions. We are requesting that you include software quality assurance in the next update of SRSO FRAM in order to meet Commitment 4.1.6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002.1. Also, please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the SRSO FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the SRSO FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment:

L. Brooks, NA-1

T. Przybylek, NA-2



United States Government

National Nuclear Security Administration (NNSA)
Savannah River Site Office (SRSO)

Memorandum

DATE: JAN 19 2004

REPLY TO
ATTN OF: SV (Wilmot, 803-208-3689)

SUBJECT: Savannah River Site Office Safety Management Functions, Responsibilities, and Authorities Manual (FRAM)

TO: Everet Beckner, Deputy Administrator for Defense Programs, NA-10

In response to your memorandum dated November 4, 2003, same subject, I am forwarding the SRSO FRAM for your review and concurrence. Please note that this SRSO document captures the NNSA requirements provided as an attachment to your memorandum and in DOE M 411.1-1B, Safety Management Functions, Responsibilities and Authorities Manual. It should be noted that shortly after issuance of your guidance and request, DOE M 411.1-1C was issued. Accordingly, additional guidance is requested as to how to proceed from this point. New requirements such as a Memorandum of Agreement between our Offices are now specified.



Edwin L. Wilmot
Manager

SV:ELW:jh

RA-04-0050

Attachments: SRSO FRAM

cc w/attach:
R. Singh, NA-124
P. Pizzariello, NA-124cc w/o attach:
D. Beck, NA-124
X. Ascanio, NA-124

2004 JAN 19 10:53 AM
SRSO

**SRSO Safety Management Functions, Responsibilities, and Authorities Manual
(SRSO FRAM)**

Manual No SVM 411 1B-1A

Manual Title SRSO Safety Management Functions, Responsibilities, and Authorities Manual
(SRSO FRAM)

Effective Date 1/31/04

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Savannah River Site Office

**Safety Management
Functions, Responsibilities,
And Authorities Manual**

Approval



E L Wilmot, Manager, SRSO

Concurrence

E H Beckner, Deputy Administrator for
Defense Programs, NNSA

SRSO Safety Management Functions, Responsibilities, and Authorities Manual (SRSO FRAM)

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Revisions

0	1/31/04	• Original

SRSO Safety Management Functions, Responsibilities, and Authorities Manual (SRSO FRAM)

Manual No: SVM 411.1B-1A

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(SRSO FRAM)

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List of Acronyms

FRAM – Functions, Responsibilities and Authorities Manual

ISM – Integrated Safety Management

NNSA – National Nuclear Security Administration

S/RID – Standards/Requirements identification Document

SRSO – Savannah River Site Office

DOE-SR – Department of Energy Savannah River Operations Office (Landlord, Environmental Management)

References

- 1) Agreement on Safety Management at the Savannah River Site, Signed August 15, 2003.
- 2) Safety Management Functions, Responsibilities and Authorities Manual (NNSA FRAM), Rev. 0, October 15, 2003
- 3) Memorandum from Brooks to Deputy Administrator for Defense Programs, Subject: Delegation of Authority Regarding Environment, Safety and Health at NNSA Facilities, dated June 25, 2003
- 4) Savannah River Operations Office, Human Resources Program Management Manual, DOE-SR.functions, Responsibilities, and Authorities Procedure, SRM 300.1.1B
- 5) Safety Management Functions, Responsibilities, and Authorities Manual, DOE M 411.1-1B, dated 5-22-01.

SRSO Safety Management Functions, Responsibilities, and Authorities Manual

(SRSO FRAM)

Manual No: SVM 411.1B-1A

Manual Title: SRSO Safety Management Functions, Responsibilities, and Authorities Manual
(SRSO FRAM)

Effective Date: 1/31/04

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Overview:

This Manual provides for the unbroken line of authorities and responsibilities for safety from NNSA Headquarters through the NNSA Savannah River Site Office (SRSO) to the contractor. This document is an important contributor to ensuring that activities performed to support the NNSA mission are conducted while protecting the public, workers, and the environment.

Strategy for Implementing Integrated Safety Management (ISM) functions:

The SRSO operates under the umbrella of the DOE Savannah River Operations Office (DOE-SR) validated ISM program. A memorandum of understanding (Ref 1.) has been signed to describe the relationship between the SRSO and the DOE-SR. The basic principal underlying the agreement is that safety-related data and directives will be shared and that as landlord for the entire site, DOE-SR will concur in safety-related documents prepared by the SRSO because of the implications for overall site-wide safety. The SRSO relies entirely on the DOE-SR for managing site-wide contractor programs such as S/RIDs, emergency management, and environmental permitting. Those activities and directives that are strictly within the purview of the SRSO Defense Programs mission and contained within the Tritium Facility site boundary are the sole responsibility of SRSO, e.g. facility representative program and vital safety systems for Tritium Facility. SRSO will initially perform its activities using DOE-SR directives exclusively. As the uniqueness of NNSA requirements may dictate, the SRSO will develop directives that may differ from DOE-SR directives. As this occurs, DOE-SR will be asked to concur in those changes to ensure that DOE-SR is satisfied that the site-wide ISM program is not compromised.

SRSO Organization

The SRSO is on a path to stand-up a new organization by the end of FY2004 as shown in Figure 1. The new organization has no internal organizational boundaries. As a result, the SRSO implementation of ISM is defined directly to individuals in the matrix found as Attachment 1. All individuals report to the Deputy Manager, SRSO, and have unfettered, direct access to the Manager, SRSO.

Responsibility Flow Down

Figure 2 depicts the flow down of functions and responsibilities from the NNSA FRAM (Ref. 2). Initially, the Administrator, NNSA delegated authority for environment, safety, and health at NNSA facilities (Ref. 3). This authority is reflected in the NNSA FRAM. Because the NNSA FRAM differs from the DOE M 411.1-1B format, SRSO chose to create a crosswalk into the DOE M 411.1-1B format because it will aid in integrating with the DOE-SR FRAM (Ref. 4). The SRSO FRAM is implemented through a detailed responsibilities matrix and then through process descriptions for each major function (see Appendix A.) A Memorandum of Agreement was signed with DOE-SR because of their major role in assisting the SRSO in fulfilling its ISM functions. SRSO will maintain a single point of contact with each DOE-SR staff supporting the SRSO; only SRSO points of contact are identified in the responsibilities matrix.

As shown at the bottom of Figure 2, individual ISM functions may be implemented according to DOE-SR Directives or by SRSO Process Descriptions. The responsible SRSO staff shall use DOE-SR Directives unless there is a need to reflect the uniqueness of NNSA policies and requirements. When supporting the NNSA, DOE-SR staff shall perform their functions according to DOE-SR directives unless otherwise directed to do so.

