

**Y 12**

**YSO M 411.1-1F**

**SITE**

**Y-12 SITE OFFICE**

**OFFICE**

**FUNCTIONS, RESPONSIBILITIES,**

**AND AUTHORITIES MANUAL**

**(FRAM)**

**MANUAL**

**LEVEL II**

August 9, 2006



**DISTRIBUTION: YSO AND HEADQUARTERS**

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

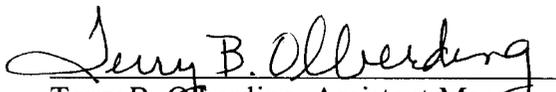
The Y-12 Site Office (YSO) Functions, Responsibilities, and Authorities Manual (FRAM) documents the federal responsibilities in regards to the primary mission of Y-12. The Site Office Manager is responsible and accountable for ensuring the safety and security of operations at Y-12. The Site Office Manager executes the National Nuclear Security Administration (NNSA) direction and guidance through the Y-12 Managing and Operating Contract and the Security Prime 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.

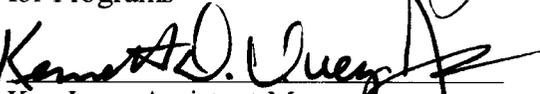


Theodore D. Sherry, Manager  
Y-12 Site Office

The Assistant Managers and Senior Project Director within YSO understand their responsibilities and functions as defined in this FRAM and their signatures below document their recognition and concurrence with these assignments.



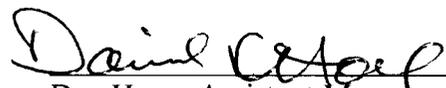
Terry B. Oberding, Assistant Manager  
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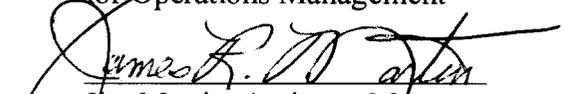
Ken Ivey, Assistant Manager  
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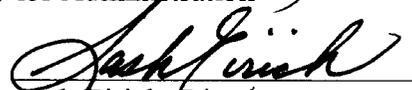
Doug Dearolph, Assistant Manager  
for Engineering, Safety, and Environment



Dan Hoag, Assistant Manager  
for Operations Management



Jim Martin, Assistant Manager  
for Administration



Sash Eirich, Director  
Project Directorate

**REVISION LOG**

<b>Revision Number</b>	<b>Affected Page(s)</b>	<b>Date</b>	<b>Reason for Revision</b>
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.
5	Selected	05/20/05	Annual update and 90 day update per NNSA HQ FRAM (Rev. 1, February 28, 2005)
6	Selected	08/07/06	Annual update to reflect new/revised DOE orders incorporated into operating contracts and YSO organizational changes such as the new Project Directorate.  Note: Changes for this revision are labeled with a revision bar/line in the right hand column of this document.

### 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
5	All	Annual update and 90 update from HHSA HQ FRAM (Rev. 1, February 28, 2005)
6	All	Annual update

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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.
- Provide safe and secure storage of the United States stockpile of highly enriched uranium.

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 DOE O 226.1, *Implementation of Department of Energy Oversight Policy*. The YSO has developed and published a Management System Description that provides a high level description of processes and responsibilities of the Site Office. This document also serves as the YSO Quality Assurance Program.

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 Deputy Manager through the Assistant Managers and Senior Project Directorate to the staff (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 for each Direct Report (DR), Senior Project Directorate, 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 implementing procedures. 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)/NNSA 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 Operating Plan (OP) to accomplish DOE/NNSA'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/NNSA'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 plan. 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 monthly for each manager and facility representative.

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 Safety Management Functions, Responsibilities, and Authorities Manual) and 450.4 (Safety Management System Policy) 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, Assistant Managers, and Senior Project Directorate 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), Assistant Managers (AM), and Senior Project Directorate

- (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/Integrated Safeguards and Security Management (ISMS/ISSM) 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 Contracts, 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 and confirmed and operations authorized, work begins. The work is then periodically

evaluated and reports are issued to enact improvements in the safety of operations at Y-12.

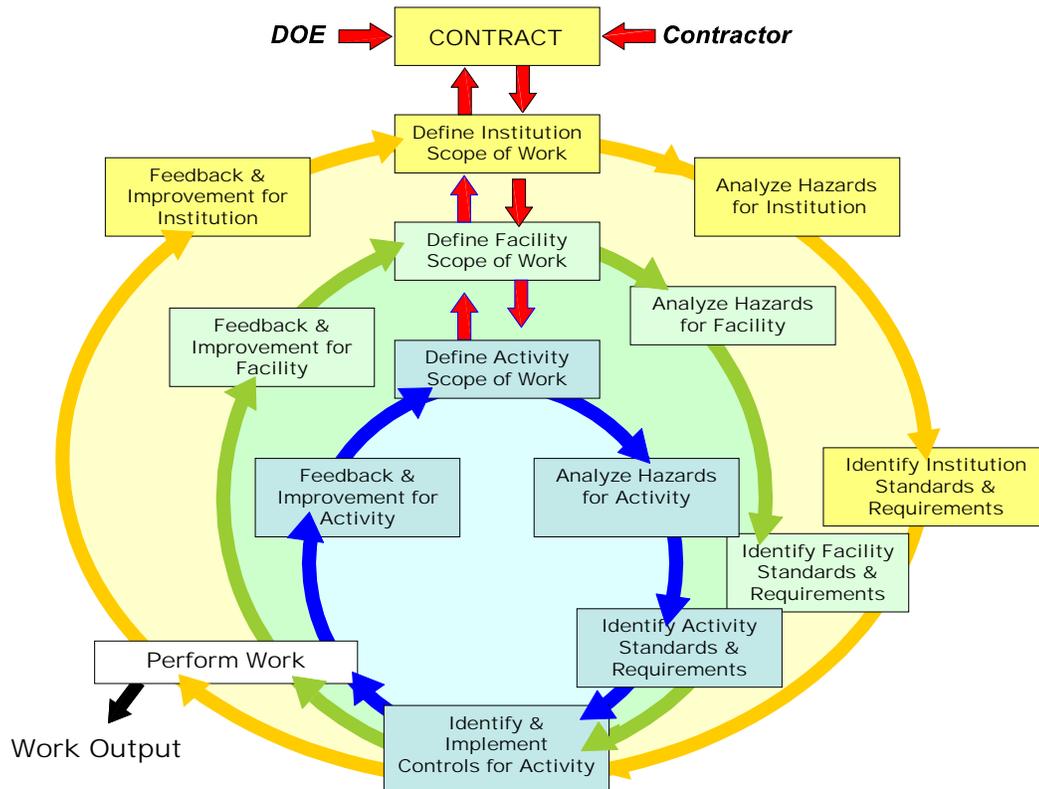


Figure 1  
DOE/Contractor ISM/ISSM Relationship

e. YSO Organization Description

**Site Office Manager (SOM)**

The SOM directs and manages a staff of senior management personnel comprised of the Direct Reports, Assistant Manager for Programs, Assistant Manager for Operations Management, Assistant Manager for Engineering, Safety, and Environment, Assistant Manager for Safeguards and Security, Assistant Manager for Administration, and Senior Projects Directorate. The Direct Reports include Deputy Manager, Performance Assurance Manager, Site Office Counsel, Public Affairs Manager, and Senior Administrative Assistant. Each Assistant Manager, Senior Projects Directorate and Direct Report directs and manages functional areas as assigned by the SOM to execute work at Y-12. The Assistant Managers and Senior Projects Directorate 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 (DM)**

The DM serves as the Chief Operating Officer and is responsible for integration of operational, programs, and technical activities; provides support to the SOM in representing the Site Office in public activities, forums, and relationship building efforts and various other 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 Project Directorate (SPD)**

The SPD is responsible for the management and oversight of all activities supporting the planning, design, and construction of capital line items, expense projects greater than \$5 million, general plant equipment projects, and general plant projects at the Y-12 NSC. Planning activities include the development of the capital project modernization plan, supports TYSP, construction project data sheets and acquisition budget submittals, acquisition strategies, and recommendations for approval of critical decision project submittals, project execution plans, and system requirement documents. Design activities include overseeing the integration of nuclear facility safety, industrial safety, program requirements, and security into the project designs and overseeing the development, preparation, and execution of independent project reviews to ensure that technical objectives are obtainable, and full technical performance capabilities are achieved. Construction activities include overseeing contractor and subcontractor project activities are executed according to plans and specifications and within approved baseline cost, schedule, and quality standards. The SPD conducts and chairs the Baseline Change Control Board (BCCB) for capital projects, and is the authorized NNSA official for acceptance of completed facilities. The SPD directs and controls the work performed by the management and operating contractor in executing the projects by serving as the contracting officer's representative (COR) for all line item projects. The SPD provides required periodic briefings to the Site Office Manager, Program Secretarial Office, Acquisition Executive, Energy Systems Acquisition Advisory Board, Defense Nuclear Facility Safety Board, and other HQ organizations. The SPD supervises and manages the personnel assigned to the Project Directorate.

**Performance Assurance Manager (PAM)**

The PAM 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) leads and coordinates Directives management activities, including records management, (e) coordinates the YSO review and approval of contractor S/RIDs, (f) leads and coordinates the YSO self-assessment process, (g) serves as the YSO Management Representative for ISO registration, (h) ensures YSO establishes and implements an

effective oversight program of contractor assurance systems to determine contractor compliance with requirements, (i) ensures effective process for communicating oversight results using a graded approach based on hazards and risks.

### **Site Office Counsel (SOC)**

The SOC provides a full range of professional legal advice and counsel to YSO management and staff to support programs, projects, and administrative functions assigned to the YSO to assure compliance with applicable laws, regulations, and DOE/NNSA policies. The SOC also: (a) participates in the negotiation, preparation and administration of contracts, cooperative agreements, real estate instruments, environmental agreements, and other legal documents involving the YSO; (b) ensures that DOE/NNSA and YSO are represented in all administrative and judicial litigation, contract claims and protests in a professionally responsible manner; (c) provides appropriate oversight of contractor litigation and serves as the Contracting Officer's Representative in this capacity under 10 C.F. R. Part 719; (d) provides ethics advice and required review of DOE Financial Disclosure Forms.

### **Public Affairs Manager**

The Public Affairs Manager coordinates all external communications activities with local, regional, and national news media and serves as lead Federal spokesperson for the Y-12 site. The Public Affairs Manager also: (a) serves as the interface with NNSA HQ Congressional and Intergovernmental and Contractor public affairs programs; (b) coordinates employee communications programs; (c) oversees emergency public communications activities and serves on the Emergency Response Organization; (d) responsible for coordination of public involvement programs; (e) leads efforts to build relationships with elected officials and staffs; (f) coordinates high level visits and special events; (g) serves as lead for executive communications activities for the SOM. This is an important position that plays a lead role in representing the Y-12 Site Office in public activities, forums and relationship building efforts.

### **Senior Administrative Assistant (SAA)**

The SAA is responsible for providing administrative support for the SOM and DM and other AM on an as needed basis. This includes special projects as directed by the SOM.

### **Assistant Manager for Programs (AMP)**

The Assistant Manager for Programs (AMP) provides day-to-day oversight of ongoing programmatic activities at Y-12. Major funding sources for programmatic activities are provided by Directed Stockpile Work, Campaigns, Readiness in Technical Base and Facilities, Facilities and Infrastructure Recapitalization Program, Naval Reactors, and Nuclear Nonproliferation. The AMP oversight activities are required to ensure that contract programmatic performance meets technical, budget, and schedule requirements and constraints. Oversight activities include, but are not limited to, life extension

programs, stockpile systems (enduring and retired), packaging, stockpile services, stockpile readiness, advanced design and production technologies, enhanced surveillance, plant directed research and development, operations of facilities, common site support, material recycle and recovery, program readiness, recapitalization projects, demolition of facilities, HEU material disposition, global nuclear security and supply, international nonproliferation programs, newly generated waste, naval reactors, complementary work, responsive infrastructure, and modernization. The AMP 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 AMP is also responsible for the preparation of NEPA documentation such as the site wide environmental impact statement, environmental assessments, and categorical exclusions to support ongoing operations and proposed changes in facilities or missions. The AMP also participates in the preparation of strategic planning documentation such as the ten year site plan and the annual operating plan.

