

Corporate Process Requirement No: CPR400.1.1.35
Sponsor: Dori Ellis, 4000, Acting



Revision Date: September 21, 2006
Replaces Document Dated: November 16, 2006

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GN470099 – AUTHORIZATION AGREEMENTS (AAs) FOR CATEGORY 1 OR 2 NUCLEAR FACILITIES OR HIGH-HAZARD NON-NUCLEAR FACILITIES



Subject Matter Expert: [Bonnie Shapiro](#)

GN470099, Issue D

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Administrative Changes: [December 1, 2006](#)

*Indicates a substantive change

[Change History](#)



- [Applicability](#)
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APPLICABILITY

For purposes of this chapter, Members of the Workforce are:

- Sandia [employees](#).
- Sandia contractors as specified in [Section 1B](#), "*What Is the Scope*"



Sandia and DOE have agreed that facility-or operation-specific [authorization agreements \(AAs\)](#) are required only for Sandia operations and Defense Programs (DP)-owned facilities classified as [hazard category 1 or 2 nuclear facilities](#), or [high-hazard nonnuclear facilities](#). Sandia does not currently operate [hazard category 1 nuclear facilities](#) or high-hazard, nonnuclear facilities.

Sandia operates DP-owned Sandia Pulsed Reactors ([SPR](#)), SPR II and SPR III [hazard category 2 nuclear facilities](#), which are subject to the requirements in this document.

Note: SPR II and SPR III cannot operate simultaneously

In addition, Sandia operates the Annual Core Research Reactor (ACRR), which is owned by DOE/Nuclear Energy (NE).



The Hot Cell Facility (HCF), also owned by DOE/NE, is in “cold standby” mode; therefore, it is considered to be a nonnuclear radiological facility.

Note: An operation- or facility-specific AA may be required for a specific experiment or project if the [primary hazard screening \(PHS\)](#) determination indicates that the experiment or project is high-hazard non-nuclear, or [hazard category 1 or 2 nuclear](#).

PREPARING OR REVISING

Requirements

The manager (senior manager or department manager, as assigned) for each facility (or



operation) requiring a facility- or operation-specific [authorization agreement \(AA\)](#) shall be responsible for **ensuring that**:

- AAs **are prepared or revised** according to the format defined in the "[Content](#)" section of this document.
- AAs **are submitted** to the appropriate director and vice president for review.
- Two copies of each AA **is submitted** to the appropriate director or higher level manager for approval signature.
- Both copies of signed AAs **are submitted** to the Corporate Contracts and Policy Management Department (**10730**) manager for transmittal to DOE for approval.
- Copies of DOE-approved AAs **are transmitted** to the appropriate facility manager, the appropriate [Division ES&H Team](#), and the [risk management](#) contact.

The manager of the Corporate Contracts and Policy Management Department (**10730**) is responsible for:

- Submitting both copies of the signed AA to the appropriate manager and **DOE/NNSA/SSO** for approval.
1. **Note:** Request one signed copy be returned to Sandia.
- Transmitting copies of the DOE-approved AA to the facility manager and the appropriate nuclear facility Division ES&H Coordinator.

Guidance


For additional guidance **on preparing or revising AAs**, the facility manager should consult with appropriate individuals, including members of the **Sandia** Legal Department, the appropriate [Division ES&H Team](#), the DOE/NNSA/SSO nuclear safety specialist, and the DOE facility representative assigned to the subject facility.

*CONTENT

Requirements

Managers (senior managers or department managers, as assigned) who prepare [authorization agreements \(AAs\)](#) shall include the following information:

Content of AA	
Section	Description
Scope	<p>The scope shall include:</p> <ul style="list-style-type: none"> • Purpose of the AA • Description of work/activities to be authorized • Work location • Risk to workers, the public, environment, or Sandia mission
Authorization basis	<p>List all documents that constitute the authorization basis and those required by the Integrated Safety Management System (ISMS) AA, including the following:</p> <ul style="list-style-type: none"> • Safety analysis report (SAR), Technical Safety Requirements (TSR), Documented safety analysis (DSA), and safety evaluation reports. • Unreviewed safety question (USQ) determination • NEPA documents (e.g., Environmental checklist/action description memorandum [ECL/ADM], Environmental assessment [EA], Finding of No Significant Impact [FONSI], and Environmental Impact Statement/Record of Decision [EIS/ROD])



Statement of Agreement


Include signature lines for:

- **Sandia** approval.
- DOE approval.