SRSO Safety Management Functions, Responsibilities, and Authorities Manual (SRSO FRAM)

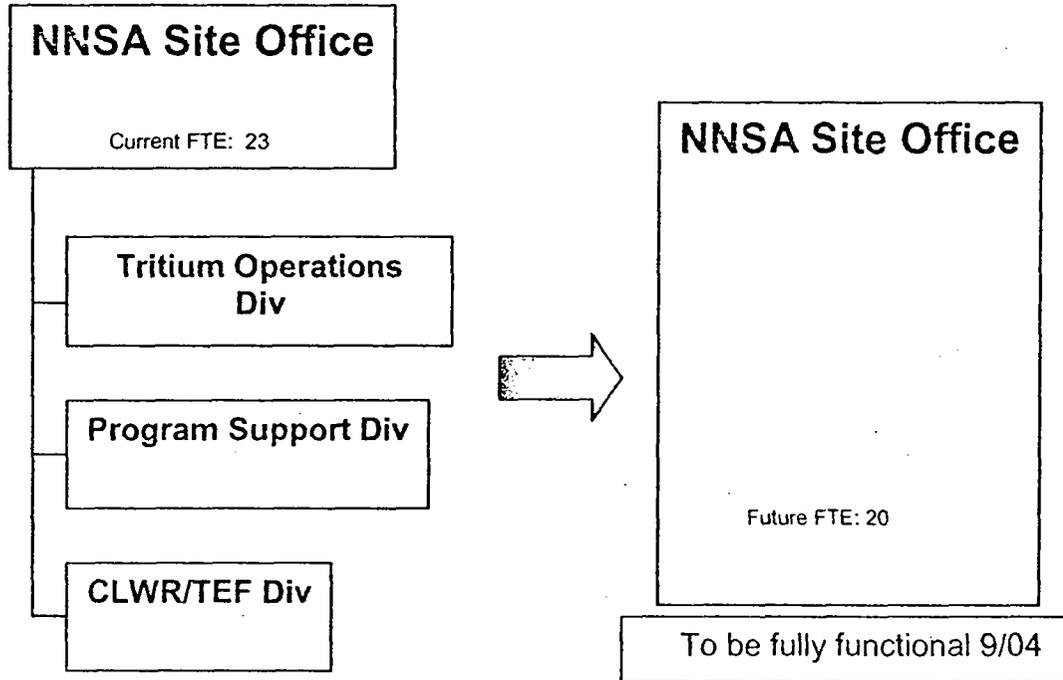
Manual No: SVM 411.1B-1A

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Figure 1. SRSO Organization



SRSO Safety Management Functions, Responsibilities, and Authorities Manual (SRSO FRAM)

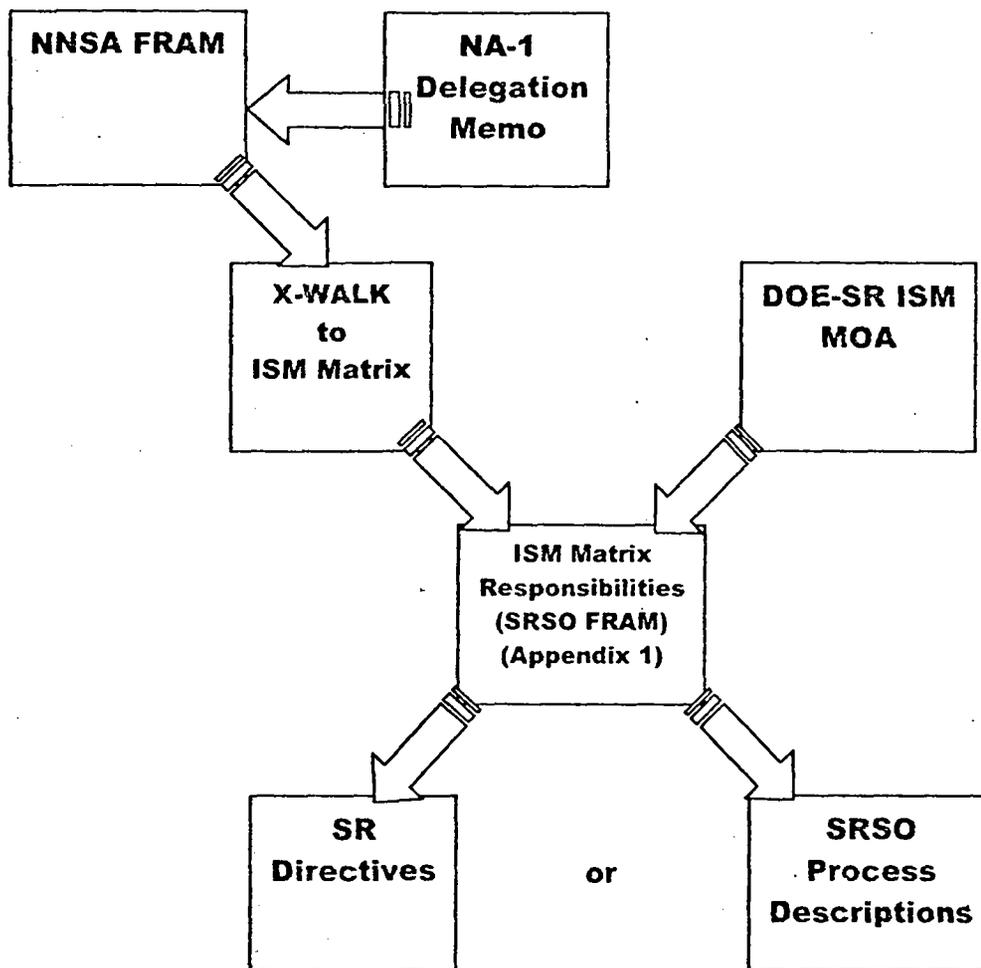
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Figure 2. Responsibility Flow Down



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Appendix A – SRSO Safety Management Functions

Overview This matrix identifies responsibilities for ISM functions within the SRSO. Also listed are the implementing procedures used in carrying out these functions.