### **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, activity level work control, training, Lessons Learned Program 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.

### **Assistant Manager for Engineering, Safety, and Environment (ESE)**

The Office of Assistant Manager for Engineering, Safety, and Environment provides day-to-day oversight of ES&H programs including nuclear safety, criticality safety, health physics and radiological protection, industrial hygiene and occupational medicine, industrial safety, transportation safety, construction safety, emergency preparedness, Y-12 Former Workers Program, chemical safety, configuration management, fire protection, FEOSH, ES&H reporting, waste management, environmental programs and the Environmental Management System. The AMESE has a staff of authorization basis engineers who review safety basis documentation, evaluate technical and operational safety requirements, and develop safety evaluation reports for existing facilities and operations, and new facilities and mission(s) in support of 10 CFR 830. Safety System Oversight (SSO) Officials carry out the oversight function of vital safety systems required by DOE Order 420.1B under the cognizance of the AMESE. The Office of AMESE 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 AMESE also has

responsibility for DNFSB liaison coordination and implementation of the Integrated Safety Management System (ISMS) process. The Office of AMESE provides technical support for the Lesson Learned Program, 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 the NNSA Service Center regarding YSO federal support from the SC. The office is responsible for procurement and contracts, financial and accounting systems, budget formulation, external auditing, administrative functions, Employee Concerns Program, S&H related 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 Advisor 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 Advisor provides current employment statistics to NNSA selecting officials and can serve on interview panels. Also, the Diversity Advisor 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.

### **Assistant Manager for Safeguards and Security (AMSS)**

The Office of Assistant Manager for Safeguards and Security (OAMSS) performs COR responsibilities and provides day-to-day oversight of the safeguards and security program for BWXT Y-12, L.L.C. (BWXT Y-12) and other YSO contracts involving safeguards and security. 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, firearm safety, classification, security planning, cyber security, material control and accountability, technical surveillance countermeasures, and Integrated Safeguards and Security Management (ISSM). 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 470.4 and DOE Manual 470.4-1. The OAMSS has oversight and inquiry responsibility for the Security Incidents Program in accordance with DOE Manual 470.4-1.

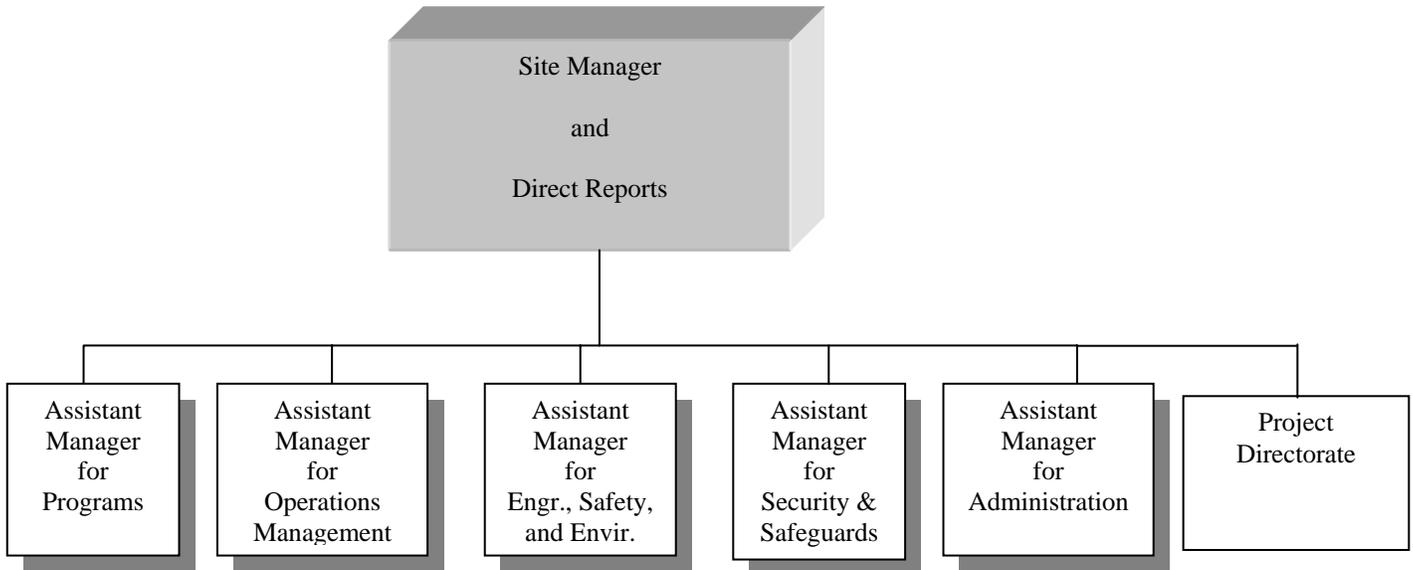


Figure 2  
YSO Organizational Chart

## 6. DELEGATION OF AUTHORITY

The YSO receives its authority from requirements/assignments contained in 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) and other management directives. These authorities are also listed in a summary fashion in the Headquarters' FRAM from DOE and NNSA per DOE M 411.1-1C and NNSA HQ FRAM. The YSO Assistant Managers, Senior Project Directorate, 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, facility, and activity level 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 Central Technical Authority (CTA) [NA-2 or a person designated by the Administrator] concurs with the selection and incorporation of nuclear safety requirements and standards in NNSA contracts.

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.

On a case by case basis, NA-10 has delegated Critical Decision Authority on specific Major Items of Equipment to the Y-12 Site Office Manager.

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 or Senior Project Directorate 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 or Senior Project Directorate 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 or Senior Project Directorate as appropriate. These delegations may be revised at any time by a memo of delegation signed by the appropriate Assistant Manager or Senior Project Directorate or SOM.
- (4) The YSO Manager has been delegated authority, as the approval official, for Quality Assurance Programs (QAP), Weapons Quality Assurance Programs (WQAP), any associated implementation plans, and their revisions submitted by the Contractor. This approval authority may be delegated to the Assistant Manager for Operations Management, unless regulation or other obligations prohibit the delegation. The QAP, WQAP, any associated implementation plans, and their revisions submitted by the Contractor shall be submitted to the NA-10 for review and concurrence.

- (5) The YSO Manager has been delegated as Cognizant Security Authority (CSA) by the NNSA Associate Administrator for Defense Nuclear Security (letter dated June 30, 2006, W. Desmond to Site Office Managers, "NNSA Security Plan and Security Survey Roles and Responsibilities.") The authority is further delegated to the Assistant Manager for Safeguards and Security in this FRAM.

## 7. OVERVIEW OF LINE MANAGEMENT INTERFACES

The Assistant Managers, Senior Project Directorate, and Direct Reports ensure that Contracts are administratively executed. The execution of the Contracts 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 and the Security Prime Contractor that promotes seamless DOE direction and guidance and that YSO personnel perform direct oversight through on-site monitoring and surveillance of contractors' 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 were assigned from the Administrator, NNSA, on August 15, 2001. The contract specialist within Office of Assistant Manager for Administration is the contracting officer (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) 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 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 Engineering, Safety and Environment has the responsibility for coordinating responses to DNFSB concerns.

Project Acquisition Executives (AE) – For Major System Projects, the AE is the Deputy Secretary of Energy. For non-Major System Projects, the AE is the Administrator or Deputy Administrator for the NNSA. AE approves all critical decisions, baseline changes, and can provide direction directly to Federal Project Directors assigned to the line item projects.

The NNSA Service Center, other Site Offices (e.g., Kansas City, Livermore, Los Alamos, Nevada, Pantex, Sandia, and Savannah River) and/or DOE-ORO are contacted to assist the YSO in meeting mission requirements. The Site Office, the Service Center, and Oak Ridge Operations Office (ORO) provide programmatic and/or administrative assistance to support product builds and other interfaces (e.g., incoming reports on damaged material) necessary to gain support of Y-12 execution of program direction. The Service Center provides the following support: safeguards and security, financial management, procurements and contracts, legal services, environmental management, emergency management, assets utilization, training and development, directives management, information management, and worker advocacy. The ORO services are documented in a Service Arrangement (SA).

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, Assistant Managers, and Senior Project Directorate execute functions, responsibilities and authorities as listed in YSO procedures and/or described in the YSO FRAM.

### b. YSO FRAM Changes/Records

This FRAM is referenced as a requirement in the YSO Procedures Manual. The Assistant Managers/Senior Project Directorate/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, Senior Project Directorate, 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

The YSO will 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. This process system includes the review and comment resolution of Headquarters (DOE-HQ) Policies, Orders, Notices, Manuals, Guides, Rules, and technical standards; 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 Manager (PAM) is the contracting officer representative for YSO directives. The PAM ensures effectiveness of this program.

d. Guiding Principles for Integrated Safety Management (ISM)

The ISMS guiding principles for DOE are identified and their relationships 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.

<b><u>Integrated Safety Management Guiding Principles</u></b>	<b><u>Y-12 Site Office</u></b>
<p>a. <b><u>Line Management Responsibility for Safety</u></b></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&amp;O Contractor to define essential management functions</u></p> <p><u>Issue Stop Work order when M&amp;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. <b><u>Clear Roles and Responsibilities</u></b></p>	<p><u>Management and Safety Responsibilities for Approving the M&amp;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. <b><u>Competence Commensurate with Responsibilities</u></b></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. <b><u>Balanced Priorities</u></b></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 Plan. Specific award fee and performance based incentives are developed and negotiated with HQ and the contractor.</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>

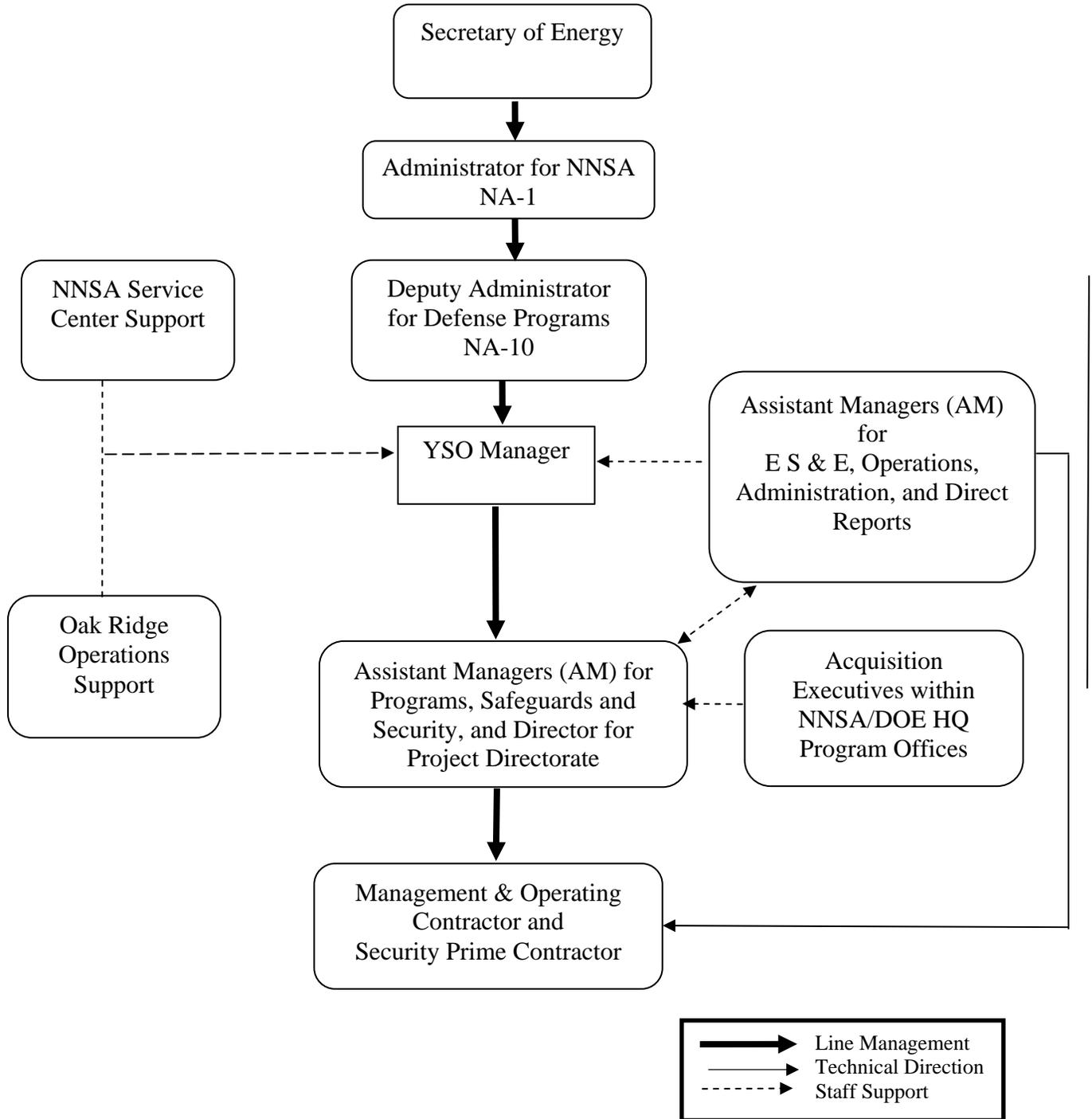
<p><b><u>e. Identification of Safety Standards and Requirements, and Hazard Controls Tailored to Work Being Performed</u></b></p>	<p><u>Process has been established to Identify Agreed-upon Standards and Requirements Identification Documents (S/RID)</u></p> <p><u>Approve S/RID</u></p> <p><u>Establish 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><b><u>f. Operations Authorization</u></b></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

Appendix “B” describes how the YSO function, responsibilities, and authorities are managed and carried out by position. 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, Senior Project Directorate, 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.

