



**Department of Energy**  
**National Nuclear Security Administration**  
Washington, DC 20585

The Honorable John T. Conway      February 28, 2005  
Chairman  
Defense Nuclear Facilities Safety Board  
625 Indiana Avenue, NW.  
Suite 700  
Washington, D.C. 20004

OFFICE OF THE ADMINISTRATOR

Dear Mr. Chairman:

In a letter dated October 21, 2004, the Deputy Administrator for Defense Programs advised you of our plans to revise the National Nuclear Security Administration (NNSA) Safety Management Functions, Responsibilities and Authorities Manual (FRAM) by February 28, 2005. Enclosed for your information is Revision 1 of the NNSA FRAM. As previously described, the NNSA Site Offices will update their FRAMs within 90 days.

The NNSA FRAM has been revised to reflect recent organizational changes and responsibilities, specifically those involving the Central Technical Authority and Chief of Defense Nuclear Safety. Also, it has been revised to include nuclear facility quality assurance and safety software quality assurance responsibilities and authorities. As such, it meets our commitments, contained in the Department's Quality Assurance Improvement Plan for Defense Nuclear Facilities and the Implementation Plan for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 2002-1, Quality Assurance for Safety Software at Department of Energy Defense Nuclear Facilities, for updating the NNSA FRAM.

The NNSA FRAM is a living document and will be periodically revised to reflect safety management functional changes, as they evolve. For example, any further changes resulting from the implementation of DNFSB Recommendation 2004-1, Oversight of Complex, High Hazard Nuclear Operations, and the issuance of a revision to the Department's FRAM will be incorporated into a future revision of the NNSA FRAM.

If you have any questions regarding this revision to the NNSA FRAM, please have your staff contact Rabi Singh of my staff at (301) 903-5864.

Sincerely,

Linton F. Brooks  
Administrator

Enclosure

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



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**Safety Management  
Functions, Responsibilities and  
Authorities Manual (FRAM)  
Revision 1**

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All NNSA**

**Revision INITIATED BY:**  
Office of Operations and  
Construction Management  
Military Application and Stockpile Operations  
Defense Programs

### Revision Summary Log

<b>Revision</b>	<b>Revision Summary</b>	<b>Effective Date</b>
0	Initial Issue	October 15, 2003
1	A) Incorporates Organizational Changes: Central Technical Authority, Chief of Defense Nuclear Safety and Associate Administrator for Defense Nuclear Security B) Adds Functional Areas of Quality and Software Quality Assurance, Nuclear Explosive Safety, Transportation and Packaging Safety	February 28, 2005

- I. OBJECTIVE: Implement Integrated Safety Management (ISM) elements through the establishment and maintenance of a National Nuclear Security Administration (NNSA) safety management functions, responsibilities and authorities manual (FRAM).
- II. APPLICABILITY: The provisions of this Manual 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. These expectations have been derived from appropriate Department of Energy (DOE) directives (Appendix A) listed in DOE M 411.1C, Safety Management Functions, Responsibilities and Authorities Manual (DOE FRAM) and assignments and delegations made by the Administrator.

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 Office FRAMs are established to comply with the Secretary's direction concerning safety management responsibilities and authorities stated in the DOE FRAM.

This document serves as the baseline for all safety management functions, responsibilities and authorities defining who is performing them within NNSA. The Office of Secure Transportation (OST), being a Government Owned-Government Operated organization, has prepared its own Integrated Safety Management System Description (ISMSD) which serves as OST's FRAM. Additionally, the responsibilities and authorities for quality assurance and software quality assurance for Headquarters (HQ) organizations have been defined in this Manual. Internal organizational Quality Assurance Program (QAP), required by DOE O 414.1B, Quality Assurance, will be developed by individual organizations, as deemed necessary.

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 Administrator.

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.