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
9.1. Direction	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.1		a. Execute contracts consistent with NNSA policy and requirements.		Wilmot	
		9.1		b. Monitor and assess day-to-day performance under the contracts.		Boyd, Klapper	
		9.1.2		Receive, review, identify, and coordinate with the appropriate DOE and NNSA offices to ensure that the proposed program guidance is consistent with the DOE and NNSA policies and directives. Coordinate with the appropriate DOE and NNSA offices to ensure that the proposed program guidance is consistent with the DOE and NNSA policies and directives.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.1.3 NNSA Mission Assignment to SV		Review, provide input to, and implement program guidance developed by the Program Secretarial Offices (PSOs).		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.1.4		Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.1.4		Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.1.4. Budget	9.1.4.1 Budget for Program	Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.1.4		Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.1.4	9.1.4.2 Budget for ESH Infrastructure	Participate in preparation of the proposed budget, i.e. provide input to NNSA on the adequacy of the proposal (1) to support landlord activities and NNSA safety initiatives and (2) to implement corrective actions and safety improvements.		Newell, Gochle, Jump	SRM 130.2.1A - Needs updating and NNSA process map
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.1.5 Resource Allocations to SV		a. Review proposed allocations and provide input to NNSA regarding adequacy to meet mission and safety initiatives.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.1.5		b. If budget is insufficient, propose an alternate plan to NNSA and/or identify needed additional funds.		Newell	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.1.6 Technical Qualification and Competency		Ensure SV staff are qualified to perform assigned functions in the Tritium Facilities.		Richardson	SRM 130.2.1A - Needs updating and NNSA process map
	DOE O 320.1 Acquiring and Positioning Human Resources	9.1.6		a. Ensure assignment of employees in NNSA-SV are processed, and that legal services, financial, and HR offices provide staff advice and technical support consistent with paragraph 4a of this Order.	Service Center	Wilmot	
		9.1.6		b. Approve request for employee assignments outside of NNSA-SV consistent with paragraph 4a of this Order.	Service Center	Wilmot	
	DOE O 360.1B Federal Employee Training	9.1.6		a. Approve training policies and procedures for their DOE element.		Richardson	
		9.1.6		b. Prioritize critical needs		Richardson	
		9.1.6		e. Assesses and makes recommendations.		Richardson	
		9.1.6		h. Provides training policy and professional advice.		Richardson	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.1.6	9.1.6.1. Technical qualification and competency at Defense nuclear facilities	a. Provide adequate resources for the Federal Technical Capability Program (FTCP) for the Tritium Facilities.	Service Center	Richardson	SRM 300.1.1A
		9.1.6		b. Implement the FTCP in the Tritium Facilities.		Richardson	
		9.1.6		c. Ensure SRS staff are qualified to perform their safety management functions, including the Systems Engineers for the Vital Safety Systems, in the Tritium Facilities.		Richardson	
		9.1.6		d. Ensure qualifications are reflected in position descriptions and performance criteria for the Tritium Facilities.		Richardson	
	DOE M 426.1-1 Federal Technical Capibility Manual	9.1.6		a. Ensure SV conducts an annual workforce analysis to identify critical technical capabilities and positions that must be maintained to ensure safe operations in the Tritium Facilities.		Richardson	
		9.1.6		b. Identify Senior Technical Safety Managers (STSM) for SV.		Wilmot	
		9.1.6		c. Ensure the STSM meets the technical competency criteria.		Richardson	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.1.6	9.1.6.2 Contractor Training Programs	a. Identify and submit resource request to the CSO to provide for adequate implementation of personnel qualification programs.	Service Center	Klapper	SRIP 361.1, DII 362.2.1A
				b. Review and approve Training and Implementation Matrix for the Tritium Facilities.	Service Center	Klapper	
		9.1.6		b. Perform periodic evaluations of training and qualification programs using DOE-STD-1070-94 and provide day-to-day oversight of nuclear facility personnel training and qualification activities.		Klapper,	
		9.1.6		c. Review and approve Training and Implementation Matrix for the Tritium Facilities.	Service Center	Klapper	
		9.1.6		d. Assure that DOE-SRS staffing includes adequate number of persons having expertise in the area of personnel training.	Service Center	Klapper	
		9.1.6		e. Assure DOE contractors to whom DOE 5480.20A is applicable, implement its requirements.	Service Center	Klapper	
		9.1.6		f. Review the certification and recertification of shift supervisors for the Tritium Facilities.	Service Center	Klapper	
		9.1.6		g. Approve contractor procedures which are established to grant exceptions to specific training or qualifications requirements for an individual in the Tritium Facilities.		Klapper	
		9.1.6		h. Approve, on a case by case basis, contractor requests for certification extensions.		Boyd	Letter of Delegation, SRIP 361.1
9.2. Define Scope of Work	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.2.1 Translate Mission into Work		a. Develop annual operating plan for the Tritium Facilities.		Newell	
		9.2.1		b. Integrate w/DOE-SR SRS annual operating plan.		Newell	
	DOE O 412.1 Work Authorization System	9.2.1		c. Ensure that work performed by the M&O contractor does not violate restrictions or constraints in the Tritium Facilities and that it is carried out in a manner that protects the workers, public, and the environment against ES&H hazards arising from performance of contract work.		Wilson	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.2.2 Set Expectations	9.2.2.1. Policies, Orders, Notices, Manuals, Guides, and page changes	a. Identify applicable requirements and incorporate into management system for the Tritium Facilities.	DOE-SR	Wilson	SRIP 251.1, 251.2, 253.1

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.2.2		b. Review and comment on proposed Policies, Orders, Notices, Manuals, Guides, and page changes.	DOE-SR	Wilson	
		9.2.2		c. Recommend improvements, where appropriate.	DOE-SR	Wilson	
		9.2.2		d. Provide staff to participate on focus groups or technical development teams.	DOE-SR	Wilson	
		9.2.2		e. Provide comments to OPI.	DOE-SR	Wilson	
		9.2.2		f. Determine actions to implement.	DOE-SR	Wilson	
	DOE M 411.1-1B Safety Management Functions, Responsibilities, and Authorities Manual	9.2.2	9.2.2.2. Technical Standards	a. Review and comment on proposed standards.	DOE-SR	Kozak	SRIP 251.1
		9.2.2		b. Recommend improvements, where appropriate.	DOE-SR	Kozak	
		9.2.2		c. Provide staff to participate on focus groups or technical development teams.		Wilmot	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.2.2	9.2.2.3. Rules	a. Review and comment on proposed rules.	DOE-SR	Kozak (830) Boyd (835) Zweifel (QA)	SRIP 251.1
		9.2.2		b. Recommend improvements, where appropriate.	DOE-SR	Kozak (830) Boyd (835) Zweifel (QA)	
		9.2.2		c. Provide staff to participate on focus groups or technical development teams.		Wilmot	
		9.2.2		d. Determine what actions are necessary to implement the final rules.	DOE-SR	Kozak (830) Boyd (835) Zweifel (QA)	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.2.2	9.2.2.4. Contract performance expectations	Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates.		Simpson	SRIP 251.2,420.1, DII 251.1.1A

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.2.2		c. Monitor contractor performance and assess whether performance expectations have been met.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.2.2		d. Approve annual submittal for Tritium Facilities performance measures, indicators, and objectives, as required by ISMS DEAR clause.		Newell	
		9.2.2		e. Ensure contracts clearly delineate contractor responsibilities regarding subcontractors and suppliers.	DOE-SR	Wilmot	
		9.2.2		f. Implement funding allocations.		Newell	SRM 130.2.1A - Needs updating and NNSA process map
		9.2.2		g. Act as a liaison between the contractor and Department staff regarding contract issues and performance expectations.		Wilmot	
		9.2.2		h. Ensure ISM LAWS clause and safety management clauses (48 CFR 970.5204-2 and 48 CFR 970.5223-1) are included in the contract.	DOE-SR	Wilmot	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.2.2	9.2.2.5. Organization FRA Documents	Ensure that responsibility, authority, and accountability for operation and maintenance of the Tritium Facilities are clearly defined, appropriately assigned, and executed.		Wilmot	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.2.2	9.2.2.6. Approval, implementation, and maintenance of safety management system documentation	a. Ensure contractors describe, document, implement, and maintain their safety management systems	DOE-SR	Wilmot	SRIP 251.2, DII 251.1.1A
		9.2.2		b. Ensure that contractor safety management systems for the Tritium Facilities are implemented and current according to WSRC ISMS.	DOE-SR	Wilmot	
		9.2.2		d. Determine annually whether contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.	DOE-SR	Wilmot	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.2.3 Allocate Resources to Contractor		Ensure funds are properly used for Tritium Facilities.		Newell	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.2.4. Prioritize Tasks		a. Ensure safety management system adequately prioritizes work	DOE-SR	Wilmot	
		9.2.4		b. Review and support development of performance objectives for the Tritium Facilities.		Wilmot	
9.3. Analyze Hazards	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.3.1 Identify and Analyze Hazards		a. Ensure hazards analysis provided by contractor covers the hazards associated with the work.		Kozak	SRIP 421.1
		9.3.1					

