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SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL
(NNSA FRAM)

National Nuclear Security Administration

NATIONAL NUCLEAR SECURITY ADMINISTRATION

DISTRIBUTION:
All NNSA

INITIATED BY:
NNSA ES&H Advisor

I. OBJECTIVE: Implement Integrated Safety Management (ISM) elements through the establishment and maintenance of an National Nuclear Security Administration (NNSA) safety management functions, responsibilities and authorities manual (FRAM).

II. APPLICABILITY: The provisions of this Policy apply to all NNSA federal organizations with the exception of the Naval Reactors Program (NA-30).

III. REQUIREMENTS:

This NNSA Safety Management Functions, Responsibilities and Authorities Manual (NNSA FRAM) succinctly defines NNSA expectations regarding organizational accountability for safety management. It does not establish any new requirements that the Secretary of Energy has not already established within the DOE directives system.

All NNSA operations must systematically integrate safety into management and work practices such that missions are accomplished while protecting the public, workers, and the environment. This Manual and complementary Site FRAMs are established to comply with the Secretary's direction concerning safety management responsibilities and authorities stated in DOE P 411.1 and DOE M 411.1-1B, *Safety Management Functions, Responsibilities and Authorities Manual* (DOE FRAM).

This document serves as the baseline for all safety management functions and authorities defining who is performing them within NNSA. The NNSA FRAM document serves as the federal equivalent of an Integrated Safety Management System Description described in DEAR 970.5204-2 for contractors. Additionally, all necessary headquarters quality assurance elements are incorporated, thereby serving as, and meeting the requirement for, an NNSA Headquarters quality assurance plan.

The NNSA FRAM documents responsibility, authority and associated delegations for safety management. All of the functions and authorities delineated in the NNSA FRAM can be delegated within respective organizations and to other NNSA organizations as deemed appropriate, with the noted exceptions for those of the Administrator and the Principal Deputy Administrator. Other delegations to non-NNSA entities or substantive changes to FRAM functions will require approval from the NNSA Management Council.

NNSA managers assigned safety management functions, responsibilities and/or authorities in the NNSA FRAM shall develop "how" documents (i.e., implementing processes that define safety management functions to execute responsibilities and delegated authorities), as needed, for implementation of their specific safety management functions. The NNSA FRAM shall be maintained and updated as a living document to reflect organizational and/or functional changes that affect the NNSA FRAM.

IV. CANCELLATION: All previous safety management delegation correspondence in conflict with the NNSA FRAM is hereby cancelled.

V. RESPONSIBILITIES:

A. Administrator, National Nuclear Security Administration, is responsible for safety management, and will monitor delegated authorities and the overall performance of safety management implementation within NNSA. The Administrator is the Senior Procurement Executive for NNSA.

B. NNSA Principal Deputy and Deputy Administrator for Defense Programs have authority for the programmatic and ES&H Line Oversight aspects of safety management. The Deputy Administrator for Defense Programs (NA-10) has authority for all Environment, Safety and Health (ES&H) matters and is the Lead Program Secretarial Officer as defined in the DOE FRAM for all eight NNSA Sites. The Deputy Administrator for Nuclear Nonproliferation (NA-20) has authority for ES&H matters relative to their programmatic responsibilities and as otherwise agreed to with NA-10.

C. The NNSA ES&H Advisor is responsible for maintaining an up-to-date and current version of the NNSA FRAM, approving non-substantive changes involving affected Site Offices and Headquarters elements, issuing Quality Assurance and Safety Management System Policy and Guidance and providing updates to the NNSA Management Council.

D. The Director, Office of Emergency Operations is responsible for all aspects of emergency management and response including allocation of resources as related to DOE Emergency Management Systems.

E. Associate Administrator for Infrastructure and Security is responsible for corporate integration, development and execution of NNSA's facility management policies and programs, project management systems and safeguards, security and cyber security systems including allocation of resources for the same.

F. Associate Administrator for Management and Administration has the authority for allocation of resources, with concurrence from the appropriate Deputy Administrator(s), as related to safety management.

G. Site Office Managers have the authority for day-to-day execution of the safety management program at their site, including: direct assignments extracted from the DOE FRAM documented in this NNSA FRAM, delegated authorities from NNSA Headquarters as indicated by "*", and alignment of their Site FRAM with the NNSA FRAM.

VI. CONTACT: Questions concerning this Manual should be addressed to the NNSA ES&H Advisor, (NA-3.6), (202) 586-8395

Linton F. Brooks
Administrator

Attachment:
(1) NNSA Organization Chart

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1.0 PURPOSE AND SCOPE

The National Nuclear Security Administration (NNSA) Safety Management Functions, Responsibilities and Authorities Manual (FRAM) is issued to comply with the Secretary's direction concerning safety management responsibilities. The NNSA FRAM assigns safety responsibilities and authorities stated in the Department of Energy Manual M 411.1-1B, *Safety Management Functions, Responsibilities and Authorities Manual* (DOE FRAM), and is written to provide clear roles and responsibilities to the NNSA in implementing safety management.