1. Site Office Manager (SOM)

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

- (1) Approves 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. <sup>NAP-5 (IV 3,4)</sup> Incorporate CRD of DOE O 226.1 into all DOE Contracts pursuant to 48 CFR 970.5204-2, “Laws, regulations, and DOE directives,” by notifying contracting officers of affected contracts. <sup>DOE O 226.1 5d (1)</sup>
- (2) Balances priorities and determines if there are adequate resources to achieve mission objectives while maintaining regulatory, security, facility and operational safety requirements. <sup>DOE M 411.1-1C</sup> In coordination with HQ Program Manager, develop work plans, including scope, schedule, and funding allocation for each fiscal year. <sup>NNSA HQ FRAM Rev1, 3.12</sup>
- (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. <sup>48 CFR 970.5204-2(e), DOE M411.1-1C</sup> ISMS verification to ensure ISMS is implemented and maintained. <sup>NNSA HQ FRAM Rev 1, 3.12</sup>
- (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. <sup>DOE M 232.1-1A (4.4a)</sup>

- (8) Provide technical support as necessary to FR in responding to any reportable occurrence, in accordance with established agreements with the responsible Secretarial Officers. <sup>DOE M 232.1-1A (4.4c)</sup> Maintain appropriate qualification standards for personnel with oversight responsibilities and clear, unambiguous lines of authority and responsibility for oversight. <sup>DOE O 226.1 5 d (2)</sup>
- (9) Own, develop, document, and manage the standard management process. <sup>NAP-5 (IV 5)</sup>
- (10) Approves executive compensation for BWXT Y-12 key personnel in accordance with established guidelines and advice of Assistant Manager for Administration
- (11) Authorize accident investigations, when applicable. <sup>NNSA HQ FRAM Rev. 1, 3.12</sup>
- (12) Implement emergency management policy and requirements and maintain programs and systems consistent with policy and requirements. <sup>DOE O 151.1C Ch 1, 9. a</sup>
- (13) Establish and maintain an effective, integrated emergency management program. <sup>DOE O 151.1C Ch 1, 9. b.</sup>

(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. <sup>DOE M411.1-1C</sup> Obtains concurrence from CTA on waivers, exemptions and other forms of relief to nuclear safety requirements in DOE Orders. <sup>HQ NNSA FRAM Rev. 1, 3.3</sup>
- (4) Review the Chronic Beryllium Disease Prevention Program at least annually and if necessary require the CBDPP to be updated. <sup>10 CFR 850.10(c)</sup>
- (5) Approve Contractor On-Site Transportation Safety Documents. <sup>DOE O 461.1, 460.1, 10 CFR 830</sup>
- (6) Approve Contractor On-Site transportation safety documents of other DOE Programs/Contractors operating on the Y-12 National Security Complex. <sup>DOE O 460.1, 10 CFR 830</sup>
- (7) Act as DOE Authority Having Jurisdiction for fire safety. <sup>DOE O 420.1</sup>

(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) 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.
- (3) Establish and implement line management oversight programs and processes consistent with the requirements of DOE Order 226.1 or comparably effective criteria established by the responsible program office. DOE Order 226.1 5 d (3) & (5)
- (4) Provide unfettered access to information and facilities to conduct an effective oversight program, consistent with applicable laws and requirements. DOE Order 226.1 5 d (4)
- (5) Use the results of DOE line and independent oversight and contractor assurance systems to make informed decisions about corrective actions and the acceptability of risks and to improve the effectiveness and efficiency of programs and site operations. DOE Order 226.1 5 d (8)
- (6) Approve Maintenance Implementation Plan, Conduct of Operations Implementation Plan and the Training Implementation Plan.

(e) Projects

- (1) Assigns Federal Project Directors to line item projects, based on recommendations from Senior Project Directorate. DOE O 413.3
- (2) Performs functions as the Acquisition Executive as delegated. DOE O 413.3
- (3) Approves Line Item Project System Requirements Document and recommends approval of the Line Item Acquisition Strategy, Project Execution Plan, and Program Requirements Document.

(f) Safeguards and Security

In accordance with DOE O 470.4 and its associated Manuals, the SOM performs the following for Safeguards and Security:

- (1) Delegates Cognizant Security Authority (CSA) to the AMSS, or contractor management as appropriate.

- (2) Approves the Site Safeguards and Security Plan (SSSP) and concurs with the Vulnerability Assessment Report.
- (3) Curtails/suspends operations when unacceptable risk to national security exists.
- (4) Increases protection measures if local threat situations warrant.
- (5) Approves S&S budgets for YSO facilities/activities.
- (6) Appoints the TSCM Operations Manager.
- (7) Appoints YSO Classification Officer.

In accordance with NNSA NAP-14.1 through NAP-14.14, the SOM performs the following for Cyber Security:

- (1) Responsible and accountable for YSO cyber security programs. *[NAP 14.1A, 2.e. (1) – (14)]*
- (2) Delegates the Designated Approving Authority (DAA) duties to a staff member. *[NAP 14.1A, Chapter 2, h. (1)-(11)]*
- (3) Appoints a Computer Security Office Manager (CSOM) to execute duties. *[NAP 14.1A, Chapter 2, i. (1) – (10)]*
- (4) Approves all Cyber Security Program Plans (CSPP).

In accordance with other specific DOE S&S requirements, the SOM performs the following:

- (1) Delegates certification authority to the AMSS and S&S staff members to act as the Y-12 NSC HRP Designated Certifying Officials. *[HRP: 10 CFR 707, 709, 710, 712; 49 CFR 40; DOE O 481.1C; DOE M 470.4-5]*
- (2) Delegates the Senior Security Technical Advisor and AMSS as Y-12 NSC HRP Management Official and alternate. *[HRP: 10 CFR 707, 709, 710, 712; 49 CFR 40; DOE O 481.1C; DOE M 470.4-5]*
- (3) Approves the Counterintelligence MOU with ORNL CI annually. *[DOE O 142.3 and 481.1C; MOU with ORNL CI]*

## 2. 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 operational plans <sup>DOE M 411.1-1C</sup>
- (i) Serves as Chief Operating Officer.

### 3. Senior Project Director (SPD)

Line Manager for Project Management for the Acquisition of Capital and Expense Assets. Directs and performs supervisory, oversight, and contract administration activities of Project Management functions:

- (a) Assure that Contractor Planning, Programming, Budgeting, and Acquisition are consistent with Project Management requirements. <sup>DOE O 413.3</sup>
  - (1) Develop, Implement, Administer, Evaluate, and Enforce Project Management Policy and Guidelines. <sup>DOE O 413.3</sup>
  - (2) Manage Project Execution, Design, and Construction, for New, Reconfigured, and Modified Facilities. <sup>DOE O 413.3</sup>
  - (3) Assure that New or Modified Facilities are Constructed or Backfitted to Meet Appropriate Safety and Environmental Requirements. <sup>DOE O 420.1</sup>
  - (4) Lead and coordinate Life Cycle Asset Management (LCAM) Principles <sup>DOE O 430.1B</sup>
- (b) Issue Project Authorizations for Line Items, General Plant Projects (GPP), General Plant Equipment (GPE) Project, and Expense Projects to authorize the Execution of Work.

- (c) Provide oversight (including technical Core Team for nuclear projects) on Line Items, GPE, GPP & Expense Projects to ensure contractor initiated projects are planned, designed, constructed, tested and placed in service consistent with requirements. <sup>DOE O 430.1B DOE O 413.3</sup>
  - (1) Conduct design and authorization basis reviews to ensure contractor design processes support meeting System and Authorization Basis Requirements
  - (2) Review Contractor Quality Assurance Plans for projects to ensure consistency with requirements of DOE 414.1 and 10 CFR 830.120 for nuclear facilities and non-nuclear facilities. <sup>DOE O 414.1</sup>
  - (3) Conduct oversight of the Contractor's Construction Activities, and report potential existing dangers to DOE Line Management. <sup>DOE M411.1-1C</sup>
  - (4) Conduct oversight of Contractor construction processes and procedures supporting construction and startup activities.
  - (d) Provide additional requirements for Line Items: <sup>DOE O 413.3</sup>
    - (1) Recommend Project Managers for Line Items to SOM
    - (2) Concur in and Submit Construction Project Data Sheets.
    - (3) Support Independent Assessments of Projects. <sup>DOE O 413.3</sup>
  - (e) Conduct oversight and review of readiness planning and preparation, operational startup, and transition
  - (f) Support Development of Contractual Performance Measures and Criteria and Award Fee for Projects. <sup>DOE O 430.1B</sup>
  - (g) Chair the YSO Project Baseline Change Control Process
  - (h) Assist the Office of Assistant Manager for Programs with the Identification and Determination of Surplus Facilities, as needed. <sup>DOE O 430.1B</sup>
4. Performance Assurance Manager (PAM)
- (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 <sup>DOE M411.1-1C</sup>

- (2) Coordinates Review and Comments on Directives. Recommend technical and economical improvements where appropriate. Provide Comments to HQ, as required. DOE O 251.1A, M 251.1-1A, P 251.1, DOE M411.1-1C
- (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 M411.1-1C Incorporate approved Standards into contract requirements in accordance with the NNSA process. HQ NNSA FRAM Rev. 1, 3.12 Negotiate with contractor in coordination with the CTA, CDNS, and Deputy Administrators, the set of Directives or provisions of Directives, if any, to be included in the contract. HQ NNSA FRAM Rev. 1, 3.12
- (4) Coordinate and assist Assistant Managers with determination on actions necessary to implement directives. DOE M411.1-1C
- (b) Leads and coordinates YSO Continuous Improvement activities.
- (c) Serves as YSO Management Representative for ISO 9001 registration
- (d) Serves as COR for Directives at YSO
- (e) Analyze, evaluate and draw conclusions about YSO's efficiency and effectiveness of programs, business and management information systems.
- (f) Develops and coordinates YSO FRAM. Revise YSO FRAM within 90 days of the issuance of a revision to the HQ FRAM and following significant YSO organizational changes. DOE P 411.1, DOE M 411.1-1C DOE O 450.4, HQ NNSA FRAM, Rev. 1, 3.12
- (g) Recommends changes to existing systems or creates new ones as needed.
- (h) Ensures YSO establishes and implements an effective oversight program of contractor assurance systems to determine contractor compliance with requirements.
- (i) Ensures effective process for communicating oversight results using a graded approach based on hazards and risks.
- (j) Leads and coordinates oversight program to ensure balance between reviews of documentation and adequacy of implementation.
- (k) Leads and coordinates oversight program to ensure balance between evaluation of systems, programs, facilities and implementation of individual elements of those systems.
- (l) Leads and coordinates oversight program to coordinate assessment activities with site assurance system activities to promote efficient use of resources.