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.4.1					
		9.4.1		e. Cooperate with program and other personnel to identify requirements in the directives system applicable to a contract and provide this list of requirements to the contracting officer for inclusion in the contract.		Wilmot	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.4.1	9.4.1.3. Exemptions from NNSA/DOE Order Requirements	a1. Review requests for exemptions to 10 CFR Parts 830 and 835.	DOE-SR	Kozak (830) Boyd (835) Zweifel (QA)	SRIP 251.1, 251.2
		9.4.1		a2. Provide recommendations to the CSO or EH on requests for exemptions to 10 CFR Parts 830 and 835.	DOE-SR	Wilmot	
	DOE O 420.1A Facility Safety	9.4.1		Field Elements are responsible for determining whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised.	DOE-SR	Kozak	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.4.1	9.4.1.4. Exemptions from 10 CFR Parts 830 and 835	a1. Review requests for the exemptions to 10 CFR Parts 830 and 835.	DOE-SR	Kozak (830) Boyd (835) Zweifel (QA)	SRIP 421.1
		9.4.1		a2. Provide recommendation to the CSO or EH on requests for the exemptions to 10 CFR Parts 830 and 835.	DOE-SR	Wilmot	
	DOE O 420.1A Facility Safety	9.4.1		Field Elements are responsible for determining that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modification to drop old Order requirements from contract.		Boyd	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.4.1	9.4.1.5. Exemptions from external requirements	Coordinate with the contractor and the PSO a meeting to pursue an exemption from local, State, or Federal agencies as necessary.	DOE-SR	Wilmot	SRIP 251.2
		9.4.1	9.4.1.6 Approval of Programs and Processes Required by Nuclear Safety Rules	a. Direct contractor to prepare Radiation Protection Procedures (RPP), Unreviewed Safety Questions (USQ) procedures, Documented Safety Analyses (DSA), and Preliminary DSAs in accordance with 10 CFR 830 and 835.	DOE-SR	Wilmot	SRIP 421.1

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.4.1					
		9.4.1					
		9.4.1		b1. Review RPPs, USQ procedures, DSAs, and preliminary DSAs in accordance with 10 CFR 830 and 835 for the Tritium Facilities.	DOE-SR	Kozak (830) Boyd (835) Zweifel (QA)	
		9.4.1		b2. Approve RPPs, USQ procedures, DSAs, and preliminary DSAs in accordance with 10 CFR 830 and 835 for the Tritium Facilities	DOE-SR	Wilmot	
		9.4.1		c. Provide line oversight of contractor execution of plans and programs within the Tritium Facilities.		Emerson	SRIP 223.4, 425.1, 430.1
		9.4.1		d. Provide line management oversight and ensure contractor execution of plans, programs and procedures to meet nuclear safety requirements.	DOE-SR	Kozak, Boyd, Zweifel	SRIP 421.1
		9.4.1		e1. Review - (i) the nuclear safety design selected for the preliminary DSAs for Haz Cat 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i> , as required by 10 CFR Part 830.206(b) (2) and (ii) the methodology used to prepare DSAs when the contractor does not use a methodology for safety analysis in Table 2 to Appendix A of 10 CFR Part 830 .	DOE-SR	Kozak	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.4.1		e2. Approve - (i) the nuclear safety design selected for the preliminary DSAs for Haz Cat 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i> , as required by 10 CFR Part 830.206(b) (2) and (ii) the methodology used to prepare DSAs when the contractor does not use a methodology for safety analysis in Table 2 to Appendix A of 10 CFR Part 830, and transmit the methodology and criteria to EH for review (or comment, if a NNSA facility is involved) AND DEPUTY ADMINISTRATOR approval.	DOE-SR	Wilmot	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.4.2 Identify Controls to Prevent and Mitigate Hazards	9.4.2.2. Hazard Category 2 and 3 and below Nuclear Facilities and Non-Nuclear Facilities	Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).	DOE-SR	Wilmot	SRIP 425.1, 421.1
		9.4.2		b1. Review safety bases and authorization bases documents for Tritium Facilities.		Kozak	
	Approval authority for all authorization basis documents granted in letter from Linton Brooks to all NNSA Site Managers, dated 01/02/03. NNSA FRAM	9.4.2		b2. Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.		Wilmot	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.4.2		c. Provide line management oversight and ensure the implementation of hazards mitigation programs and controls for the Tritium Facilities.		Kozak, Boyd, Klapper	SRIP 430.1
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.4.3. Establish Safety Bases and Authorization Bases	9.4.3.2. Safety Basis and Authorization Basis Documentation	a. Direct the contractor to prepare documentation for authorization bases and safety bases for the Tritium Facilities.		Wilmot	SRIP 421.1, 450.4
		9.4.3		b1. Review safety bases and authorization bases documents for Tritium Facilities.		Kozak	
	Approval authority for all authorization basis documents granted in letter from Linton Brooks to all NNSA Site Managers, dated 01/02/03.	9.4.3		b2. Approve safety bases and authorization bases documents for Tritium Facilities.		Wilmot	
		9.4.3	9.4.3.3 Authorization protocols (as Head of Contracting Activities Responsibilities)	a. Determine appropriate protocol based on work and hazard (e.g., SAR).	DOE-SR	Wilmot	SRIP 421.1, 450.4, DII 450.4.1A
		9.4.3		b. Append approved authorization agreement to or modify the affected contract to contain its provisions.		Wilmot	
		9.4.3		c. Establish requirements to ensure that authorization agreements are maintained up-to-date.		Kozak	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.4.4. Implement Controls		Monitor the proper implementation of controls, including contractor processes for Unreviewed Safety Questions, Configuration Management, and compliance with Technical Safety Requirements.	DOE-SR	Kozak	SRIP 421.1
	DOE O 474.1A Control and Accountability of Nuclear Materials	9.4.4		a. Implement MC&A program for the Tritium Facilities	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR-S&S Procedures. SV Procedure and Process Map underdevelopment
		9.4.4		b. Ensure that safeguard deficiencies are corrected.	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR-S&S Procedures. SV Procedure and Process Map underdevelopment
		9.4.4		c. Ensure that system assessment requirement are identified and met facilities processing tritium.	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR Procedures. SV Procedure and Process Map underdevelopment
		9.4.4		d. Ensure that responsibilities and authorities for MC&A of nuclear materials are addressed in the MOA and associated appendixes, where they exist, between, heads of HQ elements including EM; Dep Adm NNSA; and field elements including EM at SRS.	DOE-SR	Powell, Emerson	Will utilize MOA, DOE-SR Procedures. SV Procedure and Process Map underdevelopment
		9.4.4		e. Monitor material control indicators and review and analyze reportable occurrences experienced in operations.	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR Procedures. SV Procedure and Process Map underdevelopment
		9.4.4		g. Provide MC&A systems review and approval for all facilities prior to beginning new operations that might alter the performance of existing MC&A systems.	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR Procedures. SV Procedure and Process Map underdevelopment
		9.4.4		i. Ensure that this Order is implemented under existing and new contracts for operating and facilities under the scope of this Order.	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR Procedures. SV Procedure and Process Map underdevelopment