CHANGE CONTROL FOR AN AA

Requirements

Managers (senior managers or department managers, as assigned) responsible for [authorization agreements \(AAs\)](#) shall **ensure that changes are managed** as follows:

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- Changes that can be made **via** authorization basis documents **are** made according to the change control procedures for those documents, **following initial approval of an AA**. For example, a change to a [safety analysis report \(SAR\)](#) shall be made according to the change control procedure for SARs, and the approval levels for SARs shall apply.
 - Changes that can **not** be **changed via authorization basis** documents shall be made to the AA itself (e.g., under "[Special Conditions](#)") and shall be negotiated and approved by **DOE/NNSA/SSO** and the appropriate line organization.

REFERENCES



Requirements Source Documents

DEAR 970.5204-2, **Laws, Regulations, and DOE Directives**, as incorporated into M&O Contract clause I-271.

DEAR 970.5204-78, as incorporated into M&O Contract clause I-122.

Implementing Documents

SNL, [CPR400.1.2](#), *Integrated Safety Management System (ISMS) Description*.

Related Documents



[DOE G 450.4-1B](#), *Integrated Safety Management System Guide*.

[DOE P 450.4](#), *Safety Management System Policy*.

SNL, [GN470080](#), *Implementing the Unreviewed Safety Question (USQ) Process for Nuclear Facilities*.

SNL, [GN470089](#), *Startup and Restart Process for Sandia Nuclear Facilities/Activities*.

SNL, [CPR400.1.1/MN471001](#), ES&H Manual, [Section 13C](#), "Authorization Basis Process."



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CHANGE HISTORY



[GN470099](#), *Authorization Agreements (AAs) for Category 1 or 2 Nuclear Facilities or High-Hazard Nonnuclear Facilities*

Administrative Changes Only December 1, 2006

This document was administratively revised to:

- **Change:** The review date to reflect the completion of the self-assessment and not the completion of the changes made as the result of the self-assessment. The official record of the completed self-assessment is maintained by the 10313 IMT group.



September 21, 2006

* Indicates a substantive change.

This document was revised to:

- Under Topic, "Content":
 - ***Add:** The documented safety analysis (DSA) as a document that constitutes the authorization basis and those required by the [Integrated Safety Management System \(ISMS\)](#) authorization agreement (AA).
 - ***Add:** Sandia actions as an item for identification under the, "Terms and Conditions for Operation/Contractor Qualifications" section of the AA.
- Under Topic, "References":
 - **Update:** Related document "DOE G 450.4" to "DOE G 450.4-1B, *Integrated Safety Management System Guide*."



November 16, 2005

NOTE: The following changes, although substantive, are being made without formal review from the ES&H Manual Committee and the General Reviewers, at the request of Tom Hunter via the “ESH CPR Steering Team Checklist Responses.”

This document was revised to:

- Under Topic, “Preparing or Revising”:
 - ***Add:** “(senior managers or department managers, as assigned)” to follow “Managers” to the requirement for each facility (or operation) requiring a facility- or operation-specific [authorization agreement \(AA\)](#).
- Under Topic, “Content”:
 - ***Add:** “(senior managers or department managers, as assigned)” to follow “Managers” to the requirement for preparing authorization agreements.
- Under Topic, “Change Control”:
 - ***Specify:** “Managers (senior managers or department managers, as assigned) responsible for AAs shall manage changes as follows”:
 - Following initial approval of an authorization agreement (AA), any changes that can be made through authorization basis documents shall be made according to the change control procedures for those documents. For example, a change to a [safety analysis report \(SAR\)](#) shall be made according to the change control procedure for SARs, and the approval levels for SARs shall apply.
 - Changes that can not be accommodated within authorization basis documents shall be made to the AA itself (e.g. under "[Special Conditions](#)") and shall be negotiated and approved by DOE/KAO and the appropriate line organization.

Administrative Changes Only





November 4, 2005

This document was administratively revised to:

- **Change:** The SME from Suzanne Weissman to Bonnie Shapiro.
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**Administrative Changes Only
June 29, 2005**

This document was administratively revised to:

- **Change:** Executive Policy Sponsor from Les Shephard to Frank Figueroa.
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June 26, 2001

This section was revised to:

- **Update:**
 - “Applicability” to reflect which facilities are Defense Programs (DP)-owned facilities.
 - Expanded explanation of Hot Cell Facility (HCF).
 - “Preparing or Revising” to reflect that managers are to submit signed AAs to the Corporate Contracts and Policy Management Department (10001) manager for DOE approval instead of submitting them directly to DOE/KAO.
 - “Content” Section header was changed from “Requirements/conditions operation” to “Terms and Conditions for Operation/Contractor Qualifications” and “contractor qualifications” was added to the Description.
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