- (m) Ensures YSO establishes and maintains an adequate baseline oversight program.
- (n) Leads and coordinates development and implementation of YSO self assessment program. Assessment frequency is commensurate with the hazards and risks related to the activities.
- (o) Quality Assurance - YSO Facility Quality Assurance Program Development and Approval. <sup>DOE O 414.1C, 10 CFR 830.120</sup>

5. Senior Administrative Assistant (SAA)

- (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)

6. Office of Assistant Manager for Programs (OAMP)

Line Manager for Directed Stockpile Work (DSW), Campaigns, Readiness in Technical Base and Facilities (RTBF), Nonproliferation Programs (SNE), Naval Reactors, 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; <sup>DOE M411.1-1C</sup>
  - (1) Lead and coordinate the development of the YSO Operating Plan, Program Plans (DSW, Campaigns, RTBF), and transformation/modernization plans.
  - (2) Lead, coordinate and provide contractor oversight of Planning and Integration
  - (3) Lead, coordinate and provides contractor oversight of Site Development Plan (Ten Year Site Plan) <sup>DOE O 430.1B, 6430.1A</sup>
  - (4) Participate in Process/Capability Studies, as requested.
  - (5) Provide Stockpile Management Budgets and Forecasts to Assistant Deputy Administrator for Military Applications and Stockpile Operations (ADAMASO).
  - (6) Provide input and oversee contractor development of Production Readiness Assessment.6

- (7) Interpret and oversee implementation of Stockpile guidance documents, i.e., P&PD, PCD
- (8) Reviews and Provides Input to ADAMASO on the adequacy of the proposed allocations to meet Mission needs and Safety Initiatives.
- (9) Recommends Funding Target based on Workload and input from YSO Program Managers and Contracting Officer Technical Representatives
- (10) Propose Prioritization for funds required for Y-12 Nuclear Security Complex Infrastructure.
- (11) Lead the development of Work Authorization Directives
- (12) 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) Life Extension Programs
- (2) Stockpile Systems (enduring and retired)
  - (2) Stockpile Services
- (3) Packaging and transportation activities.
- (4) Weapons container certification activities.
- (5) Safe Shutdown Development, Implementation, Administration, Evaluation, and Compliance. DOE O 430.1B

(c) Campaigns

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

- (1) Dynamic Materials Campaign
- (2) Stockpile Readiness
- (3) Enhanced Surveillance Campaign

(4) Advance Design and Production Technology

(5) Plant Directed Research and Development

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

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

(1) Operations of Facilities

(2) Recapitalization Projects

(3) Program Readiness

(4) Material Recycle and Recovery

(5) Demolition of Facilities

(6) Materials Management, Storage, Consolidation, and Disposition

(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. <sup>DOE O 430.1B</sup>

(f) Monitor Contractor Performance and Assess whether Performance expectations have been met; <sup>DOE M411.1-1C</sup>

(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.

(g) Contract Administrations

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

- (1) Support Development of Contractual Performance Measures and Criteria and Award Fee.
- (2) Evaluate Performance of Contractors and provide Input on Contractor Performance Award Fee for Projects.
- (i) Operational Readiness Review (ORR), Readiness Assessment (RA), Independent Review (IR) – Lead Readiness Review Program. DOE O 425.1B, DOE M411.1-1C
- (1) Provide Oversight, Coordination, and Assurance of Contractor Readiness Activities. DOE M411.1-1C
- (2) Readiness Review (ORR/RA/IR) – Develop draft Plan of Action for Facilities/Operations. DOE O 425.1A, STD 3006-2000, DOE M411.1-1C
- (3) Readiness Review (ORR/RA) - Review and Concur on Resumption of Operations Following Shutdown for Safety Concerns. DOE O 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
- (j) Nonproliferation Programs are assigned to the Senior Nuclear Engineer (SNE)
  - (1) Leads and Coordinates Nonproliferation and Treaties Program Activities; (Perform Work)
    - (a) Provides senior technical advice on Plant production processes and advanced technologies.
    - (b) 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
  - (2) Contract Authority -- Serves as alternate COR for the prime contract when required by the SOM.
  - (3) Technical Standards Expert - Interprets Policy and technical guidance on Technical Standards. Recommends solutions and actions and prepares responses to critical, important highly technical issues.

- (4) Performs Independent Technical and analytical evaluation of YSO nuclear and non-nuclear facilities and documents, as necessary.
  - (a) Performs appraisals of contractor facilities and operations for compliance with NNSA and DOE Orders
  - (b) Provides technical expertise for Special Access Programs.
- (5) Technical Lead for activities associated with the DOE Office of Intelligence and for other special work activities assigned by the Site Office Manager.
- (6) Safeguards Agreement and Protocol with the International Atomic Energy Agency  
DOE O 142.2
  - (a) Leads and coordinates IAEA activities at Y-12 and with HQ.
- (k) National Environmental Policy Act Program
  - (1) Cultural Resources
  - (2) Development and Approval of Annual National Environmental Policy Act (NEPA) Planning Summary. DOE O 231.1, 451.1A
  - (3) Establish and maintain a NEPA Compliance Program. DOE O 451.1A
  - (4) Implementation of Policy and Guidance for Environmental Assessments (EAs). DOE O 451.1A
  - (5) Submit Requests for Variance from DOE NEPA Regulations or DOE O 451.1A. DOE O 451.1A
  - (6) Recommends approval to SOM for Environmental Assessments, Findings of No Significant Impact (FONSI). DOE O 451.1A
  - (7) Coordinate and review Environmental Impact Statements. DOE O 451.1A
- (l) Facilities and Infrastructure Recapitalization Program (FIRP)
  - (1) Manage and execute General Plant Projects and expense projects focused on deferred maintenance reduction
  - (2) Manage and execute demolition of facilities excess to mission need
  - (3) Utility Line Item Management oversight
  - (4) Planning for future year projects (demolition and recapitalization)

## (m) Naval Reactors Program

- (1) Provide HEU for naval propulsion systems

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

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<sup>M411.1-1C</sup>
  - (1) Support and Perform Quality Assurance Surveys (QAS) 1.0 (support), 2.0, 3.0, and 4.0 Surveys. <sup>Quality Assurance Procedure (QAP) Manual</sup>
  - (2) Product Acceptance, Stamping and Marking. <sup>QAP Manual</sup>
  - (3) Perform Non-Nuclear Verifications.
  - (4) Ensure Standards and Calibration are Consistent with Requirements <sup>QC-1</sup>
  - (5) Facility Quality Assurance. <sup>10 CFR 830.120, DOE O 414.1C</sup>
  - (6) Software Quality Assurance. <sup>QC-1</sup> 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 <sup>IP DNFSB 2002-1</sup>
  - (7) Process Incoming Material Reports (IMRs). <sup>QAP Manual</sup>
  - (8) Submit QAA Annual Activities Plan. <sup>QAP Manual</sup>
  - (9) Quality Assurance - Approve Contractor QAPs and Implementation Plans for DOE 414.1C and 10 CFR 830.120 and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830. Ensure that contractors implement QAPs. <sup>DOE O 414.1C, 10 CFR 830.120, DOE M411.1-1C QC-1, NNSA HQ FRAM, Rev 1</sup>
  - (10) Quality Assurance - Suspect and Counterfeit Parts Program Plan Approval for each Site. <sup>DOE O 440.1A</sup>
  - (11) Review and approval annual submission of Contractor changes to the DOE approved QAP. <sup>10 CFR 830.120</sup>
  - (12) QAA Chief coordinates responses and corrective actions pertaining to weapons QA issues with YSO Programs. <sup>QC-1</sup>

(b) Operational Readiness Review (ORR), Readiness Assessment (RA), Independent Review (IR) - Support Readiness Review Program. <sup>DOE O 425.1B, DOE M411.1-1C</sup>

- (1) Provide Oversight, Coordination, and Assurance of Contractor Readiness Activities. <sup>DOE M411.1-1C</sup>
- (2) Readiness Review (ORR/RA/IR) – Support development of draft Plan of Action for Facilities/Operations. <sup>DOE O 425.1A, STD 3006-2000, DOE M411.1-1C</sup>
- (3) Readiness Review (ORR/RA) - Review and Concur on Resumption of Operations Following Shutdown for Safety Concerns. <sup>DOE O 425.1A</sup>
- (4) Readiness Review – Coordinate and ensure Closure Verification of Pre/Post Start Findings for Facilities/Operations. <sup>DOE O 425.1A</sup>
- (5) Readiness Review Report – Support development and concur on Facilities/Operations. <sup>DOE O 425.1A, STD 3006-00</sup>
- (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. <sup>DOE M411.1-1C</sup>
- (2) Conduct of Operations - Provide Input to Facility Representative Manual Development and Approval. <sup>DOE STD-1063-00</sup>
- (3) Reporting – Directs Development, Review & Approve Implementing Procedures & Matrices for Contractor Implementation of Occurrence Reporting. <sup>DOE O 232.1A, DOE M411.1-1C</sup>
- (4) Conduct of Operations - Facility Representative Program - Train Facility Representatives, Qualification Cards & Boards. <sup>DOE O 5480.19, STD 1063-00, DOE M411.1-1C</sup>
- (5) Conduct of Operations - Facility Representative Program- Approval of DOE Daily Operating and Event Reports. <sup>DOE O 232.1A, DOE M411.1-1C</sup>
- (6) Conduct of Operations - Facility Representative Program - Prepare and Conduct Observations as Scheduled. <sup>DOE STD 1063-97, DOE M411.1-1C</sup>
- (7) Reporting - Review and Approve Occurrence Reports and complete other activities for FR as listed in DOE M 232.1-1A. <sup>DOE O 232.2A, DOE M411.1-1C</sup>
- (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. <sup>DOE Order 232.1A (5f)</sup>

- (9) Review ORPS Reports from all Sites to Detect Potential Improvements and Means of Averting Occurrences. <sup>DOE M411.1-1C</sup>
- (10) Support Emergency Response Cadre.
- (d) Lesson Learned Program. <sup>DOE M411.1-1C</sup>
- (1) Lessons Learned – Direct Contractors to Develop and Implement a Lessons-Learned Program. The program should include analysis and trending of events <sup>DOE M411.1-1C</sup>
- (2) Lessons Learned – Participate in DOE-Wide Sharing of Lessons Learned. <sup>DOE M411.1-1C</sup>
- (3) Lesson Learned – Monitor and assess Contractor’s Program. <sup>DOE M411.1-1C</sup>
- (4) Continuously Improve the Efficiency and Quality of Operations - Develop, Implement, and Track Corrective Actions to Profit from Prior Experience and Lesson Learned <sup>DOE M411.1-1C</sup>
- (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. <sup>DOE M411.1-1C</sup>
- (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. <sup>DOE M411.1-1C</sup>
- (e) Training and Qualifications;
- (1) Training Program - Review and Provide Oversight of Contractor Training Program. <sup>DOE O 5480.20A</sup>
- (2) Training Program - Develop, Implement, and Maintain the Technical Qualification Program (TQP) Programs (Approve program, Supervisors approve staff qualification cards). <sup>DOE O 360.1, DNFSB 93-3, DOE M411.1-1C, DOE M 426.1-1</sup> Implement the Federal Technical Capability Program with guidance developed by the Principle Deputy Administrator, CTA, and Deputy Administrator to ensure the NNSA Federal technical employees responsible for oversight are trained to perform their duties safely and efficiently. <sup>NNSA HQ FRAM, Rev 1, 3.12</sup>
- (3) Training Program - Conduct and Participate in Periodic Evaluations of Contractor and Federal Training and Qualification Programs. <sup>DOE O 360.1, 5480.20A</sup>