The purpose of this document is to ensure that safety management functions, responsibilities, and authorities from the DOE FRAM are captured and unambiguous. The NNSA FRAM reflects responsibilities that currently exist in the DOE Directives System and forms the basis of NNSA's Integrated Safety Management System (ISMS). As such, the NNSA FRAM does not capture the totality of NNSA's responsibility and authority as it applies to safety management within NNSA and only extends to NNSA facilities and activities.

The scope of the NNSA Safety Management FRAM applies to all NNSA organizational elements with the exception of the Naval Reactors Program. For projects subject to external regulations, those regulations take precedence. For example, 10CFR50, Appendix B applies for NRC licensed facilities, while 10CFR830.122 QA requirements apply for non-NRC licensed facilities. This FRAM identifies safety management functions, responsibilities and authorities that have been assigned by the DOE FRAM. In some cases, functions and authorities have been delegated within NNSA, as appropriate. Responsibility is retained by the delegator. This FRAM reflects the current NNSA organization as approved by the Administrator (see Attachment 1).

The NNSA FRAM is intended to be a "living" document and shall be revised to reflect changes in organizational functions and responsibilities as they occur. Functions, responsibilities and authorities and the interfaces between NNSA Headquarters and other DOE organizations must be understood by all organizations.

2.0 BACKGROUND

Within NNSA, the safety management functions, responsibilities, and authorities for protection of the environment, and the health and safety of workers and the public are founded upon the principles and functions of ISM to accomplish NNSA mission requirements. While considering the seven principles of ISM, seven assumptions were used in the development of this FRAM. They form the basis of NNSA's safety management approach to managing mission work including the work associated with maintaining a safe, secure, and reliable nuclear weapons stockpile. These assumptions are:

1. The responsibility, authority, and accountability within NNSA will be clearly defined.
2. NNSA is the responsible and accountable executive agent for planning, implementation, and self-assessment of the nation's nuclear weapons stockpile stewardship program and nuclear non-proliferation activities.
3. Development of the budget is part of the process that "balances priorities" among environment, safety, security, and program needs. The budget formulations and execution functions will be integrated at Headquarters. All NNSA offices will be involved in budget formulation and content. At a minimum, all legal requirements for environment and regulatory compliance must be met.

4. The NNSA Program Offices will have the authority and accountability to define and manage all program work, to set priorities for funding, and to set performance objectives for all aspects of the complex's weapons programs and nuclear non-proliferation activities.
5. Federal oversight of the contractor will be accomplished as close to the work as practical and as required by DOE P 450.5, *Line Environment, Safety and Health Oversight* and this NNSA FRAM.
6. Authority will be delegated to the extent feasible, based upon the capability of the receiver to accomplish the task.
7. Federal staff will be assigned based upon a vision of "steady state/normal operations." When required, additional Federal assets and/or contract support shall supplement staff.

DOE M 411.1-1B also requires that the FRAM describe how these responsibilities will be met. It is expected that NNSA managers assigned safety management responsibilities or authorities will individually determine and document the processes to be used for implementation. In some cases, NNSA Policy Letters and DOE Directives may be sufficient. In others, supplemental guidance will be required.

The NNSA FRAM will serve as the baseline for all safety related organizational functions. It is the ISMS description for NNSA and, in addition, incorporates all necessary Headquarters quality assurance elements related to safety management, thereby functionally serving as the safety management related "what", thereby meeting the requirement and substituting for the NNSA Headquarters Quality Assurance Plan (QAP). The FRAM documents the authority and associated delegations for safety matters and quality assurance under the cognizance of NNSA.

Each organization within NNSA that is specifically addressed in the NNSA FRAM is responsible for establishing and documenting how the specific functions and authorities assigned in this FRAM are properly discharged. Additionally, lower-tier functions, responsibilities, and authorities (FRA) documents will be prepared and maintained by each Site Office organization to further define and assign, as necessary, its safety management functions. These lower-tier FRA documents must capture the safety management functions and authorities necessary to accomplish the intent of DOE P 111.1, *Departmental Organization Management System*, and other DOE Directives, other government agencies regulations, and safety management mechanisms. They must also describe the organization and its line management. The format of these FRA documents is not prescribed in order that each organization may develop a format most suitable and effective for its specific needs. However, lower-tier FRA documents must provide a breakdown of applicable functions contained in this FRAM and clearly identify any authority that has been transferred to or from another organization.

3.0 NNSA LINE MANAGEMENT RESPONSIBILITIES

NNSA HQ line interface with the field is with the Field Element Managers (FEMs). Within NNSA, the FEMs are the Site Office Managers (SOMs). This interface takes place for program and ES&H matters through the appropriate Deputy Administrator and for all matters as deemed necessary or required, with the Office of the Administrator and, specifically, the Principal Deputy Administrator (PDA) and the Chief Operating Officer (COO).

Safety management responsibility for work done by DOE and other non-NNSA tenant activities remains with NNSA line management. All work done at a site, therefore, must be performed within the safety envelope approved by the SOM. Shut down authority, while the responsibility of all Federal personnel if a clear and present danger exists, resides chiefly with the SOM. Except in the case of the presence of a clear and present danger, in which the SOM must act, the Deputy Administrator for Nuclear Non-

Proliferation (NA-20) retains shutdown authority for its facilities unless this authority is specifically delegated under separate correspondence. Delegated authorities from NNSA HQ to the SOMs will be monitored periodically to ensure Site Offices maintain adequate capability to accomplish safety management functions. Conflict resolution is the responsibility of the Administrator.