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.4.4		k. Review and approve deviations to requirements of this according to procedures contained in DOE O 470.1 Safeguards and Security Program.	DOE-SR	Powell, Emerson	Will utilize MOA and DOE-SR Procedures. SV Procedure and Process Map underdevelopment
9.5. Perform Work	DOE O 440.1A, para 5.c.(2), Worker Protection management for DOE Federal and Contractor Employees.	9.5.1. Confirm Readiness		a. Shut down work if a clear and present safety danger exists.		Boyd, Klapper	SRIP 420.1, 430.1, 440.3
		9.5.1		b. Require contractors to provide Startup Notification Reports.	DOE-SR	Wilmot	
	DOE O 425.1C Startup and Restart of Nuclear Facilities	9.5.1		b. Maintain day-to-day operational oversight of the contractor's activities.		Boyd, Klapper	SRIP 430.1
	Authority granted in letter from Linton Brooks to all NNSA Site Managers, dated 01/02/03.	9.5.1	9.5.1.1 Readiness Reviews	a. Ensure Operational Readiness Reviews and Readiness Assessments are performed		Wilson	SRIP 425.1, SRSO Procedure
	Authority granted in letter from Linton Brooks to all NNSA Site Managers, dated 01/02/03.	9.5.1	9.5.1.2 Startup Authorization for Nuclear Facilities	Determine appropriate level of readiness necessary for startup and ensure that it is attained for Tritium Facilities. HQ retains startup authority for new Cat 2 Nuclear Facilities.		Kozak	SRIP 425.1, SRSO Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.5.2. Perform Work Safely		a. Ensure contracts are properly executed.		Wilmot	SRIP 223.4, 223.5, 425.1, 430.1
		9.5.2		b. Ensure contractors implement worker, public, environment, and facility protection programs for the Tritium Facility.	DOE-SR	Boyd, Klapper	SRIP 430.1
		9.5.2		c. Ensure safety management system is properly implemented.	DOE-SR	Kozak	
		9.5.2		d. Implement site/field element strategic plan.	DOE-SR	Jump	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.5.2		e. Perform line management oversight of contractors' worker, public, environment, and facility protection programs	DOE-SR	Boyd, Klapper, Goehle	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.5.2		f. Maintain day-to-day operational oversight of contractor activities at the Tritium Facilities through the NNSA Facility Representatives.		Boyd, Klapper	SRIP 430.1
	DOE O 433.1 Maintenance Management Program for DOE Nuclear Facilities	9.5.2		a. Ensure sufficient resources are budgeted in timely manner to provide NNSA with the highest confidence on the reliable performance of mission-critical, safety SSCs through proactive maintenance practices.		Newell	
		9.5.2		c. Ensure the responsibility, authority, and accountability for maintenance in the Tritium Facilities are clearly defined, appropriately assigned, and executed.		Goehle	
		9.5.2		d. Ensure NNSA operational awareness review and analysis capability exists for evaluation of maintenance program performance and effectiveness.		Goehle	
		9.5.2		e. Ensure where maintenance requirements or acceptable standards cannot be met, such instances are appropriately documented and acknowledged by the FEM, including granting of exemptions, as appropriate, when requested.		Goehle	
		9.5.2		f. Ensure the requirements and standards for maintenance of nuclear facilities are incorporated into contracts and subcontracts, including support contracts, as appropriate.		Wilmot	
	DOE M 435.1-1 Radioactive Waste Management	9.5.2		a. Responsible for developing, documenting, implementing, and maintaining, a site-wide Radioactive Waste Management Program per the requirements of DOE O 435.1, <i>Radioactive Waste Management</i> .	DOE-SR	Goehle	
		9.5.2		b. Ensure a radioactive waste management basis is developed and maintained for the Tritium Facilities.		Goehle	
		9.5.2		c. Tritium Facilities radioactive waste shall be stored, disposed of, at the site Solid Waste Disposal Facility (SWDF).	DOE-SR	Goehle	
		9.5.2		d. Ensure a Waste minimization and pollution prevention programs are implemented in the Tritium Facilities.	DOE-SR	Goehle	

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Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.5.2		e. Ensure the management and disposal of radioactive waste resulting from environmental restoration activities, including decommissioning, meet the substantive requirements of DOE O 435.1, <i>Radioactive Waste Management</i> , and this Manual.	DOE-SR	Goehle	
		9.5.2		f. Ensure development, review, approval, and implementation of a program for waste generation planning, characterization, certification, and transfer for the Tritium Facilities. This program will ensure that the Tritium Facilities' waste meets all requirements of the SWDF.	DOE-SR	Goehle	
		9.5.2		g. Ensure ALARA principles for radiation protection are incorporated in Tritium Facilities procedures when reviewing and approving waste management activities.		Goehle	
		9.5.2		h. Ensure that all Tritium Facilities waste is stored in a manner that protects the public, workers, and the environment in accordance with a radioactive management basis, and that the integrity of waste storage is maintained for the expected time of storage and does not compromise the disposal performance objectives for protection of the public and environment when the waste is disposed.		Goehle	
		9.5.2		i. Ensure all Tritium Facilities Waste is disposed in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis.	DOE-SR	Goehle	
		9.5.2		j. Ensure that the SWDF has monitoring capability for tritium.	DOE-SR	Goehle	
	DOE O 460.1B Packaging and Transportation Safety	9.5.2		a. Review and approve onsite TSDs and transportation and package quality assurance programs.	DOE-SR	Kozak	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.5.3. Quality Assurance		a. Review and approve contractor's QAP	DOE-SR	Zweifel	SRIP 223.4, 223.5