- IV. CANCELLATION: This revision cancels Revision 0, dated October 15, 2003.
- V. RESPONSIBILITIES:

- A. The NNSA Administrator (NA-1), 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. The NNSA Principal Deputy Administrator (NA-2) and Deputy Administrator for Defense Programs (NA-10) have authority for the programmatic and Environment, Safety and Health (ES&H) Line Oversight aspects of safety management. The Deputy Administrator for Defense Programs (NA-10) has authority for all nuclear safety, nuclear explosive safety (NES) and ES&H matters and is the Lead Program Secretarial Officer as defined in the DOE FRAM and in a Memorandum of June 25, 2003 from the Administrator (listed in Appendix A) for all eight NNSA sites. The Deputy Administrator for Defense Nuclear Nonproliferation (NA-20) has authority for nuclear safety and ES&H matters relative to its programmatic responsibilities and exercises that authority in coordination with NA-10.
- C. The NNSA Central Technical Authority (CTA), a senior line manager within NNSA designated by the Administrator, usually the Principal Deputy Administrator, is responsible for the consistent and effective application of nuclear safety requirements and guidance across the NNSA complex including maintaining the NNSA FRAM up-to-date. The CTA is responsible for ensuring that NNSA HQ maintains operational awareness of nuclear safety issues and the implementation of nuclear safety requirements and guidance throughout the NNSA complex. The CTA is responsible for ensuring that NNSA maintains adequate numbers of trained federal employees to fulfill NNSA's safety responsibilities.
- D. The NNSA Chief of Defense Nuclear Safety (CDNS) is responsible for evaluating nuclear safety issues and providing expert advice to the Administrator, Principal Deputy Administrator, the CTA, and other senior NNSA officials.
- E. The NNSA ES&H Advisor is responsible for providing expert advice on non-nuclear, ES&H issues to the Administrator, the Principal Deputy Administrator, the CTA and other senior NNSA officials.
- F. The Associate Administrator for Emergency Operations (NA-40) is responsible for all aspects of emergency management and response including allocation of resources as related to DOE Emergency Management Systems.
- G. The Associate Administrator for Infrastructure and Environment (NA-50) is responsible for corporate integration, development, oversight and execution of NNSA's facilities, project, and environmental management policies and programs including allocation of resources for the same.
- H. The Associate Administrator for Management and Administration (NA-60) has the authority for resource allocation processes, including personnel and funding, with concurrence from the appropriate Deputy Administrator(s), as related to safety management.
- I. The Associate Administrator for Defense Nuclear Security (NA-70) is responsible for the overall direction and management of safeguards and security (S&S) programs at NNSA facilities. NA-70 serves as the cognizant NNSA organization for providing engineering, technical, operational, and administrative support to line management and field elements to assure effective S&S operations at NNSA

facilities, to include the physical, personnel, materials control and accounting, classified and sensitive information protections, and technical security programs.

- J. 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 HQ as indicated by “\*”, and alignment of their Site Office FRAM with the NNSA FRAM. The Site Office Managers also have the authority to approve minor changes to their FRAM.
  - K. The NNSA Service Center Manager provides safety management support to other NNSA organizations and is responsible for all aspects of safety management for the sites under the purview of the NNSA Service Center and the NNSA Service Center facility in Albuquerque.
- VI. CONTACT: Questions concerning this revision to the Manual should be addressed to Rabi Singh, NA-124, 301-903-5864; email: [rabindra.singh@nnsa.doe.gov](mailto:rabindra.singh@nnsa.doe.gov)



Linton F. Brooks  
Administrator

## TABLE OF CONTENTS

1.0	PURPOSE AND SCOPE .....	1
2.0	BACKGROUND .....	2
3.0	NNSA LINE MANAGEMENT RESPONSIBILITIES .....	4
3.1	NNSA Administrator (NA-1).....	6
3.2	NNSA Principal Deputy Administrator (NA-2).....	7
3.3	Central Technical Authority (CTA).....	8
3.4	Chief of Defense Nuclear Safety (CDNS, NA-2.1) .....	9
3.5	Environment, Safety & Health Advisor (NA-3.6).....	10
3.6	NNSA Deputy Administrators for Defense Programs (NA-10).....	11
3.7	NNSA Deputy Administrator for Defense Nuclear Nonproliferation (NA-20).....	14
3.8	NNSA Associate Administrator for Emergency Operations (NA-40) .....	15
3.9	NNSA Associate Administrator for Infrastructure and Environment (NA-50).....	16
3.10	NNSA Associate Administrator for Management and Administration (NA-60) .....	17
3.11	Associate Administrator for Defense Nuclear Security (NA-70).....	18
3.12	NNSA Site Office Managers.....	19
3.13	NNSA Service Center Manager .....	23
	APPENDIX A LIST OF REFERENCES .....	A-1
	APPENDIX B DEFINITIONS.....	B-1
	APPENDIX C Nuclear Safety Management Functions and Authorities.....	C-1
	APPENDIX C (continued) ES&H Safety Management Functions and Authorities.....	C-2
	APPENDIX D ACRONYM LIST.....	D-1