NNSA HQ develops policy with input from the field, and provides guidance to the field for NNSA programs. NNSA HQ ensures that strategies, plans and operations for implementing its programs are coordinated, integrated, and consistent with NNSA policies and priorities. NNSA HQ personnel perform line management functions that provide ongoing and continuous interactions with the SOMs regarding mission related work, commitments, and resource allocations. All such interactions are considered communication between organizations unless formally directed through the SOM as contracting officer. NNSA HQ evaluates the accomplishments of the field in accordance with planned progress and agreed-upon commitments.

The NNSA Service Center is an integrated NNSA support organization. The mission of the Service Center is to ensure that technical, business, legal, and financial services are successfully accomplished in support of NNSA Site Offices, NNSA Service Center, NNSA Headquarters missions, and other Departmental missions, as assigned. The Service Center Environment, Safety, and Health Department provides technical services to NNSA in the areas assigned including safety management functions. Support is provided in specialized areas including: radiological protection, industrial safety, environmental quality, accident investigations, and non-weapons quality assurance. Services also include support for work authorization processes such as safety basis and readiness reviews.

All NNSA HQ Offices; Service Center and Site Offices share the following responsibilities.

- Ensure employees are qualified to perform their assigned safety functions, including oversight, by implementing the Federal Technical Capability Program.
- Assess their own organizations to identify areas in which continuous improvement in the safety of NNSA operations can be realized. Assign responsibility within the element for establishing criteria for such assessments and for conducting them.
- Examine the findings of both internal and external assessments conducted by competent authority of their element to identify root causes, trends, and necessary corrective actions within the responsibility of their element.
- Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and lessons learned.
- Ensure that corrective actions are planned, prioritized, and pursued to completion and adequately correct the root causes of the conditions that prompted them.
- Ensure that information from various feedback sources is evaluated in an integrated manner.
- Implement and participate in DOE/NNSA lessons learned programs to improve internal organizational lessons learned processes, and enhance NNSA/DOE-wide sharing of lessons learned. Integrate sharing of lessons learned with contractor programs to maximize lessons learned exchange.

- Provide full cooperation with the Defense Nuclear Facilities Safety Board (DNFSB), including ready access to NNSA facilities, personnel, and information; provide responses to DNFSB recommendations and requests as described in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board.*

A description of additional safety management functions, responsibilities and authorities for the Administrator, Principal and Deputy Administrators, ES&H Advisor, Associate Administrators, and SOMs is outlined in the following sections.

3.1 NNSA Administrator (NA-1)
(An asterisk "*" indicates a delegated authority.)

Provide Direction—Strategic Plans, Mission Statement, Budget, Resource Allocation, Technical Qualification and Competency

Monitor delegated responsibilities and the overall performance of safety management within NNSA.

Function as the Senior Procurement Executive for NNSA.

Provide overall direction within the NNSA, and establish and maintain delegations of his or her authorities and responsibilities to other NNSA officers.

Approve the NNSA Strategic Plan and Mission Statements ensuring that the NNSA Strategic Plan is compatible with the DOE Strategic Plan.

Establish the Federal Technical Capability Program to ensure the NNSA Federal technical employees responsible for oversight at NNSA facilities are trained to perform their duties safely and efficiently.

Approve and promulgate the NNSA budget ensuring allocations are appropriately balanced among the competing objectives.

Define Scope of Work—Translate Mission into Work, Set Expectations

Approve NNSA Policy Letters, Directives and other guidance documents including the NNSA HQ FRAM.

Establish a process for development, review, revision, and approval of NNSA guidance documents and for development of NNSA input to DOE guidance documents including Orders, Technical Standards, and Rules.

Review appeals of Deputy Administrator decisions on Exemption requests or as appropriate in accordance with the provisions of 10 CFR Parts 820. This authority may not be delegated.

Analyze Hazards and Develop and Implement Controls

*Authorize Type-A Accident Investigations (as delegated from the Secretary of Energy).

Determine and approve NNSA Price Anderson Amendment Act (PAAA) Enforcement Actions. This responsibility may not be delegated.

*Approve initial startup of new Hazard Category 1 and 2 nuclear facilities (as delegated from the Secretary of Energy).

3.2 NNSA Principal Deputy Administrator (PDA), Chief Operating Officer (COO) (NA-2) (All assignments are delegated.)

Provide Direction—Strategic Plans, Mission Statement, Budget, Resource Allocation, Technical Qualification and Competency

Oversee operational activities to accomplish safety initiatives. Ensure allocation of adequate resources for the same.

Provide direction and oversight for the Federal Technical Capability Panel.

3.3 NNSA ES&H Advisor (NA-3.6) (All assignments are delegated and in support of NA-1, 2, 10/20, 40, 50, 60, Service Center, and the SOMs.)