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.5.3		b. Ensure contractor implements QAP for Tritium Facilities.		Zweifel	
		9.5.3		c. Ensure contractors QAP is integrated into Tritium Facilities' ISMS		Zweifel	
9.6. Collect Feedback and Pursue Improvement	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.1. Generation, Collection, and Dissemination of Information	9.6.1.1 Lessons Learned Program	a. Direct contractor to develop and implement a lessons learned program. The program should include analysis and trending of events.	DOE-SR	Wilmot	SRIP 223.4
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.1		c. Monitor and assess contractor's lessons learned program.	DOE-SR	Richardson	
		9.6.1		b. Participate in DOE-Wide sharing of lessons learned.	DOE-SR	Richardson	
		9.6.1		d. Participate in DOE lessons learned programs to improve internal organizational lessons learned processes.	DOE-SR	Richardson	
	DOE O 210.1 Performance Indicators and Analysis of Operational Information	9.6.1		a. Field Elements are responsible for determining whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised Orders.	DOE-SR	Richardson	
		9.6.1		b. Field Elements are responsible for determining that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modification to drop old Order requirements from the contract	DOE-SR	Richardson	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.1	9.6.1.2. ORPS	a. Direct contractor to report occurrences on ORPS.	DOE-SR	Wilmot	SRIP 430.1
		9.6.1		b. Review contractor reports from Tritium Facility.		Boyd, Klapper	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.1		c. Review ORPS reports from all sites to detect potential improvements and means of averting occurrences.	DOE-SR	Boyd, Klapper	
	DOE O 232.1A Occurrence Reporting and Processing of Operational Information	9.6.1		a. Assess the contractor's capability and performance.		Boyd, Klapper	
		9.6.1		b. Provide technical support as necessary to F R		Richardson	
		9.6.1		c. Ensure that facility personnel implement a program		Boyd, Klapper	SRIP 430.1
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.1		d. Lessons learned are identified and elevated for appropriate action.		Boyd, Klapper	SRIP 430.1
		9.6.1	9.6.1.3 ES&H Reporting Requirements (ES&H)	Oversee implementation of ES&H reporting requirements	DOE-SR	Boyd, Klapper	SRIP 223.3, 223.4, 223.5, 231.1, 430.1
	DOE O 231.1 Environmental, Safety, and Health Reporting	9.6.1		a. Report annually on the progress made in implementing, and its effectiveness, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision for the Tritium Facilities.	DOE-SR	Goehle	
		9.6.1		b. Include the Tritium Facilities in the SRS annual NEPA planning summary.	DOE-SR	Goehle	
		9.6.1		c. Prepare an annual summary of environmental data to characterize the Tritium Facilities environmental management performance.	DOE-SR	Goehle	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE O 450.1 Environmental Protection Program	9.6.1		a. Report by 12-31-05 to the Cognizant Secretarial Officer the status regarding whether the Environmental Management System (EMS) requirements of DOE O 450.1 have been integrated into ISMSs by site contractors.	DOE-SR	Goehle	
		9.6.1		b. Ensure Contractors with approved ISMS descriptions update ISMS descriptions, as necessary, to include the EMS requirements of this Order.	DOE-SR	Wilmot	
		9.6.1		c. Conduct assessments for pollution prevention (P2) opportunities.	DOE-SR	Goehle	
		9.6.1		d. Monitor progress of the Tritium Facilities meeting the P2 requirements of Paragraph 4b(3) of this Order, and include such information in the annual ES&H site report.		Goehle	
		9.6.1		e. Develop and implement a program and procedure to maximize the use of safe alternative to ozone-depleting substances (ODS).	DOE-SR	Goehle	
		9.6.1		f. Conduct environmental monitoring to support the Tritium Facilities' ISMS, to detect, characterize, and respond to a release; assess the impact; estimate dispersal patterns in the environment; characterize the pathways of exposure and doses to members of the public; characterize the exposure and doses to individuals, to the population; and to evaluate the potential impact to the biota in the vicinity of the Tritium Facilities.	DOE-SR	Goehle	
		9.6.1		g. Ensure the analytical work supporting environmental monitoring is implemented using a consistent system for collecting, assessing, and documenting data; a validated and consistent approach for sampling tritium; and an integrated sampling approach to avoid duplicative data collection.	DOE-SR	Boyd	
		9.6.1		h. Ensure contractor ES&H self-assessment programs are established within the framework of DOE P 450.5 and continue to be effective.		Richardson	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.6.1	9.6.1.4. Assessments	a. Conduct self-assessment on safety implementation.		Richardson	SRIP 223.4, 223.5, 442.1, DII 442.1.1A
		9.6.1		b. Examine the findings of both internal and external assessments of their element to identify root causes, trends, and necessary corrective actions within the responsibility of their element..	DOE-SR	Richardson	
		9.6.1		c. Evaluate all assessments for significance and make corrective action within Tritium Facilities as appropriate and submit report to the corrective action program maintained in 6.2.	DOE-SR	Richardson	
		9.6.1		d. Ensure all applicable safety requirements are captured in the SV and DOE-SR documents.	DOE-SR	Richardson	
	DOE O 225.1A Accident Investigations, also authority granted in letter from Brooks on 01/02/03. Designate POC for liaison for Type A. Conduct all activities associated with Type B investigations.	9.6.1	9.6.1.5 Accident Investigations	Designate a POC for liaison with EH for Type A Accident Investigations (per DOE O 224.1 para 5c) Conduct all activities associated with Type B Accident Investigations (per DOE O 225.1 para 5d).		Wilmot	SRIP 225.1
	DOE M 411.1-1C Safety management Functions, Responsibilities, and Authorities Manual	9.6.2 Changes being developed.		a. Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.	DOE-SR	Powell, Emerson	Will utilize Site Procedures and Access Procedures for Tritium underdevelopment.
		9.6.2		b. Develop and maintain a process for corrective action planning and completion.	DOE-SR	Wilson	
		9.6.2		c. Develop and maintain a process for prioritizing corrective actions and entering them in the DOE Corrective Action Tracing System (CATS)	DOE-SR	Wilson	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.2		d. Coordinate with the field HQ DOE elements to ensure that all closed corrective actions have been verified by persons with sufficient independence from those who perform work described in the CAP.	DOE-SR	Wilson	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual	9.6.2	9.6.2.1. Corrective Actions	a. Ensure independent reviewers have unfettered access to information and the Tritium Facility.	DOE-SR	Powell, Emerson	Will utilize Site Procedures and Access Procedures for Tritium underdevelopment.
		9.6.2		b. Appoint line manager to develop and implement corrective actions from independent reviews.		Wilson	
		9.6.2		c. Implement the Corrective Action Plan and update status in the Corrective Action Tracking System.		Wilson	
		9.6.2		d. Verify corrective actions are closed by independent parties.		Wilson	
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.3 Oversight and Enforcement	9.6.3.1. Line Management Oversight	a. Perform management assessment of contractors to evaluate their success in doing work safely .		Wilmot	SRIP 223.4, 223.5, 442.1, DII 442.1.1.1A