## 1.0 PURPOSE AND SCOPE

The NNSA FRAM is issued to comply with the Secretary's direction concerning safety management responsibilities. It assigns safety responsibilities and authorities stated in the DOE Manual M 411.1-1C, *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 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).

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, 10 Code of Federal Regulations (CFR) 50, Appendix B applies to Nuclear Regulatory Commission (NRC) licensed facilities, while 10 CFR 830, Subpart A, Quality Assurance (QA) Requirements apply to non-NRC licensed facilities. This FRAM identifies safety management functions, responsibilities and authorities that have been assigned by the DOE FRAM and the Administrator. In some cases, functions and authorities have been delegated within NNSA, as appropriate. Responsibility is retained by the delegator. The safety management functions and authorities are shown in Appendix C.

The NNSA FRAM is 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 HQ 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 HQ. 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.

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 covers the functions, responsibilities, and authorities necessary to ensure the overall safety of NNSA sites and activities. In this context, safety is comprised of two elements: 1) nuclear safety and 2) ES&H. Nuclear safety and ES&H are defined in Appendix B. The NNSA Administrator has delegated most of the line management responsibility for ES&H to the field and program offices. However, in the case of nuclear safety (as with safeguards and security) the Administrator has retained the line management responsibility for setting standards at the HQ level and has delegated the responsibility for implementing standards to the field and programmatic level.

The NNSA FRAM serves as the baseline for all safety related organizational functions. In addition, it incorporates HQ quality assurance roles and responsibilities. HQ subordinate organizations may develop their internal QAPs as deemed necessary. The FRAM documents the authority and associated delegations for safety matters and quality assurance under the cognizance of NNSA.

The OST has its own ISMSD that describes safety related organizational structure and functions. This ISMSD serves as the OST FRAM for Offsite Transportation activities.

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, OST and Service Center 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 agency 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 Manager. Within NNSA, the Field Element Managers are the Site Office Managers. This interface takes place for program, nuclear safety, 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, CTA, and CDNS. The NNSA Service Center is the Field Element Manager for sites under its purview and the NNSA Service Center facility in Albuquerque.

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 Site Office Manager. Shut down authority, while the responsibility of all Federal personnel if a clear and present danger exists, resides chiefly with the Site Office Manager. Except in the case of the presence of a clear and present danger, in which the Site Office Manager 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 Site Office Managers 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 Site Office Managers regarding mission related work, commitments, and resource allocations. All such interactions are considered communication between organizations unless formally directed through the Site Office Manager 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 HQ missions, and other Departmental missions, as assigned. The Service Center ES&H Department and National Security Department provide technical services to NNSA in the areas assigned including safety management functions. Support is provided in specialized areas including: radiological protection, industrial safety, nuclear explosive 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 and nuclear explosive safety evaluations.

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, Central Technical Authority, Chief of Defense Nuclear Safety, ES&H Advisor, Associate Administrators, Site Office Managers, and Service Center Manager are 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 functions and authorities, 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 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.
- Provide overall direction for safety of all nuclear explosive operations by NNSA elements and/or contractors. This authority is delegated to NA-10.
- Provide a member to the Joint Nuclear Weapons Council under Section 179 of Title 10, United States Code.
- Exercise dual-agency responsibilities with the Department of Defense (DoD) for the safety of nuclear weapons in DoD custody in accordance with both the memorandum of understanding between DoD and DOE on Objectives and Responsibilities for Joint Nuclear Weapons Activities and the Joint Policy Statement on Nuclear Weapons Safety.