Define Scope of Work—Translate Mission into Work, Set Expectations

Interpret and promulgate Quality Assurance Program and Safety Management Policies and guidance to NNSA Headquarters, Service Centers, and SOMs.

Administer the process for development, review, revision and approval of NNSA safety guidance documents and development of NNSA input to DOE safety guidance documents. Participate on focus groups or technical development teams to ensure a quality product is developed. Coordinate and act as the NNSA interface with the DOE Technical Standards Program.

Coordinate all aspects of the Rule making process related to safety management and act as the point of contact between DOE-EH and NNSA.

Administer the process for the development of contractor ES&H performance measures and criteria for ES&H in coordination with the site offices and HQ line management.

Executes the functions and authorities of the National Environmental Policy Act (NEPA) Compliance Officer, and coordinates NEPA related decisions.

Prepare and maintain the FRAM for NNSA to delineate applicable safety management functions, responsibilities, and authorities. Coordinate efforts with HQ line management, Site Offices, and staff. Prepare FRAM revisions within 90 days of the issuance of revisions to the DOE FRAM, other applicable guidance, and/or following organizational changes as directed.

Analyze Hazards and Develop and Implement Controls

Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA HQ, site, and Service Center employees.

Support line management in the oversight of PAAA Coordination programs including the processes used for appraisal of the technical adequacy, appropriateness and closure of related contractor corrective actions.

Confirm Readiness, Quality Assurance, Collect Feedback

Incorporate necessary QA elements into the NNSA FRAM consistent with the requirements described in DOE O 414.1A, limited to the scope of Integrated Safety Management.

Provide policy guidance, technical advice, and assistance in acquiring technical resources for HQ and Site Office management in the implementation of the readiness review processes outlined in DOE O 425.1B, *Startup and Restart of Nuclear Facilities.*

Advises line management in the implementation and maintenance of the NNSA Lessons Learned Program to identify and share information within and outside NNSA. Facilitate line management use of lessons learned generated from assessments of contractor and Site Office operations.

Administer Price-Anderson Amendments Act activities for NNSA and coordinate enforcement activities.

Manage the Accident Investigation Program for NNSA.

Support NNSA line management in regular and continuing interactions with the Board; manage NNSA interface activities and provide direction and advice to line management on Board-related matters as described in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board.*

3.4 NNSA Deputy Administrators--Defense Programs and Nuclear Non-Proliferation (NA-10/20)

Provide Direction—Strategic Plans, Mission Statement, Budget, Resource Allocation, Technical Qualification and Competency

Provide mission assignments and program guidance to SOMs. Line management is responsible for ES&H in order to facilitate balancing priorities and resources among safety, security, and program needs.

Deputy Administrators (NA-10/20) are the line management responsible for ES&H matters at their respective sites and must implement policy promulgated by headquarters. Since SOMs are responsible for day-to-day management of facility operations at the sites, safety management issues of dispute with NA-10 are to be brought to NA-2/COO for resolution.

Deputy Administrator for Defense Programs (NA-10) has authority for all ES&H matters pertaining to the nuclear weapon programs, the facilities throughout the nuclear weapons complex, nuclear and strategic materials required for nuclear weapons programs, nuclear explosives and nuclear weapons assemblies and components, including production, maintenance, surveillance, handling, storage, transportation, and related research and development

Prepare the proposed budget for the Program Office including the budget for ES&H infrastructure with elements for long-term planning, landlord activities, and facility-wide safety. Coordinate these efforts with the NNSA Associate Administrator for Management and Administration.

Manage operational functions and activities and allocate resources to SOMs consistent with the final approved budget to accomplish missions and safety initiatives for assigned program work.

NA-10 is the line manager responsible for nuclear facility personnel qualification programs throughout the nuclear weapons complex. NA-10 ensures that resources are provided for developing, implementing, and maintaining nuclear facility personnel training and qualification programs; performs reviews to confirm implementation of nuclear training and qualification requirements; assures that NA-10 personnel responsible for training are proficient in personnel training processes and requirements, and that they have diverse expertise so that important areas related to nuclear and occupational safety are covered; and approves assessments for full-scope or part-task simulators at Category A test and research reactor facilities.

Define Scope of Work—Translate Mission into Work, Set Expectations

Review and comment on proposed Directives, Technical Standards, and Rules, and alert the Office of Primary Interest (OPI) to any inconsistencies between the proposed initiatives and NNSA missions.

Approve work authorizations providing direction to the SOMs to define the scope of work, provide funding, and set expectations.

Review and comment on proposed Directives, Technical Standards and Rules and recommend technical and cost-saving improvements, where appropriate. Alert the OPI to any inconsistencies between the proposed Directive and NNSA/Program Office missions.

Conduct line oversight of safety management systems to ensure effective implementation and maintenance.

Ensure safety management team reviews are conducted when appropriate. Assist SOMs with safety management system team reviews as requested.

Analyze Hazards and Develop and Implement Controls

Whenever the contractor uses a methodology other than as described in 10 CFR 830, approve the methodology used to prepare the Documented Safety Analysis (DSA) for Hazard Category 1, 2, and 3 nuclear facilities, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval.