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
	DOE M 411.1-1B Safety management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.3		Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.	DOE-SR	Richardson	
	DOE M 411.1-1C Safety management Functions, Responsibilities, and Authorities Manual	9.6.3	9.6.3.2. EH Independent ES&H Oversight	a. Ensure independent reviewers have unfettered access to information and the Tritium Facilities.	DOE-SR	Powell, Emerson	Will utilize Site Procedures and Access Procedures for Tritium underdevelopment.
		9.6.3		b. Appoint line manager to develop and implement corrective actions from independent reviews.	DOE-SR	Wilson	
		9.6.3		c. If the Office of Independent ES&H Oversight provides comments on a CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.	DOE-SR	Wilson	
		9.6.3		d. Implement the plan and update status in the Corrective Action Tracking System.	DOE-SR	Wilson	
		9.6.3		e. Verify corrective actions are closed by independent parties.	DOE-SR	Wilson	
	DOE O 151.1A Comprehensive Emergency Management System	9.6.3		e. Develop, implement, maintain, and update, as necessary, an emergency management program, commensurate with the facility-specific hazards and consistent with Departmental directives and standards of performance.		Goehle	
		9.6.3		f. Prepare and maintain emergency plans, procedures, and technical resource capabilities that address emergency classification, notification, reporting, response actions, training and drills, exercises, emergency public information, outreach and coordination, accident investigation, and applicable Federal statutes, State and local laws, DOE Orders, and implementing regulations and guidance.		Goehle	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
		9.6.3		g. Prepare and submit to the cognizant operations/field office manager for approval documentation to establish Emergency Planning Zones, Emergency Plans, and Emergency Readiness Assurance Plans.	DOE-SR	Wilson	
		9.6.3		h. Direct appropriate emergency response actions within the area under their control and at the scene of the emergency.	DOE-SR	Wilson	
		9.6.3		i. Participate in the development of mutual assistance agreements with State and local authorities.	DOE-SR	Wilson	
		9.6.3		j. Ensure the effectiveness of a continuing emergency preparedness program.	DOE-SR	Wilson	
		9.6.3		k. Establish and maintain an internal assessment program to ensure the readiness of emergency response capabilities, including developing and conducting a self- assessment program, as well as establishing systems and measures to monitor and evaluate line performance.		Goehle	
	DOE M 411.1-1C Safety management Functions, Responsibilities, and Authorities Manual	9.6.3	9.6.3.3. OA Independent Emergency Management Oversight	a. Ensure independent reviewers have unfettered access to information and the Tritium Facilities.	DOE-SR	Powell, Emerson	Will utilize Site Procedures and Access Procedures for Tritium underdevelopment.
		9.6.3		b. Appoint line manager to develop within 30 days and implement corrective actions from independent reviews.		Wilson	
		9.6.3		c. Implement the plan and update status in the Corrective Action Tracking System.		Wilson	
		9.6.3		d. Verify corrective actions are closed by independent parties.		Wilson	
	DOE M 411.1-1B Safety Management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.3	9.6.3.4. Price-Anderson Enforcement	Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820.	DOE-SR	Boyd	

SRSO Safety Management Functions - Matrix

Function	DOE Order/Authority	Sub Function	Sub Sub Function	Responsibility	External	Person(s) Responsible	DOE-SR Procedure
				a. Provide information and support investigations.		Boyd	
	DOE M 411.1-1B Safety Management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.3		b. Provide information and support investigations.		Boyd	
		9.6.3		c. Ensure unfettered access to investigators.	DOE-SR	Powell, Emerson	Will utilize Site Procedures and Access Procedures for Tritium underdevelopment.
	DOE M 411.1-1B Safety Management Functions, Responsibilities, and Authorities Manual/ NNSA FRAM	9.6.3		d. Participate in enforcement conferences.		Boyd	
	DOE M 411.1-1B Safety Management Functions, Responsibilities, and Authorities Manual	9.6.3	9.6.3.5 Interface with DNFSB	Provide full cooperation with the Board, including ready access to Departmental facilities, personnel, and information	DOE-SR	Wilmot	

SRSO Functions and Responsibility Matrix

Function	Sub-Function	Delegation	ISMS Matrix	Responsibility
Provide direction	Review and provide input to the Federal Technical Capability Program with guidance developed by the Principal and Deputy Administrators to ensure the NNSA Federal technical employees responsible for oversight at NNSA facilities are trained to perform their duties safely and efficiently.		9.1.6	Richardson
	Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.		9.1.4	Wilson, Newell, Jump, Ramsey, Richardson
	Provide oversight to ensure that contractor employees maintaining and operating NNSA facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements.		9.1.6.2	Klapper
	Define Scope of Work—Translate Mission into Work, Set Expectations		9.1.3	Wilson, Newell, Jump, Ramsey, Richardson
	*Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities.			Wilmot
	Develop work plans, including scope, schedule, and funding allocations for each fiscal year. These plans should reflect mission assignments to the field and by facilities, projects, and programs.		9.1.3	Wilson, Newell, Jump, Ramsey, Richardson
	Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules, NNSA and DOE Policies, Orders, Notices, Manuals, Guides, and Technical Standards.		9.1.2	Wilson
	Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates.		9.2.2.4	Wilmot
	Monitor contractor performance to assess whether performance expectations have been met.		9.2.2.4	Newell

SRSO Functions and Responsibility Matrix

	Negotiate with each contractor, in consultation with Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the contract.		9.2.2.4	Wilmot
	Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for the mission including safety requirements.		9.2.2.4, 9.4.1.2	Wilmot
	Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.		9.2.2.6	Leslie
	Determine the need for team review of the contractor's safety management system and revisions thereto.		9.2.2.6	Leslie
	Approve safety management systems and revisions thereto (48 CFR 970).		9.2.2.6	Leslie
	Incorporate approved Standards into contract requirements.		9.2.2.4	Wilmot
	Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.		9.1.4	Wilson, Newell, Jump, Ramsey, Richardson
	Prepare Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Criteria: Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.		9.2.2.5	Wilmot

SRSO Functions and Responsibility Matrix

	Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.		9.2.2.5	Wilmot, Haynes
	Conduct line oversight of safety management systems to ensure effective implementation and maintenance.		9.4.1.6, 9.6.3.1	Wilmot
	Ensure that contractors describe, document, implement, and maintain their safety management systems.		9.2.2.4	Wilmot
	Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.		9.2.2.4	Wilson, Newell, Jump, Ramsey, Richardson
	Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.		9.2.2.4	Newell
Analyze hazards and implement controls	Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).		9.4.2.2	Wilmot
	Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.		9.4.2.2	Haynes
	Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, Comprehensive Emergency Management System except at sites where exemption has been granted or the Order is not applicable.		9.3.1	Haynes

SRSO Functions and Responsibility Matrix

	Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate.		9.3.1	Wilmot
	Ensure that a documented PAAA coordination process exists in accordance with NNSA polices and procedures, including a process for tracking and verification of closure of contractor corrective actions.		9.6.3.4	Boyd
	Review the ES&H requirements to be included in the contracts.		9.4.1.2	Boyd, Goehle
	Approve the ES&H requirements to be included in the contracts.		9.4.1.2	Wilmot
	Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR 830.		9.3.1	Haynes
	For Hazard Category 1 nuclear facilities, ensure that appropriate safety requirements in necessary functional areas are included in the contracts and in the authorization agreement as directed by the Deputy Administrator.			N/A
	*Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830.		9.3.2	Wilmot
	Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, Facility Safety, as required by 10 CFR 830.		9.3.2	Wilmot
	*Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2 and 3 nuclear facilities).		9.4.1.2	Wilmot
	Review the adequacy of the controls and their documentation.		9.4.2.2	Haynes