#### 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 Amendments 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 (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 Central Technical Authority (CTA)**  
**(NA-2 or a person designated by the Administrator)**  
**(All assignments are delegated)**

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

- Concur with the selection and incorporation of nuclear safety requirements and standards in NNSA contracts.
- Concur with all changes, waivers, exemptions, and other forms of relief to nuclear safety requirements in NNSA contracts.
- Concur with waivers, exemptions, and other forms of relief to nuclear safety requirements in DOE rules.
- Provide interpretations of nuclear safety requirements and guidance and concur on supplemental nuclear safety requirements and guidance as necessary for use by NNSA employees and contractors. Provide input to the Assistant Secretary of ES&H on issues concerning DOE safety Directives and Standards as required.
- Maintain operational awareness of the implementation of nuclear safety requirements and guidance across the NNSA complex.
- Ensure that NNSA maintains adequate numbers of technically competent personnel necessary to fulfill nuclear safety responsibilities.

### 3.4 Chief of Defense Nuclear Safety (CDNS, NA-2.1)

(All Assignments are delegated)

#### Define Scope of Work - Translate Mission into Work, Set Expectations

- Technically evaluate the Directives and guidance in NNSA contracts to ensure that nuclear safety is adequately covered. Provide conclusions to the CTA to support the CTA's decision-making.
- Evaluate requests from NNSA employees or contractors for waivers, exemptions, or other forms of relief from nuclear safety requirements to support decision-making by the CTA.
- Provide technical support and assistance to senior NNSA line managers including Site Office Managers, as requested.
- Review the prioritized list of necessary safety-related research needs to be incorporated into the annual budget and planning cycle. This prioritized list is prepared by NA-10. Raise issues concerning safety-related research to the Administrator, the Principal Deputy Administrator, and/or the CTA if the CDNS and NA-10 are unable to reach an agreement.

#### Analyze Hazards and Develop and Implement Controls

- Coordinate the preparation and interpretation of nuclear safety and weapon surety requirements and guidance and the development of supplemental nuclear safety and weapon surety requirements and guidance as necessary for the CTA to issue for use by NNSA personnel and contractors.
- Direct the NNSA Differing Professional Opinion Process including evaluating technical disagreements involving nuclear safety issues and providing recommendations to the CTA and/or the Administrator. NA-10 will review the process and its outcomes, as appropriate.
- Coordinate the review of new and proposed DOE nuclear safety Directives and Standards and provide consolidated comments to the Office of Primary Interest, as necessary.

#### Confirm Readiness, Quality Assurance, Collect Feedback

- Evaluate nuclear safety-related documents such as Documented Safety Analyses, Technical Safety Requirements, ISM System Descriptions and Start-up Notification Reports to maintain operational awareness of nuclear safety performance of NNSA site contractors.
- Conduct on-site reviews of NNSA sites and activities as required by DOE Directives or as needed, based on specific issues to ensure that nuclear safety and nuclear explosive safety requirements and guidance are implemented appropriately and effectively. Such reviews will require unfettered access to NNSA information and operations consistent with training and security requirements to support the Administrator, the Principal Deputy Administrator, and/or the CTA. These reviews will be conducted in coordination with NA-10 and Site Office Managers.
- Evaluate the selection, training, and qualifications of NNSA nuclear safety personnel in support of the CTA.
- Conduct biennial reviews of NNSA sites with nuclear activities to ensure that nuclear safety Directives and Standards are being applied consistently and effectively and to promote continued improvement in nuclear safety. These reviews will be conducted in coordination with NA-10 and Site Office Managers.
- Develop specific nuclear safety performance indicators, perform trend analysis, and report the results quarterly to senior NNSA managers. Identify and report appropriate nuclear safety related lessons learned to senior NNSA managers for further distribution. Publish quarterly NNSA Technical Bulletins.
- 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 425.1C, *Startup and Restart of Nuclear Facilities*.



### 3.5 Environment, Safety & Health Advisor (NA-3.6)

(All assignments are delegated)

#### Define Scope of Work - Translate Mission into Work, Set Expectations

- Interpret Quality Assurance Program and ES&H Management Policies and guidance to NNSA HQ, Service Center, and Site Office Managers.
- Administer the process for development, review, revision and approval of NNSA ES&H guidance documents and development of NNSA input to DOE ES&H 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 ES&H 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.
- Execute the functions and authorities of the National Environmental Policy Act (NEPA) Compliance Officer, and coordinate NEPA-related decisions.