- (4) Conduct of Operations - Facility Representative Program - Train Facility Representatives, Qualification Cards & Boards. <sup>DOE O 5480.19 and STD 1063-00</sup>
  - (5) Federal Technical Capabilities Panel (FTCP) - Serve as FTCP Agent. <sup>DOE M 426.1-1</sup>
  - (6) Develop, achieve, and maintain accreditation for Training and Qualification Program. <sup>DOE M 426.1-1</sup>
  - (7) Develop and approve workforce staffing analysis plan. <sup>DOE M 426.1-1</sup>
  - (8) Responsible for oversight of FTCP/TQP assessments. <sup>DOE M 426.1-1</sup>
- (f) Provide Maintenance Management and Utility Support for Physical Plant within the Approved Safety Envelope; <sup>DOE O 433.1, 430.1, 4330.1</sup>
- (1) Reporting—Performance Measurement/Performance Indicators—Support Development and Approval <sup>DOE O 433.1</sup>
  - (2) Support Development of Contractual Performance Measures, Criteria, and Performance Evaluation Plan (PEP). <sup>DOE O 433.1</sup>
  - (3) Conduct and participate in periodic evaluations of Contractor Maintenance Programs <sup>DOE O 433.1, 430.1</sup>
  - (4) Review and recommend approval to YSO Manager Contractors Maintenance Implementation Plan. <sup>DOE O 433.1</sup>
  - (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. <sup>DOE O 433.1, 430.1</sup>
- (g) Provide Support for ES&H Management (e.g., Stop Work)
- (1) Reporting – Performance Measurement/Performance Indicators - Support Development and Approval. <sup>DOE O 210.1</sup>
  - (2) Supports implementation of Integrated Safety Management. Serve as lead in activities related to activity level work control.
  - (3) Suspend Operations in the Event of Undue Risk (Stop Work Authority). <sup>DOE O 425.1, 10 CFR 830, DOE M411.1-1C</sup>
- (h) Operations Evaluation and Feedback;

- (1) Support Development of Contractual Performance Measures, Criteria, and Performance Evaluation Plan (PEP).<sup>DOE O 430.1B</sup>
  - (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.<sup>DOE M 232.1-1A (4.3b, 4.3d)</sup>
  - (i) Oversees the Price Anderson Amendment Act Program for the YSO.  
<sup>10 CFR 820, DOE M411.1-1C</sup>
  - (j) Review and approve Occurrence Reports, as appropriate.
8. Office of Assistant Manager for Engineering, Safety, and Environment (OAMESE)
- Manager for Environmental Management and Waste Management. Provides support for Nuclear Safety, Criticality Safety, ES&H and Process Engineering. Directs and Performs Supervisory, Oversight and Contract Administration Activities of the following Functions:
- (a) Risk Management Activities for Nuclear and Chemically Hazardous Non-Nuclear Materials;<sup>DOE M 411.1-1C</sup>
    - (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).<sup>DOE M 411.1-1C</sup>
    - (2) Develop List of Facilities requiring Authorization Basis Documentation.<sup>STD 1027-92, 10CFR830.200, Subpart B</sup>
    - (3) Review Natural Phenomena Hazards Assessment.<sup>DOE O 420.1A, STD 1021-93</sup>
    - (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.<sup>DOE M411.1-1C</sup>
  - (b) Safety Analysis Reports (SARs), Safety Evaluation Reports (SERs), and Technical/Operational Safety Requirements (TSR/OSR) development and implementation;<sup>DOE M411.1-1C , 10 CFR 830, Subpart B, DOE-STD-3009-94, DOE-STD-1186-2004</sup>
    - (1) Existing Facilities and Operation - Nuclear Facilities – Review/Concur Initial TSR Implementation Plan.<sup>10 CFR 830, Subpart B</sup>

- (2) New Facilities/Missions/Approve Nuclear Preliminary Documented Safety Analysis.  
10CFR830, Subpart B
- (3) Program - Review Exemption Requests from 10 CFR 830. <sup>10 CFR 830</sup>
- (c) Authorization Basis Documentation; <sup>10 CFR 830, Subpart B81.1B</sup>
  - (1) Provide Authorization Basis Guidance and Technical Interpretations for consistent YSO implementation. <sup>DOE M411.1-1C</sup>
  - (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. <sup>DOE M411.1-1C</sup>
  - (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). <sup>DOE O 420.1A, 10 CFR 830</sup>
  - (4) Existing Facilities and Operations - Review and Concur on Authorization Basis Document Review Plan <sup>DOE O 420.1A, 10 CFR 830</sup>
  - (5) Existing Facilities and Operations - Review and Concur on New Authorization Basis Documents & Updates <sup>10 CFR 830, Subpart B</sup>
  - (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. <sup>10 CFR 830, Subpart B</sup>
  - (2) USQ-Nuclear Facilities- Ensure adequate contractor USQD procedures. <sup>10 CFR 830, Subpart B</sup>
  - (3) USQ-Monitor/Assess USQ Identification, Review, and Decision Making Process. <sup>10 CFR 830, subpart B</sup>
- (e) Provide Core Expertise and Engineering Support as required for Areas of Expertise;
  - (1) Nuclear Safety and Safety Basis. <sup>DOE O 420.1A, 10 CFR 830, Subpart bB</sup>

(2) Development of Contractual Performance Measures, Criteria, and Comprehensive Fee <sup>DOE O 430.1A</sup>

(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). <sup>DOE O 461.1, 10 CFR 830, Subpart B</sup>

(2) Review/Concur with Contractor On-Site Transportation Safety Documents. <sup>DOE O 461.1, 10 CFR 830, Subpart B</sup>

(3) Provide safety management support for development and administration of DOE, NRC or IAEA Certificate of Compliance. <sup>DOE O 460.1A</sup>

(4) Technical assessment and verification of onsite transportation and packaging safety documentation. <sup>DOE O 461.1A, O 460.1, 10 CFR 830, Subpart B</sup>

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

(6) Provide program oversight for Departmental Materials Transportation and Packaging Management. <sup>DOE O 461.2</sup>

(7) Provide program oversight for Aviation Management and Safety. <sup>DOE O 440.2</sup>

(8) Provide support for obtaining waivers/exemptions from Federal, Tribal, State, and Local Transportation Regulations. <sup>DOE O 460.1A</sup>

(9) Act as Liaison Interface with Federal, Tribal, State and Local Agencies as related to Transportation and Packaging. <sup>DOE O 460.1A</sup>

(g) Technical Management for Environmental Protection, Safety, Health and Waste Activities; <sup>DOE M411.1-1C</sup>

(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..

(4) Lead and Coordinate Review /Comment on Proposed DOE Technical Standards. <sup>DOE M411.1-1C</sup>

- (5) Lead/Coordinate and Recommend Technical and Cost Saving Improvements for Standards, Where Appropriate. <sup>DOE M411.1-1C</sup>
  - (6) Lead/Coordinate and Provide staff to participate on Focus Groups or Technical Development Teams for Standards. <sup>DOE M411.1-1C</sup>
  - (7) Lead, Coordinate, Review and Comment on Proposed Rules (Consistent with YSO/ORO Service Arrangement). <sup>DOE M411.1-1C</sup>
  - (8) Lead/Coordinate and Recommend Technical and Cost Saving Improvements for Rules, Where Appropriate. <sup>DOE M411.1-1C</sup>
  - (9) Lead/Coordinate What Actions by the YSO are Necessary to Implement the Final Rule. <sup>DOE M411.1-1C</sup>
  - (10) Coordinate crosscutting ES&H reviews.
- (h) Environmental Protection Activities include the following;
- (1) Federal Facilities Compliance Act
  - (2) Environmental Management System (EMS). <sup>DOE O 450.1</sup>
  - (3) Environmental Protection Monitoring.
  - (4) Environmental Permits and Compliance (approves selected reports).
  - (5) Wetland Management Programs.
  - (6) Natural Resource Damage Assessment Process.
  - (7) Review of Annual Site Environmental Surveillance Report, Monitoring Plans, Groundwater Protection Management Plans. <sup>DOE O 231.1, 5400.1</sup>
  - (8) Waste Management Programs; <sup>DOE O 435.1</sup>
    - (a) Supports waste activities from generation through 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.
- (f) Provides program oversight of waste treatment facilities operated by NNSA M&O Contractors.
- (i) Agreement in Principle Grant with the State of Tennessee;
  - Cooperative Agreement with the State of Tennessee Wildlife Resources Agency on Wildlife Management.
- (j) Provides Safety and Health Support for Resolution of Facility and Operational Activities;
  - DOE M411.1-1B(9.5.2b) Provide support to project engineers, startup/restart teams, and others as requested.
  - (1) Provide Core Expertise for:
    - (a) Chemical Safety. <sup>29 CFR 1910</sup>
    - (b) Fire Protection. <sup>DOE O 420.1A, 440.1A</sup>
    - (c) Radiological Protection. <sup>10 CFR 835, DOE M411.1-1C</sup>
    - (d) Industrial Hygiene. <sup>DOE O 440.1A</sup>
    - (e) Occupational Medicine. <sup>DOE O 440.1A</sup>
    - (f) Occupational Safety. <sup>DOE O 440.1A</sup>
    - (g) Pressure Safety. <sup>DOE O 440.1A</sup>
    - (h) Construction Safety. <sup>29 CFR 1926, DOE O 440.1A</sup>
    - (i) Industrial Safety. <sup>DOE O 440.1A, 29 CFR 1910</sup>
    - (j) Vehicle Safety. <sup>DOE O 440.1A</sup>
    - (k) HVAC. <sup>DOE HDBK-1169-2003</sup>
    - (l) Nuclear Criticality Safety (NCS). <sup>DOE O 420.1</sup>
    - (m) Emergency Preparedness <sup>DOE O 151.1C</sup>
  - (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) Directs the Contractor to Propose Site/Facility Standards Tailored to the Work and Hazards. <sup>DOE M411.1-1C</sup>

- (4) Lead, Coordinate and Review Site/Facility Standards and Recommend Approval to the CO. DOE M411.1-1C
- (5) Lead, coordinate, and conduct oversight of Emergency Management. Review and approve emergency response documents, as appropriate. DOE O 151.1C
- (6) Accident Investigation - Provide Support to HQ Accident Investigation Board and Ensure that Site has Accident Investigation Capabilities. DOE O 225.1A
- (7) Accident Investigation - Review and Concur on Corrective Action Plans from Type A and B accident investigations. DOE O 225.1A, P 450.6
- (8) Accident investigation - Develop and Approve Accident Investigation Reports. DOE O 225.1A
- (9) Develop and Implement Federal Employee Occupational Safety and Health (FEOSH) Program. DOE O 440.1A
- (10) Readiness Review (ORR/RA/IR) – Support Development of Plan of Action for Facilities, as requested. DOE O 425.1A, STD 3006-95
- (11) Readiness Review – Supports Closure and Verification of Pre/Post Start Findings for Applicable Facilities. DOE O 425.1A
- (12) Readiness Review Report – Support Development as Requested. DOE O 425.1A, STD 3006-00
- (13) Suspend Operations in the Event of Undue Risk (Stop Work Authority). DOE O 425.1A, 10 CFR 830
- (14) Ensure that daily authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements. DOE M411.1-1C
- (15) 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 M411.1-1C
- (16) Lead and coordinate an Independent Review to validate Corrective Actions taken as a result of the EH-2 review. DOE M411.1-1C
- (17) Investigate Employee Concerns related to Safety and Health Issues.
- (18) Support Lessons Learned Program.