Ensure the following is established and approved between the contractor and NNSA for Hazard Category 1 facilities: (1) the specific requirements to be included in contracts, (2) authorization agreements, (3) safety documentation (Technical Safety Reports (TSRs), DSAs, and Unreviewed Safety Questions (USQs)), and (4) authorization bases. Promulgate appropriate Safety Evaluation Reports (SERs).

Approve or deny requests, with concurrence of General Counsel and in consultation with the Senior ES&H Advisor (NA-3.6), for Exemptions from the requirements of 10 CFR Part 830 and 835 as authorized by the provisions of 10 CFR Part 820. This authority may not be delegated. If necessary, pursue Exemptions from local, State, or other Federal agencies. Review 10 CFR Part 835 Exemption requests and provide recommendations on approval to the DOE Office of Environment, Safety and Health (EH). (Note: 10 CFR Part 20 changes are in process to provide for NNSA approval of an Exemption to 10 CFR Part 835 with concurrence from EH).

Maintain the status of NNSA safety basis documents. Provide a quarterly status report to EH-1 regarding the status of the safety basis and contacts for members of the public to obtain a copy of the safety basis and related documents for Hazard Category 1, 2 and 3 nuclear facilities.

Review and approve, or delegate to the SOMs authority for, the identification of standards and requirements to be included across NNSA in (1) the contracts, (2) authorization agreements, 3) safety documentation, and (4) the authorization bases for nuclear facilities, accelerators, and non-nuclear facilities.

Monitor and assess the effectiveness of SOM oversight of contractor analysis of facility and work hazards and authorization protocols between the contractor and the SOMs.

Confirm Readiness, Quality Assurance, Collect Feedback

Support implementation of safety management systems, Facility Representative programs, delegated functions to the site offices, and performance measures to ensure adequate protection of the worker, the public, and the environment.

Approve field element FRAM/QAP including those instances in which the QAP and site office FRAMs have been integrated. The Deputy Administrator shall also approve stand-alone site office QAPs.

Facilitate design quality assurance in conjunction with the Site Offices and contractors for functions that fall within the scope of ISM.

Implement the NNSA Lessons Learned Program to utilize and share information within and outside NNSA.

Review the approved facility/site Occurrence Reporting and Processing System (ORPS) implementing procedure. As appropriate, delegate signature authority for implementing the DOE Occurrence Reporting Program ensuring ORPS requirements are included in appropriate contracts. Review occurrence reports for indications of deteriorating or poor performance; and approve occurrence reports in cases where signature authority has not been delegated to the site, including any proposed corrective actions.
For a serious accident that results in life-threatening injuries or major environmental contamination, thoroughly review the causes of the event, corrective action plans (CAPs), and the effectiveness of the ISMS at the site at which the event occurred.

Monitor field element performance, including verification of FRAM/QAP implementation and their appraisals of the contractor to include the review of adequacy of contractor self-assessments of safety system operability and programs that support system operability. Perform for-cause reviews, as necessary.

Refer potential nuclear safety violations to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820, (Price Anderson Amendment Act – (PAAA)), where appropriate, and provide information and support PAAA investigations, as well as participate in PAAA enforcement conferences with the Office of Enforcement and Investigation.

Monitor DOE Corrective Action Program use by NNSA Contractors. Ensure SOMs evaluate the adequacy of the technical content and approve safety management CAPs if authority has been delegated. Work with assessing organizations and approve or delegate signature approval for CAPs within 60 days (30 calendar days for the Office of Independent Oversight and Performance Assurance (OA) assessment reports) of the issuance of formal, independent oversight assessment reports.

Maintain official record copies or provide for record retention of approved Exemptions and other authorization basis and controlled distribution documents as required or deemed necessary.

As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.

Monitor site office and contractor performance through the review of information provided by the Site Offices, Service Center, Deputy Administrators, EH, OA and external organizations. When appropriate, participate in Site Office appraisals.

Provide an opportunity for the DOE Chief Operating Officer or delegate to be briefed by SOM, OA, and the Office of Security and Emergency Operations on the related issues in appraisal reports resulting from OA independent oversight, the associated CAPs, and any associated resource issues.

3.5 NNSA Director, Office of Emergency Operations (NA-40) (All assignments are delegated.)

Provide Direction—Strategic Plans, Mission Statement, Budget, Resource Allocation, Technical Qualification and Competency

Manage headquarters emergency management systems and assets, related operational functions and activities and allocate resources consistent with the final approved budget. This includes authority and control of all DOE/NNSA emergency management systems, related policy and guidance development and maintenance, emergency preparedness through exercises, training, response and other related emergency mitigation initiatives.

Define Scope of Work—Translate Mission into Work, Set Expectations

Coordinate and implement emergency management planning, preparedness, training, readiness assurance, and response at NNSA Headquarters. Review and utilize SOM submittals of site hazards surveys and hazards assessments for emergency planning purposes in accordance with DOE O 151.1A, *Comprehensive Emergency Management System.*

Confirm Readiness, Quality Assurance, Collect Feedback

Conduct both announced and no-notice emergency exercises at site offices demonstrating emergency system preparedness and response readiness. Utilize after-action critique information to improve emergency management systems and response capability. Interface and coordinate with internal and external federal and contractor organizations for emergency planning, information exchange, and continuous improvement in emergency operations.