SRSO Functions and Responsibility Matrix

	Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.		9.4.1.6	Wilmot
	*Review the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedures for Hazard Category 1, 2, and 3 nuclear facilities; and preliminary DSAs and DSAs for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.		9.4.1.6	Boyd
	Approve the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedures for Hazard Category 1, 2, and 3 nuclear facilities; and preliminary DSAs and DSAs for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.		9.4.1.6	Wilmot
	Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.		9.4.1.6	Wilmot
	Send recommendation for approval or disapproval of DSAs and preliminary DSAs for Hazard Category 1 nuclear facilities, including the nuclear safety design criteria, to the Deputy Administrator with comments. Respond to Principal Deputy Administrator, Deputy Administrator, ES&H Advisor, Director of Emergency Operations, Associate Administrator for Infrastructure and Security (AAIS), or EH comments.			N/A
	*Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.		9.4.2.2	Wilmot
	*For Hazard Category 2 and below nuclear facilities and accelerators prepare a safety evaluation report.		9.4.2.2	Haynes
	*For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis.		9.4.2.2	Wilmot

SRSO Functions and Responsibility Matrix

	Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator.			Wilmot
	Provide line management oversight and ensure the implementation of hazards mitigation programs and controls. Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements.		9.4.1.6, 9.4.2.2	Wilmot
	Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems).		9.3.1	Haynes
	As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date.		9.4.3.3	Wilmot
	*Ensure that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement.		9.4.3.3	Wilmot
Confirm readiness, quality assurance, collect feedback	Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees.			Wilmot
	Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, Startup and Restart of Nuclear Facilities.		9.5.1.1	Wilson
	Review and approve contractor Startup Notification Report in accordance with DOE O 425.1C.		9.5.1.2	Wilson
	Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C.		9.5.1.2	Wilmot

SRSO Functions and Responsibility Matrix

	Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator. Headquarters retains startup authority for new Category 2 nuclear facilities.		9.5.1.2	Wilmot
	Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercise all startup authority.		9.5.1.2	Wilmot
	Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives.		9.5.1.2	Boyd, Klapper
	*Review contractors' QAPs, and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs.		9.5.3	Zweifel
	Approve contractors' QAPs, and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs.		9.5.3	Wilmot
	Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents. Submit integrated site FRAM/QAP to the Deputy Administrator for review and concurrence. Submit site office QAPs to the Deputy Administrator for approval.		9.5.3	Zweifel
	Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events.		9.6.1.1	Wilmot
	Monitor and assess contractor's lessons learned program.	SR (Clendenning)	9.6.1.1	McAlhany

SRSO Functions and Responsibility Matrix

	Participate in the DOE-wide sharing of lessons learned.	SR (Clendenning)	9.6.1.2	McAlhany
	*Require contractors to report occurrences on ORPS.		9.6.1.2	McAlhany
	Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.		9.6.1.2	Boyd
	Review and approve reports, as delegated, including proposed corrective actions and lessons learned.		9.6.1.2	Boyd
	Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.		9.6.1.2	Boyd
	As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.		9.6.1.2	Boyd
	Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.		9.6.1.5	Wilmot
	Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820.		9.6.3.4	Boyd, Klapper
	Provide information and support investigations.		9.6.3.4	Boyd, Klapper
	Participate in enforcement conferences with the Office of Enforcement and Investigation.		9.6.3.4	Boyd, Klapper
	Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed.		9.6.2.1	Wilson
	Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated.		9.6.2.1	Wilson

SRSO Functions and Responsibility Matrix

	Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.		9.6.2.1	Wilson
	If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.		9.6.2.1	Wilson
	Perform management assessments of contractors to evaluate their success in doing work safely.		9.6.3.1	Wilmot
	Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.		9.6.3.1	Newell

Singh, Rabindra

From: peter.kozak@srs.gov
Sent: Tuesday, May 18, 2004 12:42 PM
To: Singh, Rabindra
Cc: Wilson, Bruce-W. (SRS); Pizzariello, Philip;
Subject: Re: NNSA-SRSO FRAM Implementation

Rabi,

In response to your request for additional information, the following is provided.

Regarding site-specific procedures, the Savannah River Operations Office (SR) has developed several Savannah River Implementing Procedures (SRIPs); the following table lists the SRIPs that are not strictly administrative in nature:

Chapter	Rev.	Title	Effective Date	Notes:
150.3	1	DOE-SRS Emergency Management Program	03/15/02	1
223.4	3	SR Technical Assessment Program	10/05/00	2
223.5	2	DOE-Savannah River Site Self-Assessment Program	01/31/01	3
225.1	2	Accident Investigations	03/24/04	4
231.1	2	Environment, Safety, and Health Reporting Requirements	01/22/04	4
251.2	3	Oversight of Contractor S/RID Activities	11/25/03	4
253.1	2	Preparation and Approval of DOE-SRS Directives	12/26/01	1
361.1	2	DOE-SRS Oversight of Contractor Training and Qualification Program Activities	03/29/02	1
420.1	1	DOE-SRS Notification to the Contractor of an Adverse Condition/Stop Work Order	07/20/01	1
421.1	3	Nuclear Safety Oversight	10/03/03	2
425.1	1	Nuclear Facility Startup Approval Process	03/11/04	4
430.1	3	Facility Representative Program	03/02/00	2
440.1	2	DOE-SR Fire Protection	04/19/04	2
440.3	0	DOE-SRS Federal Employee Occupational Safety and Health (FEOSH) Program	07/17/01	1
441.1	3	Radiation Protection	12/22/03	4
450.1	1	SR Environmental Protection Program	07/08/97	2
450.4	0	Authorization Agreements	05/13/98	2

Notes:

1. Specifically includes SRSO
2. Does not refer specifically to SRSO

5/18/2004

3. SRSO concurred on procedure, but SRSO is not specifically included
4. Procedure is annotated that SRSO may elect to adopt requirements

As indicated via the above notes, not all of these local procedures currently include the National Nuclear Security Administration - Savannah River Site Office (SRSO). SRSO has committed to developing and implementing internal procedures for its Facility Representative Program, Technical Assessment Program, Self-Assessment Program, and Commitment Tracking System by 9/30/04.

SRSO will also review the complete list of SR site-specific procedures, determine the appropriate path forward (request revision, implement as written, generate SRSO-specific procedures, etc.) and complete implementation of the procedures by December 3, 2004.

With respect to contractual requirements, the current contract between DOE and the Westinghouse Savannah River Company (WSRC) encompasses both EM and NNSA activities. A Standards/Requirements Identification Document (S/RID) defines the DOE orders, policies, etc. that are required to be implemented by WSRC via the contract. This existing S/RID is revised as necessary (via negotiation between SR and WSRC) when upper tier documents are revised. Although SR has the lead in reviewing and approving S/RID revisions, SRSO must provide concurrence on these revisions. This is an ongoing effort that will continue through the life of the existing contract.

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