- (19) Provide Support to project reviews.
- (20) Point of contact for Y-12 Former Workers Program
- (k) Engineering Support for Resolution of Facility and Operational ES&H Issues.
  - (1) Lead and Coordinate Configuration Management and System Engineering Program.
  - (2) Lead YSO Safety System Oversight (SSO) of Vital Safety Systems.
  - (3) Designate YSO System System Oversight (SSO) officials for Vital Safety Systems.
  - (4) Provide support to project engineers, startup/restart teams, and others as requested.
- (l) 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. <sup>DOE M 140.1-1A</sup>
- (m) Integrated Safety Management System (ISMS); <sup>DOE M411.1-1C</sup>
  - (1) Assist when request in the revision of YSO Functions Responsibilities and Authorities Manual. <sup>DOE P 411.1, DOE M 411.1-1C, DOE O 450.4</sup>
  - (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. <sup>DOE P 450.4, DOE M411.1-1C</sup>
  - (3) ISM Program Implementation - ISMS Verification – Submit List of Qualified STSMs to Participate on ISM Team(s), as required. <sup>DOE P 450.4, DOE M411.1-1C</sup>
  - (4) ISM Program Implementation - ISMS Verification - Comment on Review Plan and Conduct Review. <sup>DOE P 450.4</sup>
  - (5) ISM Program Implementation - ISMS Verification - Manage YSO Verification Program. <sup>DOE P 450.4</sup>
  - (6) ISM Program Implementation - ISMS Verification - Recommends Approval of Review Results and ISMS Description on an annual basis as applicable. <sup>DOE P 450.4</sup>
  - (7) Ensure sufficient ES&H oversight. <sup>DOE O 226.1</sup>

(n) ES&H Evaluation and Feedback; DOE<sup>M411.1-1C</sup>

- (1) Support Development of Contractual Performance Measures, Criteria, and Comprehensive Fee. <sup>DOE O 430.1B</sup>
- (2) Evaluate Performance of Contractors and provide Input on Comprehensive Fee.
- (3) Support the Lessons Learned Program

9. 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; <sup>DOE M411.1-1C</sup>

- (1) Funds Management Execute/Approve Funds-In Agreement that is proposed by the YSO Contractors. <sup>DOE O 481.1</sup>
- (2) Issue and Modify Contracts. Maintain a program and funding baseline for budget execution. <sup>DOE O 135.1, 5I[1], M 135.1-1, DOE M411.1-1C</sup>
- (3) Incorporation of ES&H Standards in Contracts, Formulated and Administered by YSO (Negotiate and Administer). <sup>DOE O 210.1, 225.1A, 232.1A, 420.1A, 425.1A, 451.1A, 460.1A, 1300.2A, 10 CFR 830, DOE M411.1-1C</sup>
- (4) Incorporation of New Directives into Contracts. <sup>DOE O 251.1A, M 251.1-1A</sup>
- (5) Implement funding allocations consistent with program office's allocation of resources and revise allocations as delegated. <sup>DOE M411.1-1C</sup>
- (6) Act as a Liaison between the Contractor and YSO staff regarding contract issues and performance expectations. <sup>DOE M411.1-1C</sup>
- (7) Authorization Agreement – Append the approved authorization agreement to the affected contract or modify the contract to contain the provisions. <sup>DOE M411.1-1C</sup>
- (8) Ensure contracts are properly executed so work is performed safely. <sup>DOE M411.1-1C</sup>
- (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. <sup>DOE O 420.1A (5e)</sup>
- (10) Provide advice 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. <sup>DOE M411.1-1C</sup>
- (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. <sup>DOE M411.1-1C</sup>
- (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. <sup>DOE M411.1-1B</sup>
- (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. <sup>DOE O 135.1, 5I[2], M 135.1-1</sup>
- (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. <sup>DOE O 130.1</sup>
- (9) Procurement System.
- (10) Reporting - Federal Managers Financial Integrity Act - Development of Annual Report of Significant External Audit Issues and Self-Identification of Vulnerabilities; <sup>DOE O 413.1</sup>
- (11) Lead Development of Business Management Core Competency for YSO Strategic Plan.

(c) Comprehensive Fee and Performance Based Incentive Fee determination process; <sup>DOE O 224.1</sup>

- (1) Lead and coordinate Contractor Comprehensive Fee/PBI Plan Development and Approval <sup>DOE M411.1-1C</sup>
- (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. <sup>DOE M411.1-1C</sup>
- (4) Lead and coordinate Contractor Performance Assessment Program Appraisal Report Development and Approval. <sup>DOE O 420.1A, 430.1B, 5480.23,</sup>
- (5) Lead coordination for Development of Contractual Performance Measures and Criteria and Award Fee <sup>DOE O 430.1B</sup>
- (d) Property Management Program (Per YSO/NNSA 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/NNSA 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

#### 10 Office of Assistant Manager for Safeguards and Security (OAMSS)

Line Manager for Safeguards & Security. Ensures day-to-day oversight of the Safeguards and Security (S&S) programs for the M&O contractor, protective force contractor, and other contractors or sub-contractors who implement S&S requirements for YSO facilities. Serves as Contracting Officer's Representative (COR) for YSO contracts involving S&S.

The responsibility to serve as DOE Line Management, Cognizant DOE Authority, and DOE Cognizant Security Authority (CSA), and to execute Head of Field Element duties as described in DOE Order 470.4, Safeguards and Security Program, its associated Manuals,

and other S&S related DOE/NNSA Orders, Manuals, or Policies, for YSO S&S activities is delegated to the Assistant Manager for Safeguards and Security AMSS by the YSO Site Office Manager (SOM). The (AMSS) performs the duties and responsibilities for these responsibilities, authorities, and oversight in accordance with DOE O 470.4 and the following directives (including some specific responsibilities):

(a) Program Management and Support *(DOE M 470.4-1)*

- (1) Approves deviation requests.
- (2) Approves contractor safeguards and security plans per YSO letter dated May 30, 2006.
- (3) Develops the S&S Management Plan (YSO FRAM).
- (4) Integrates S&S crosscutting policies and interprets applicable policies.
- (5) Develops and approves S&S Annual Operating Plan.
- (6) Approves contractor's annual training plan.
- (7) Ensures periodic surveys and assessments are conducted of contractor and subcontractor programs for which YSO serves as the Lead Responsible Office.
- (8) Ensures applicable self-assessments are conducted.
- (9) Ensures appropriate SECON measures are implemented.
- (10) Approves contractor corrective action plans.
- (11) Approves IOSC implementing procedures.
- (12) Staff member serves as the Facility Survey Operations Manager.
- (13) Staff member enters findings into SSIMS and ensures they are tracked to closure.
- (14) Staff member is appointed as an Inquiry Official.
- (15) Staff member works with the NNSA Service Center (Roles and Responsibilities) to ensure all contractors requiring access authorizations have facility clearances.
- (16) Staff member works with the NNSA Service Center (Roles and Responsibilities) to ensure Foreign Ownership, Control, or Influence (FOCI) program requirements are met and determinations are appropriately made.
- (17) Contracting Officer ensures appropriate language, CFR clauses, DEAR clauses, and Contractor Requirements Documents from directives are incorporated in all applicable contracts.

(b) Physical Protection *(DOE M 470.4-2)*

- (1) Approves the use of controlled articles in security areas.
- (2) Approves site specific requirements and procedures for visitor logs.
- (3) Approves the designation of and description of Property Protection Areas (PPAs).
- (4) Approves means of detection when SNM is in use or in processing and left unattended in an MAA.
- (5) Approves local security procedures for in use or in processing Category IV quantities of SNM.
- (6) Approves means or methods for domestic off-site shipments of Category IV quantities of SNM.

- (7) Determines the frequency of random exit inspections when a PA encompasses an MAA and the Category II or greater quantities of SNM are contained completely within the MAA.
- (8) Approves local procedures for issuance, use, accountability, and return of DOE security and LSSO badges.

(c) Protective Force *(DOE M 470.4-3)*

- (1) Annually approves or certifies Live Firing Range Safety Analysis Report for continued Live Fire Range operations, Job Task Analysis and Training Plan for Protective Forces personnel, and Special Response Team program.
- (2) Staff member serves as alternate COR for Protective Force Contract.
- (3) Staff member serves as Central Training Facility (CTF) Program Manager.
- (4) Issuing authority for the Contractor Arming and Arrest Credential (SPO) with Shield (Armed)

(d) Information Security *(DOE M 470.4-4)*

- (1) Approves the annual Technical Security Countermeasures (TSCM) plan.
- (2) Staff Member serves as the TSCM Operations Manager.
- (3) Staff member serves as the Operations Security point-of-contact.
- (4) Staff member serves as a Classification Officer.
- (5) YSO Classification Officer concurs with the nomination of a contractor Classification Officer and forwards nomination with YSO concurrence to the Associate Administrator for Defense Nuclear Security (NA-70).
- (6) Approves the CMPC Manual and related procedures.
- (7) Approves any automated accountability systems and electronic receipting.
- (8) Approves the use of public destruction facilities or other methods that provide sufficient destruction.
- (9) Staff member serves as CMPC point-of-contact.
- (10) Staff member serves as YSO CMPC Directorate Security Officer (DSO).
- (11) Staff member serves as the Special Access Program Security Coordinator.

(e) Personnel Security *(DOE M 470.4-5; 10 CFR 707, 709, 710, 712; 49 CFR 40)*

Note: The NNSA Service Center (SC) manages Access Authorizations for the Y-12 NSC in coordination with YSO and the M&O contractor.

- (1) Serves as the delegated authority to act as a Designated Y-12 NSC HRP Certifying Official and if required, as the Y-12 NSC HRP Management Official.
- (2) Staff member coordinates the five-year clearance reinvestigation process for YSO with the NNSA/SC.
- (3) Staff member signs local HSPD-12 badge request documents for issue of Limited Site Specific Only (LSSO) badges as the federal sponsor for OPM investigators, OPM contract investigators, and City of Oak Ridge personnel.
- (4) Senior Security Technical Advisor serves as the HRP Management Official and

- delegated authority of Designated Y-12 NSC YSO HRP Certifying Official.
- (5) Staff member administers the HRP program for Y-12.
  - (6) Staff member performs termination briefings for YSO staff and ensures associated documentation is processed and provided to the NNSA Service Center. Briefings may be delegated to the contractor.
- (f) Nuclear Material Control and Accountability *(DOE M 470.4-6)*
- (1) AMSS approves NMC&A Plan.
  - (2) AMSS approves NMC&A elements described in DOE M 470.4-6 including shipper/receiver agreements, inventory plans, sampling plans, material surveillance plan, and performance testing plans.
- (g) Cyber Security *(NNSA NAPs 14.1 - 14.14; DOE O 205.1, DOE M 205.1-3, DOE M 471.2-2)*
- (1) DAA approves automated information security plans, authorizes cyber systems to operate (accreditation) thereby accepting residual risk on behalf of the Site Manager, and performs other duties. *[NAP 14.1A, Chapter 2, h. (1)-(11) and DOE M 471.2-2]*
  - (2) CSOM performs oversight of cyber security activities, ensures cyber incidents are reported as required, and performs other duties. *[NAP 14.1A, Chapter 2, i. (1) – (10) and DOE M 471.2-2]*.
  - (3) Staff members serve as the Telecommunications Security Oversight Manager (TSOM) and alternate.
  - (4) Staff members serve as the Protected Transmission System Approval Authority (PTSAA) and alternate.
- (h) Design Basis Threat Policy *(DOE O 470.3A)*
- These requirements are classified. For additional information, contact the AMSS.
- (i) Identification and Protection of Unclassified Controlled Nuclear Information *(DOE O 471.1A)*
  - (j) Identifying and Protecting Official Use Only Information *(DOE O 471.3)*
  - (k) Counterintelligence Program *(DOE O 475.1)*
  - (l) Classified Visits Involving Foreign Nationals *(DOE O 142.1)*
    - (1) Senior Security Technical Advisor approves security plans for classified visits.
  - (m) Unclassified Foreign Visits and Assignments Program *(DOE O 142.3)*
    - (1) Senior Security Technical Advisor approves security plans for Unclassified Foreign Visits and Assignments (FV&A).
  - (n) Information Technology

- (1) Staff member serves as System Administrator for the Pegasus system.
- (2) Staff member serves as webmaster for the YSO internal website.

#### 11. Public Affairs Manager

Serves as YSO point-of-contact for Public Affairs activities with ORO/HQ and contractor and has the following additional responsibilities:

- (a) Coordinates all external communication activities with local, regional, and national news media and serves as lead Federal spokesperson for site.
- (b) Serves as the interface with NNSA-HQ Congressional and Intergovernmental and Contractor public affairs programs.
- (c) Coordinates employee communications programs.
- (d) Oversees emergency public communications activities and serves on the Emergency Response Organization.
- (e) Responsible for coordination of public involvement programs.
- (f) Leads efforts to build relationships with elected officials and staffs.
- (g) Coordinates high-level visits and special events.
- (h) Serves as lead for executive communications activities or Manager.