3.6 NNSA Associate Administrator for Infrastructure and Security (AAIS, NA-50) (All assignments are delegated.)

Provide Direction—Strategic Plans, Mission Statement, Budget, Resource Allocation, Technical Qualification and Competency

Provide assignments and program guidance to SOMs for programs under cognizance of AAIS.

Manage facilities management policies and programs, project management systems and safeguards and security and cyber security programs. Allocate resources to SOMs consistent with the final approved budget to accomplish these initiatives.

3.7 NNSA Associate Administrator for Management and Administration (NA-60) (All assignments have been delegated by NA-1, NA-10, or NA-20. Functions and authorities delegated by NA-1, NA-10, or NA-20 may be retained on a case-by-case basis.)

Provide Direction—Strategic Plans, Mission Statements, Budget, Resource Allocation, Technical Qualification and Competency

Assist in the development of the NNSA Strategic Plan and Mission Statements and facilitate reviews to ensure the NNSA Strategic Plan is compatible with the DOE Strategic Plan.

Assist in preparation and dissemination of the budget for NNSA in accordance with the NNSA Planning, Programming, Budgeting and Evaluation (PPBE) process. Coordinate efforts with Principal Deputy Administrator, Deputy Administrators, Director of Emergency Operations, Associate Administrator for Infrastructure and Security, and the SOMs.

Allocate resources as specified in the NNSA PPBE process.

Maintain records for the Federal nuclear facility personnel training and qualification program.

Define Scope of Work—Translate Mission into Work, Set Expectations

Coordinate and supervise Headquarter aspects of contracts affecting NNSA and serve as the NNSA HQ point of contact with the NNSA Contracting Officers in the field.

3.8 NNSA Site Office Managers (SOMs) (An asterisk "*" indicates a delegated authority from NA-10 only. NA-20 shall issue separate delegations for their programs in lower tier FRA documents. Functions and authorities delegated by NA-1, 10, or 20, may be retained on a case-by-case basis)

Provide Direction--Strategic Plans, Mission Statements, Budget, Resource Allocation, Technical Qualification and Competency

Review and provide input to the Federal Technical Capability Program with guidance developed by the Principal and Deputy Administrators to ensure the NNSA Federal technical employees responsible for oversight at NNSA facilities are trained to perform their duties safely and efficiently.

Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and safety initiatives; landlord activities; implement corrective actions and safety improvements.

Provide oversight to ensure that contractor employees maintaining and operating NNSA facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements.

Define Scope of Work—Translate Mission into Work, Set Expectations

*Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities.

Develop work plans, including scope, schedule, and funding allocations for each fiscal year. These plans should reflect mission assignments to the field and by facilities, projects, and programs.

Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules, NNSA and DOE Policies, Orders, Notices, Manuals, Guides, and Technical Standards.

Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates. Monitor contractor performance to assess whether performance expectations have been met.

As Contracting Officer:

- Negotiate with each contractor, in consultation with Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the contract.
- Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for the mission including safety requirements.
- Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.
- Determine the need for team review of the contractor's safety management system and revisions thereto.
- Approve safety management systems and revisions thereto (48 CFR 970).
- Incorporate approved Standards into contract requirements.
- Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.

Prepare Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.

Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.

Conduct line oversight of safety management systems to ensure effective implementation and maintenance.

Ensure that contractors describe, document, implement, and maintain their safety management systems.

Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.

Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.

Analyze Hazards and Develop and Implement Controls

Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).

Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.

Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, *Comprehensive Emergency Management System* except at sites where exemption has been granted or the Order is not applicable. Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate.

Ensure that a documented PAAA coordination process exists in accordance with NNSA polices and procedures, including a process for tracking and verification of closure of contractor corrective actions.

Review and approve the ES&H requirements to be included in the contracts.

Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR 830.

For Hazard Category 1 nuclear facilities, ensure that appropriate safety requirements in necessary functional areas are included in the contracts and in the authorization agreement as directed by the Deputy Administrator.

*Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830.

Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, *Facility Safety,* as required by 10 CFR 830.

*Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2 and 3 nuclear facilities). Review the adequacy of the controls and their documentation.

Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.

*Review and approve the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedures for Hazard Category 1, 2, and 3 nuclear facilities; and preliminary DSAs and DSAs for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.

Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.

Send recommendation for approval or disapproval of DSAs and preliminary DSAs for Hazard Category 1 nuclear facilities, including the nuclear safety design criteria, to the Deputy Administrator with

comments. Respond to Principal Deputy Administrator, Deputy Administrator, ES&H Advisor, Director of Emergency Operations, Associate Administrator for Infrastructure and Security (AAIS), or EH comments.

*Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.

*For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report.

Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator.

Provide line management oversight and ensure the implementation of hazards mitigation programs and controls. Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements.

Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems).

As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date.

*Ensure that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement.

Confirm Readiness, Quality Assurance, Collect Feedback

Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees.

Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, *Startup and Restart of Nuclear Facilities.* Review and approve contractor Startup Notification Report in accordance with DOE O 425.1C. Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C.

Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator. Headquarters retains startup authority for new Category 2 nuclear facilities.

Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercise all startup authority.

Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives.

*Review and approve contractors' QAPs, and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs.

Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents. Submit integrated site FRAM/QAP to the Deputy Administrator for review and concurrence. Submit site office QAPs to the Deputy Administrator for approval.

Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE-wide sharing of lessons learned.

*Require contractors to report occurrences on ORPS. Review and approve reports, as delegated, including proposed corrective actions and lessons learned. Review ORPS reports from other similar sites to detect potential improvements and means of averting occurrences.

As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.

Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.

Monitor contractor reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement and Investigation.

Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed.

Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.

If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.

Perform management assessments of contractors to evaluate their success in doing work safely.

Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.

APPENDIX A: ACRONYM LIST

AAIS	Associate Administrator for Infrastructure and Security
AAFO	Associate Administrator for Facilities and Operations
CAP	Corrective Action Plan
CATS	Corrective Action Tracking System
CFR	Code of Federal Regulations
COO	Chief Operating Officer
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DSA	Documented Safety Analysis
EH	Office of the Assistant Secretary for Environment, Safety and Health
ES&H	Environment, Safety and Health
FEOSH	Federal Employee Occupational Safety and Health
FEM	Field Element Managers
FRA	Functions, Responsibilities, and Authorities
FRAM	Safety Management Functions, Responsibilities and Authorities Manual
HQ	Headquarters
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
QA	Quality Assurance
QAP	Quality Assurance Plan
NA-1	NNSA Administrator
NA-2	NNSA Principal Deputy Administrator (PDA),
NA-3.6	Environment, Safety and Health Advisor
NA-10/20	NNSA Deputy Administrators—Defense Programs and Nuclear Non-Proliferation
NA-40	NNSA Director of Emergency Operations
NA-50	NNSA Associate Administrator for Infrastructure and Security
NA-60	NNSA Associate Administrator for Management and Administration
NNSA	National Nuclear Security Administration
NRC	Nuclear Regulatory Commission
OA	Office of Independent Oversight and Performance Assurance
OPI	Office of Primary Interest
ORPS	Occurrence Reporting and Processing System
PDA	Principal Deputy Administrator
PAAA	Price Anderson Amendment Act
PPBE	Planning, Programming, Budgeting and Evaluation
RPP	Radiological Protection Plan
SER	Safety Evaluation Report
SOM	Site Office Manager
TSR	Technical Safety Report
USQ	Unreviewed Safety Question

APPENDIX B: DEFINITIONS

Accountability. The state of being liable for explanation to a superior National Nuclear Security Administration (NNSA) official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specified actions. The delegate of an authority is accountable to the delegating responsible authority for the proper and diligent exercise of that authority. Responsibility differs from accountability in that a responsible official "owns" the function for which he or she is responsible; it is an integral part of his or her duties to see that the function is properly executed, to establish criteria for the judgment of excellence in its execution, and to strive for continuous improvement in that execution. A responsible official is associated with the outcomes of the exercise of authority regardless of whether it was delegated and regardless of whether the delegate properly followed guidance. Accountability, on the other hand, involves the acceptance of the authority for execution (or for further delegation of components of execution) by using guidance and criteria established by the responsible authority.

Authority. The permission afforded by law, regulation or directive, or delegated by NNSA Senior Management enabling a NNSA employee to perform a function or reach and implement a decision.

Contracting Officer. A DOE official holding the authority to make purchases or contract for goods and services in excess of $25,000. Contracting officers are appointed using Standard Form 1402, following procedures in DOE O 541.1A, Appointment of Contracting Officers and Contracting Officer Representatives.

Delegation. Written permission granted by a responsible authority to another NNSA employee to perform a specific function on behalf of that responsible authority, usually containing guidance on the manner in which the authority is to be used. By delegation, the responsible authority cannot diminish his or her responsibility for the consequences of the exercise of the authority.

Field Element Manager (FEM). The DOE term for an employee having overall responsibility for a field element. Within NNSA the Site Office Manager (SOM) fills the function of FEM.

Function. An action or activity undertaken by a NNSA employee in performing or contributing to the performance of work in compliance with component 3 of DOE P 450.4, Safety Management Policy. This component defines five core functions for integrated safety management, each of which includes several derivative functions that are to be applied with a degree of rigor appropriate to the type of activity and hazards involved.

Line Management. The NNSA Site Office or Headquarters element manager with direct safety responsibilities for the NNSA facility, who is also directly responsible for the development, approval (when delegated such authority by the Deputy Administrator), and implementation of corrective action plans (CAPs) and associated corrective action completion, tracking and reporting. The cognizant line manager is also responsible for initiating action to elevate issues associated with CAP development, implementation, and completion to higher authority for resolution when necessary. An unbroken chain of cognizant line managers form NNSA Line Management.

Responsibility. The state of being liable for the outcome of the exercise of an authority granted by law, regulation, or directive.