#### 12. Site Office Counsel

The YSO Counsel is the chief legal advisor to the YSO Manager, staff, and other DOE organizations by agreement. The YSO Counsel reports directly to the ORO Manager. Specific areas of responsibility include:

- (a) Provides legal advice and counsel to the YSO Manager and staff in assuring program requirements are met in such areas as environment, safety, and health, ethics, personnel, procurement and contracts, and real estate.
- (b) Takes appropriate legal action to protect the interests of DOE/NNSA in claims, litigation, and administrative proceedings in which YSO has an interest. Represents or ensures adequate representation exists for YSO in administrative hearings before the Equal Employment Opportunity Commission, Merit Systems Protection Board, Federal Labor Relations Authority, Energy Board of Contract Appeals, and environmental commissions.

- (c) Serves as the Contracting Officer's Representative for approval of outside counsel, invoices, and settlements under 10 C.F.R. Part 719, "Contractor Legal Management Requirements."

## Attachment 1

**LIST OF ACRONYMS**

AA	Authorization Agreement
ADAPT	Advanced Design and Production Technology
ADP	Automatic Data Processing
AMA	Assistant Manager for Administration
AMESE	Assistant Manager for Engineering, Safety and Environment
AMOM	Assistant Manager for Operations Management
AMP	Assistant Manager for Programs
AMSS	Assistant Manager for Safeguards and Security
BCP	Baseline Change Proposal
BIO	Basis for Interim Operations
CAAS	Criticality Accident Alarm System
CBDPP	Chronic Beryllium Disease Correction Program
CAP	Corrective Action Plan
Ch	Chapter
CFR	Code of Federal Regulations
CMPC	Classified Matter Protection and Control
CO	Contracting Officer
COR	Contracting Officer's Representative
CSO	Cognizant Secretarial Officer
CSOM	Computer Security Office Manager
CSPP	Cyber Security Program Plan
CTA	Central Technical Authority
CTF	Central Training Facility
DAA	Designated Approving Authority
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
DSW	Directed Stockpile Work
EA	Environmental Assessments
EH	Office of Assistant Secretary for Environment, Safety, and Health
EM	Office of Assistant Secretary for Environmental Management
EMS	Environmental Management System
ESE	Engineering, Safety, and Environment
ES&H	Environment, Safety, and Health
FEM	Field Element Manager
FIRP	Facilities and Infrastructure Recapitalization Program
FONSI	Findings of No Significant Interest

FRA	Functions, Responsibilities, and Authorities
FRAM	Functions, Responsibilities, and Authorities Manual
FTCP	Federal Technical Capabilities Panel
FVA	Foreign Visits and Assignments
GPE	General Plant Equipment
GPP	General Plant Projects
HQ	Headquarters
HRP	Human Reliability Program
IDP	Individual Development Plan
ISM	Integrated Safety Management
ISMP	Integrated Safety Management Plan
ISMS	Integrated Safety Management System
ISSM	Integrated Safeguards and Security Management
LCAM	Life Style Asset Management
LPSO	Lead Program Secretarial Officer
LSSO	Limited Site Specific Only
M&O	Management and Operating
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NCS	Nuclear Criticality Safety
NEPA	National Environmental Policy Act
NMC&A	Nuclear Materials Control and Accountability
NNSA	National Nuclear Security Administration
OM	Office Manager
OAMA	Office of Assistant Manager for Administration
OAMESE	Office of the Assistant Manager for Engineering, Safety and Environment
OAMOM	Office of Assistant Manager for Operations Management
OAMP	Office of Assistant Manger for Programs
OAMSS	Office of Assistant Manager for Safeguards and Security
OP	Operating Plan
OPI	Office of Primary Interest
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
PAM	Performance Assurance Manager
PEP	Performance Evaluation Plan
PPA	Property Protection Area
PSO	Program Secretarial Officer
PTSAA	Protected Transmission System Approval Authority
QA	Quality Assurance
QAS	Quality Assurance Survey
QAP	Quality Assurance Plan
RA	Readiness Assessment

RTBF	Readiness in Technical Base and Facilities
SECON	Security Condition
SABM	Senior Authorization Basis Manager
SAR	Safety Analysis Report
SC	Service Center
SDOA	Secretarial Delegation of Authority
SER	Safety Evaluation Report
SME	Subject Matter Expert
SMS	Safety Management System
SNE	Senior Nuclear Engineer
SO	Site Officer
SOM	Site Office Manager
SPM	Senior Projects Manager
SPO	Security Police Officer
S/RID	Standards/Requirements Identification Document
SSIMS	Safeguards and Security Information Management System
SSO	Safety System Oversight
S&S	Safeguards and Security
TQP	Technical Qualification Program
TSCM	Technical Security Countermeasure
TSOM	Telecommunications Security Oversight Manager
TSR	Technical Safety Requirement
USQ	Unreviewed Safety Question
USQD	Unreviewed Safety Question Determination
WAD	Work Authorization Directive
WBS	Work Breakdown Structure
WSS	Work Smart Standard
WQAP	Weapons Quality Assurance Program
WSI-OR	Wackenhut Services-Oak Ridge
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 FRAMs (DOE M 411.1-1C, 12-31-03, NNSA HQ FRAM Rev. 1, 2-28-05), applicable DOE Orders, regulations, and the operating contract for Y-12.

<b>Reference Number</b>	<b>Title</b>	<b>Implementing Media for YSO excluding FRAM</b>	<b>YSO Responsible Organizations as listed in the YSO FRAM</b>
NNSA Policy Letters <a href="#">NAP-1 (May 21, 2002)</a>	Establishment of a Policy Letter System for Managing Policy, Directives, and Business Practices within NNSA – YSO	N/A	SOM – 1(a) 1
<a href="#">NAP-2 (May 21, 2002)</a>	Establishment of Line of Succession for the Administrator	N/A	N/A
<a href="#">NAP-3 (July 18, 2002)</a>	NNSA Environmental, Safety, and Health Management Process Guidance		AMESE –8
<a href="#">NAP-4 (Oct 9, 2002)</a>	Corporate Performance Evaluation Process for Management and Operating Contractors		OAMA
<a href="#">NAP-5 (Oct 16, 2002)</a>	Policy Letter for Standards Management (Note: Replaces DOE P 450.3 for NNSA)		SOM -1(a)1, 9; PAM -4
<a href="#">NAP-6 (Dec 19, 2002)</a>	FEOSH Program for NNSA HQ Employees	N/A	N/A
<a href="#">NAP-7 (Dec 9, 2002)</a>	NNSA’s Acquisition and Assistance Policy Guidance	N/A	OAMA
<a href="#">BOP-003.0302 (Jan 10, 2003)</a>	Appointment of Contracting Officer’s Representative (COR) for NNSA Management and Operating Contracts		PAM 4(d) OAMP 6(g)
BOP-003.0303 (Jan 10, 2003)	NNSA Contracting Authorities		SOM 1(a)(10), (1) SOM, OAMA
<a href="#">NAP-8 (Jan 16, 2003)</a>	NNSA Leadership Coalition Charter	N/A	SOM—1(a)(1)
NAP-9 (Jan 24, 2003)	SECON Implementation		
<a href="#">BOP-003.0304, Rev. 1 (July 03, 2003)</a>	Coordination and Approval Process (CAP) of Contract Actions		OAMA
NAP-14.1-A	NNSA Cyber Security Program		OAMSS--10
<b>*10 CFR 710</b>	Subpart A: General Criteria and Procedures for Determining Eligibility for Access to Classified		OAMSS--10

<b>Reference Number</b>	<b>Title</b>	<b>Implementing Media for YSO excluding FRAM</b>	<b>YSO Responsible Organizations as listed in the YSO FRAM</b>
	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 719	Contractor Legal Management Requirements		SOC—12(c)
<b>*10 CFR 820</b>	Procedural Rules for DOE Nuclear Activities	Regulations	OAMOM--7(i)
<b>*10 CFR 830</b>	Nuclear Safety Management	YSO-1.9 YSO-2.0 YSO-5.3 YSO-5.15 YSO-5.20	AMESE--8 (a)2,5; 8(b)1, 8(b)2;83(b)3 8(c)3,4,5 8(d)1,2,3 8(e)1; SPD- 3(c) 2 OAMOM-- 7(a)5,8,9,10,11, 7(g)3 OAMOM—7(a)5 OAMA—9(a)3, 9(c)4
<b>*10 CFR 835</b>	Occupational Radiation Protection	Regulations	OAMESE-- 8(d)1c
<b>*10 CFR 850.10 (c)</b>	Chronic Beryllium Disease Prevention Program		SOM—1(b)(6)
10 CFR 851	Worker Safety and Protection Program (Contractor implementation required by May 07)	Draft Review Plan	OAMESE--8
<b>*29 CFR 1910</b>	Occupational Safety and Health Standards	Regulations	OAMESE--8(d)1, (d)19
<b>*29 CFR 1926</b>	Safety and Health Regulations for Construction	Regulations	OAMESE--8(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--1(a)6
DOE O 130.1	Budget Formulation	YSO-1.7 YSO-1.10	OAMA--9(b)8
DOE O 135.1	Budget Execution Funds Distribution and Control	YSO-1.10	OAMA--9(a)2; 9(b)5
DOE M 135.1-1	Budget Execution Manual		OAMA--9(a)2; (b)5
DOE M140.1-1B	Interface with the Defense Nuclear Facilities Board	YSO-5.11	OAMESE--8(k)
DOE N 142.1	Unclassified Foreign Visits and Assignments		OAMSS--10(f)
DOE P 142.1	Unclassified Foreign Visits and Assignments		OAMSS--10(f)
DOE O 142.1 (1/13/04)	Classified Visits Involving Foreign Nationals		OAMSS--10(f)

<b>Reference Number</b>	<b>Title</b>	<b>Implementing Media for YSO excluding FRAM</b>	<b>YSO Responsible Organizations as listed in the YSO FRAM</b>
DOE O 142.2 (1/07/04)	Safeguards Agreement and Protocol with the International Atomic Energy Agency		OAMSS--10(g)
DOE O 142.3			OAMSS--10(h)
<b>DOE O 151.1C (11/02/05)</b>	Comprehensive Emergency Management System	YSO-1.5	OAMESE--8(j)(1)(m), 8(j)(5) SOM--1(a)(12), 1(a)(13)
DOE N 153.2 (8/11/03)	Connectivity to National Atmospheric Release Advisory center (NARAC)		
DOE P 205.1	Department Cyber Security Management Policy		OAMSS--10
DOE O 205.1 (3/21/03)	Department of Energy Cyber Security Management Program		OAMSS--10
DOE N 205.2	Foreign National Access to DOE Cyber Systems		OAMSS--10
DOE N 205.3	Password Generation, Protection, and Use		OAMSS--10
DOE N 205.4	Handling Cyber Security Alerts and Advisories and Reporting Cyber Security Incidents		OAMSS--10
DOE 210.1	Performance Indicator and Analysis of Operations Information		OAMOM--7(g)1; OAMA-- 9(a)3
DOE O 224.1	Contractor Performance Based business Management Process		OAMA—9(c)
<b>*DOE O 225.1A</b>	Accident Investigation	Service Arrangement ORO & YSO	OAMESE--8(d)8,9,10; OAMA--9(a)3
<b>DOE O 226.1</b>	Implementation of Department Oversight Policy		SOM (a) (1) SOM (d) (3) & (5) SOM (d) (4) SOM (d) (5)
<b>DOE M 231.1-1A (9/9/04)</b>	Environment, Safety, and Health Reporting Manual	YSO-3.3 YSO-9.2 YSO-9.6	OAMESE--8(b)7,8
<b>*DOE O 232.1A</b>	Occurrence Reporting and Processing of Operations Information	YSO-1.6 YSO-1.9 YSO-3.4	OAMOM--7(c)5; OAMA--9(a)3
M 232.1-2 (8/19/03)	Occurrence Reporting and Process of Operations Information	YSO-1.6 YSO-1.9 YSO-3.4	OAMOM—7(c)5; 7, 3  SOM—1(a)7,8
DOE O 241.1A Ch 1 (10/14/03)	Scientific and Technical Information Management		

Reference Number	Title	Implementing Media for YSO excluding FRAM	YSO Responsible Organizations as listed in the YSO FRAM
ORO O 250	Standards Management	Service Arrangement ORO-YSO	PAM--4(a), 4(d)
DOE P 251.1	Directives System Policy		PAM--4(a)2;
DOE O 251.1A	Directives System Order	Service Arrangement (ORO O 250) YSO-1.12 YSO-5.1	PAM--4(a)2;
M 251.1-1A	Directives System Manual	Service Arrangement (ORO O 250) YSO-1.12 YSO-5.1	PAM--4(a)2;
DOE O 350.2A (10/29/03)	Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area		
DOE O 360.1A	Federal Employee Training	YSO-2.1 FR Qualification Standard FR Interim Qualification Std YSO Technical Qualification Std	OAMOM--7(e)2,3,4
M 360.1A-1	Federal Employee Training	YSO-2.1, Technical Qualification Program	OAMOM—7(e)2,3
DOE P 411.1	Safety Management Functions, Responsibilities and Authorities		OAMESE--8
M 411.1-1C (12/31/03) Issue by DOE Office of Environment, Safety and Health	Safety Management Functions, Responsibilities, and Authorities		SOM--1(a)6; SPD 3(c)3; OAMESE--8(a), (a)1, (a)5; 8(b); 8(c)1,2; PAM--4(a)1,2,3,4,5; OAMP--6(a); 6(e); 6(f); OAMOM--7(a), 9,10; 7(b),1,2; 7(c),1,3,4,5,6,7,9; 7(d), 1,2,3,4,5; 7(g)3 OAMESE--8(a),4,5,6,7,8,9,10; 8(d),4,5,6,12;

Reference Number	Title	Implementing Media for YSO excluding FRAM	YSO Responsible Organizations as listed in the YSO FRAM
			8(h),1,2,3; 8(i); OAMA-- 9(a),2,3,5,6,7,8; 9(b)1,2,4; I(c)1,3
HQ NNSA FRAM (Rev. 1, February 28, 2005)	Safety Management Functions, Responsibilities and Authorities Manual (FRAM)		PAM -4(a)3, 4(f)
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--6(h)1,3,4; 6(h)1.3.4;SPD 3(a)1.(a)2.(c).(d)
<b>DOE O 414.1C</b> <b>(6/17/05)</b>	Quality Assurance	YSO-1.9 YSO-3.0 YSO-3.2 YSO-3.3 YSO-5.1 YSO-9.2	OAMOM--7(a)5,9 SPD -3(c)2
QC-1	Quality Criteria (DOE/AL) Note: The listing of this reference in this section reflected commitments contained in the CAP submitted to HQ for the issues identified in the QAS-1 conducted on March 15-16, 2005		OAMOM--7(a)9, 7(a)12
<b>*DOE O 420.1A</b>  <b>5d</b>  <b>5e</b>	Facility Safety	YSO-5.3 YSO-5.9 YSO-5.20	OAMESE—8(a) 8(c), 8(e)1; SPD -3(a)3 PAM—4(a)5  OAMA--9(a)3,9
<b>*DOE O 425.1C</b>	Startup and Restart of Nuclear Facilities	YSO-1.6 YSO-5.4 YSO-5.10 YODP-001PD	OAMOM-- 7(b)2,3,4,5; 7(g)3; 10(d)12,13,14;15 OAMA--9(a)3
DOE M 426.1-1	Federal Technical Capability Manual	YSO-2.1	OAMOM— 7(e)2,5,6,7
<b>*DOE O 430.1B</b>	Real Property Asset Management	YSO-1.10 YODP-001PD	OAMP--6(i)1,2;

Reference Number	Title	Implementing Media for YSO excluding FRAM	YSO Responsible Organizations as listed in the YSO FRAM
(9/24/03)			3(c)1; SPD -3(f),(b); OAMESE--8, OAMP--6(a)3,4; 6(b)5; 6(e)2; 6(f)4; OAMOM--7(h)1; 7(f) OAMA--9(c)5; OAMSS-- 10(d)1
<b>DOE O 433.1</b>	Maintenance Management Program for DOE Nuclear Facilities		OAMOM--7(f)
DOE O 435.1	Radioactive Waste Management		OAMESE--8(b)15
<b>*DOE O 440.1A</b>	Worker Protection Management for DOE Federal and Contractor Employees	FEOSH	OAMOM--7(a)11, OAMESE--8
DOE O 440.2B	Aviation Management and Safety		OAMESE--8
DOE O 450.1 (1/15/03)	Environmental Protection Program		OAMESE--8
<a href="#">P 450.4</a>	Safety Management System Policy		OAMESE--8
P 450.6	Secretarial, Policy Statement Environment, Safety and Health		OAMESE--8
DOE O 451.1B	National Environmental Policy Act Compliance Program		OAMESE--8 OAMA--9(a)3
DOE M 452.4-1A	Protection of Use Control Vulnerabilities and Designs		
<b>*DOE O 460.1A</b>	Packaging and Transportation Safety		OAMESE--8 OAMA--9(a)3
<b>*DOE O 460.2</b>	Department Materials Transportation and Packaging Management		OAMESE--8(f)4:
DOE O 461.1	Packaging and Transfer or Transportation of Materials of National Security Interest		OAMESE--8(f)2; 8(f)4;
DOE P 470.1	Integrated Safeguards and Security Management Policy		OAMSS--10
DOE O 470.2B	Independent Oversight and Performance Assurance Program		AMESE--8 PAM
DOE O 470.4 (8/26/05)	Safeguards and Security Program		OAMSS--10
DOE O 471.1A	Identification and Protection of Unclassified Controlled Nuclear Information		OAMSS--10
DOE O 471.3	Reporting of Incidents of Security Concern		OAMSS--10
DOE N 473.8	Security Conditions		OAMSS--10
DOE O	Work for Others (Non-Department of Energy		OAMA--9(a)1

Reference Number	Title	Implementing Media for YSO excluding FRAM	YSO Responsible Organizations as listed in the YSO FRAM
481.1(A)	Funded Work)		
DOE O 1270.2B	Safeguards Agreement with the International Atomic Energy Agency		SNE--6L (2) 11
DOE O 1300.2A	Department of Energy Technical Standards Program (Replaced by DOE O 252.1, Technical Standards Program, 11/19/99)		OAMA--9(a)3
DOE O 3792.3	Drug-Free Federal Workplace Testing Implementation Program		OAMSS--10
<b>*DOE O 5400.5</b>	Radiation Protection of the Pubic and the Environment		OAMESE--8
<b>*DOE O 5480.19</b>	Conduct of Operations Requirement for DOE Facilities		OAMOM--7(c)4; 7(e)1,3; 7(i)1
<b>*DOE O 5480.20A</b>	Personnel Selection , Qualification, and Training Requirements for DOE Nuclear Facilities	YSO-1.9 YSO-2.1	OAMOM--7(e)3
DOE O 5631.2C	Personnel Security Program		OAMSS--10
DOE O 5632.1C	Manual for Protection and Control of Safeguards and Security Interests		OAMSS--10(a)1
DOE O 5639.8A	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities		OAMSS--10
DOE O 5660.1B	Management of Nuclear Materials		OAMP
DOE O 5670.1A	Management and Control of Foreign Intelligence		OAMSS--10
DOE O 5670.3	Counterintelligence Program		OAMSS--10
DOE O 5670.1A	Management and Control of Foreign Intelligence		OAMSS--10
<b>*DOE O 430.1A</b>	General Design Criteria Replaced by 420.1A)		OAMP--6(h)2; OAMP-- 6(a)4
STD 1021-93	Natural Phenomena Hazards Performance Categorization Guidelines for Structures Systems and Components		OAMESE--8(a)3
<b>*STD 1027-92</b>	Hazard Categorization and Accident Analysis Techniques for Compliance with DOE Order 5480.23, Nuclear Safety Analysis Reports	YSO-5.20	OAMESE--8(a) 2;
STD 1063-00	Facility Representative	YSO-1.6	OAMOM--7(c)2,4; 7(e)4
DOE-STD-1186-2004	Specific Administrative Controls	YSO 5.20	OAMESE—8(b)
STD 3006-00	DOE Standard Planning and Conduct of Operational Readiness Reviews (ORR)	YSO-5.4	OAMOM--7(b)2,5; OAMESE--8
STD-3009-94, Change 3,	Preparation Guide for U.S. Department of Energy Non-Reactor Nuclear Facility Documented Safety Analyses	YSO 5.20	OAMESE—8(b)

<b>Reference Number</b>	<b>Title</b>	<b>Implementing Media for YSO excluding FRAM</b>	<b>YSO Responsible Organizations as listed in the YSO FRAM</b>
STD 3011-2002	Guidance for Preparation of Basis for Interim Operations (BIO) Documents		OAMESE--8
DOE HDBK-1169-2003	Nuclear Air Cleaning Handbook		OAMESE--8(1)L
QAP Manual	Quality Assurance Procedure (QAP) Manual	YSO-3.0	OAMOM--7(a)1,2,7
QC-1, Rev 10	Quality Criteria		OAMOM--7(a)4,6
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--6 L
DNFSB 93-3	Improving DOE Technical Capability in Defense Nuclear Facilities	YSO-2.1	OAMOM--7(e)2
DOE Implementation Plan for DNFSB 2002-1	Quality Assurance for Safety Related Software (Commitment 4.1.3, 4.1.4, 4.1.6)		OAMOM- 7(a)6
DOE Implementation Plan for DNFSB 2004-2			

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

**Table 3.1  
LIST OF DELEGATED AUTHORITIES**

<b>Delegation of Authority</b>	<b>Delegated to</b>	<b>Delegated by</b>	<b>Reference</b>
1. Cognizant DOE Security Authority Cognizant DOE Authority for S&S DOE Line Management for S&S Head of Field Element for S&S	Kenneth D. Ivey, Jr.	SOM	DOE O 470.4
2. Designated Approving Authority	Mary Helen Hitson David Kent	SOM	NAP 14.1A Chapter 2, h. and i.
3. Technical Security Countermeasures (TSCM) Operations Manager	Ray Buck	SOM	DOE M 470.4-4
4. Y-12 NSC HRP Designated Certifying Officials	Kenneth D. Ivey, Jr. Sharon Daly Tina Ard	SOM	YSO 1.13
5. Y-12 HRP Management Official	Kenneth D. Ivey, Jr. Sharon Daly	SOM	YSO 1.13
6. Authority Having Jurisdiction in conjunction with de minimis equivalencies and exemptions from required fire protection codes and standards	Douglas J. Dearolph	SOM	Memo dated 2/14/05, Brumley to Dearolph Subject Authority Having Jurisdiction (AHJ)

**Table 3.2  
LIST OF APPOINTMENTS**

<b>Position Appointment</b>	<b>Appointee</b>	<b>Appointed by</b>	<b>Reference</b>
1. Cyber Security Office Manager (CSOM)	David Kent Mary Helen Hitson	SOM	<i>NAP 14.1A, Chapter 2, i. (1) – (10)</i>
2. Site Office Contingency Planning Coordinator	Mary Helen Hitson	SOM	<i>NAP 14.12, NNSA Contingency Planning and Operations, 6.c. (1)</i>
3. IOSC Inquiry Official	Mary Helen Hitson	AMSS	DOE M 470.4-1
4. Classification Officer	Jerry Howell	SOM	DOE 475
5. Operations Security Program Point of Contact	David Schlegel	AMSS	DOE M 470.4-4
6. CMPC Point of Contact and YSO Directorate Security Officer (DSO)	Mary Helen Hitson	AMSS	DOE M 470.4-4 YSO 3.11
7. Telecommunications Security Oversight Manager (TSOM)	David Kent Mary Helen Hitson (alternate)	AMSS	DOE M 205.1-3
8. Protected Transmission System Approval Authority (PTSAA)	David Kent Mary Helen Hitson	SOM	DOE M 205.1-3

	(alternate)		
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The above delegations and appointments have been approved by the SOM and/or the AMSS as part of the approval process for this revision of the FRAM. Approval signatures are recorded on the approval page. These delegations can be superseded or updated when necessary by an individual letter of delegation or appointment, until the next revision of the FRAM.

**Table 3.3**

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