Safety Management Function. An activity that may affect the safety and health of workers or the public or the protection of the environment. [DOE P 450.4]

Safety Management Systems. Safety Management Systems provide a formal, organized process whereby people plan, perform, assess, and improve the safe conduct of work. The Safety Management System is institutionalized through DOE directives and contracts to establish the Department-wide safety management objective, guiding principles, and functions. The safety management system consists of six components: (1) objective, (2) guiding principles, (3) core functions, (4) mechanisms, (5) responsibilities, and (6) implementation. These are explained in detail in DOE P 450.4, Safety Management Systems, and their implementation is outlined in the associated guides.

Senior Procurement Executive. Responsible for ensuring that each member of the Acquisition Workforce is certified to the career level appropriate to the grade they occupy or to their responsibilities, in accordance with DOE Order 361.1.

Service Center. An NNSA integrated support organization established to ensure that technical, business, legal, and financial services are successfully accomplished in support of NNSA Site Offices, NNSA Service Center, NNSA Headquarters missions, and other Departmental missions, as assigned.

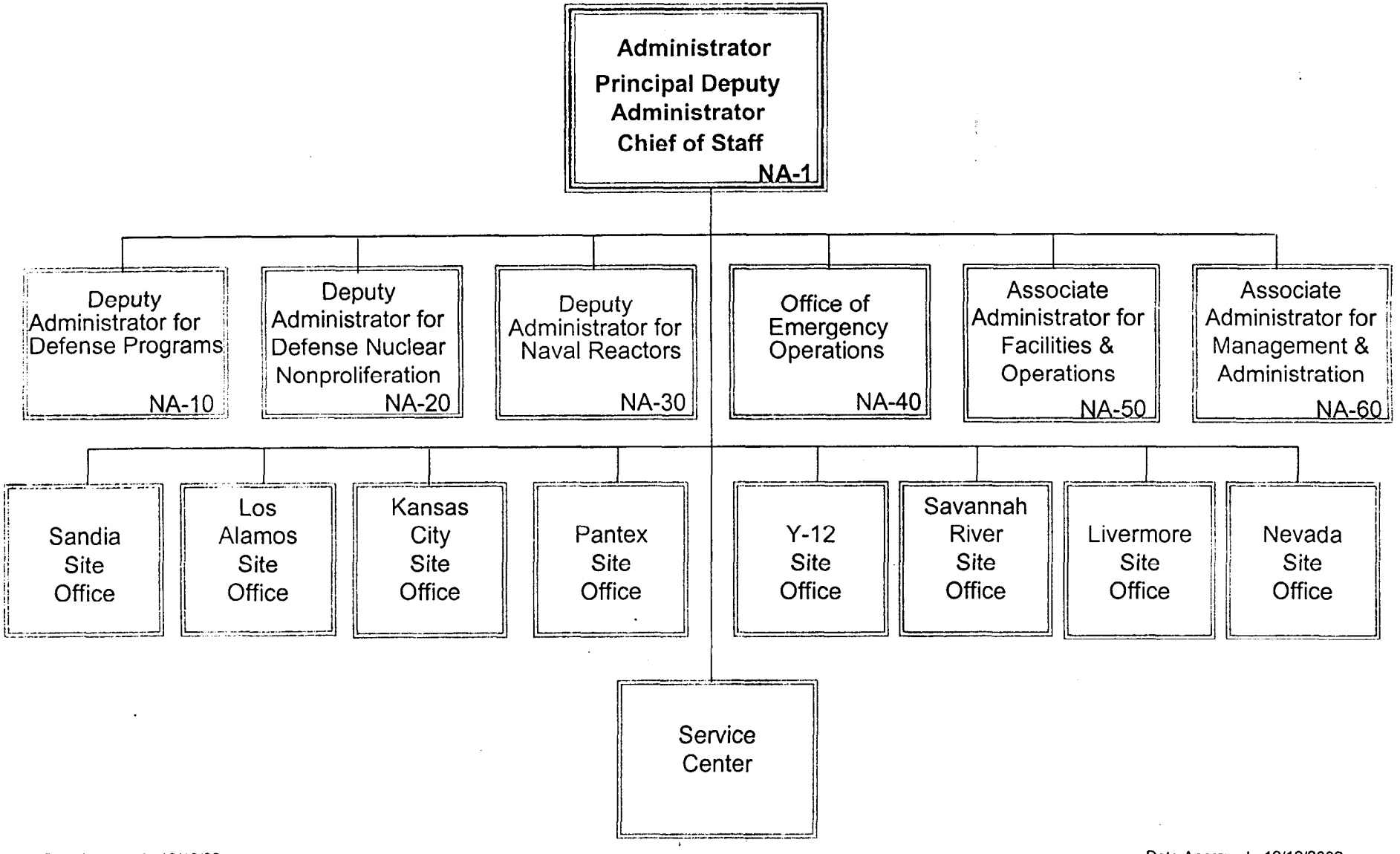
Site Office. The NNSA organization, located at a given site, given responsibility for directing and conducting oversight of contractor operations associated with a specific site.

Site Office Manager. The NNSA Employee having overall responsibility for a site office. The Site Office Manager serves as the formal contracting officer for the contracts at the site.

Attachment 1

National Nuclear Security Administration

NA-1, Office of the Administrator



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