#### Analyze Hazards and Develop and Implement Controls

- Implement a Federal Employee Health Services 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 414.1B.
- Advise 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 PAAA 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 advice to line management on Board-related matters as described in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*.

### 3.6 NNSA Deputy Administrator for Defense Programs (NA-10)

(All assignments are delegated.)

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

- Provide mission assignments and program guidance to Site Office Managers and OST. Line management is responsible for nuclear safety, ES&H, and NES in order to facilitate balancing priorities and resources among safety, security, and program needs.
- Deputy Administrator for Defense Programs (NA-10) is the line manager responsible for nuclear safety, ES&H, and NES matters at its sites and must implement policy promulgated by HQ. Since Site Office Managers and OST 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 for resolution.
- Deputy Administrator for Defense Programs (NA-10) has authority for all nuclear safety, ES&H, quality assurance, safety software quality assurance, NES, and weapons-quality 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. The weapon quality management system requirements are described in the Weapons Quality Policy (QC-1), the Quality Assurance Procedure Manual, and the Development and Production Manual.
- Provide oversight of nuclear safety and ES&H activities in the complex in coordination with the CTA, CDNS, and Site Office Managers, and with support from the Service Center.
- Prepare the proposed budget for the Program Office ensuring the adequacy of resources to address nuclear safety, ES&H, and NES requirements with elements for long-term planning, landlord activities, and NNSA-wide facility safety. Coordinate these efforts with the Associate Administrator for Management and Administration.
- Develop, in coordination with CTA, and implement DOE policy for the NES program, including those aspects of the programs related to nuclear safety and ES&H.
- Interface with the Assistant Secretary for ES&H to ensure that appropriate ES&H requirements are integrated with NES requirements and that divergence between ES&H and Nuclear Explosive Weapons Surety Programs does not occur.
- Provide overall NES Program management and direction.
- Provide direction and expectations to Site Office Managers regarding safety system and safety software quality assurance. Monitor Site Office oversight of contractors' safety systems and safety software quality assurance activities.
- Manage operational functions and activities and allocate resources to Site Office Managers and OST 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 explosives and occupational safety are covered.
- Provide overall management of, and policy direction for, NNSA packaging activities and conduct of Transportation Safeguard Systems operations.

- Provide overall direction for safety of all nuclear explosive operations by NNSA elements and/or contractors.

#### Define Scope of Work-Translate Mission into Work, Set Expectations

- In coordination with CTA, 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 Site Office Managers and OST 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.
- Develop, in coordination with CDNS, a prioritized list of necessary safety-related research needs to be incorporated into the annual budget and planning cycle. Raise issues concerning safety-related research to the Administrator, the Principal Deputy Administrator, and/or the CTA if the CDNS and NA-10 are unable to reach an agreement.
- Ensure packaging is developed meeting all requirements. Direct stockpile packaging management activities.
- Ensure safety management team reviews are conducted when appropriate. Assist Site Office Managers and OST with safety management system team reviews as requested.
- Provide policy for quality management system implementation including weapons quality and product acceptance.
- Direct the inclusion of QC-1 in contracts for applicable work scope.

#### Analyze Hazards and Develop and Implement Controls

- Whenever the contractor uses a methodology other than as described in 10 CFR 830, approve, with CTA concurrence, 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, DSAs, and Unreviewed Safety Questions (USQs), and (4) authorization bases. Ensure that Site Office Managers promulgate appropriate Safety Evaluation Reports.
- Approve requests for Exemptions from the requirements of 10 CFR Part 830 and 835 as authorized by the provisions of 10 CFR Part 820 and with concurrence from the CTA.
- Ensure that the Site Office Managers maintain the status of safety basis and related documents for Hazard Categories 1, 2, and 3 nuclear facilities and that a status report is provided to EH-1 and is available to the public.
- Review and approve, or delegate to the Site Office Managers and OST authority, 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. Obtain concurrence from CTA on the selection of nuclear safety requirements and standards in NNSA contracts.
- In coordination with the CTA, monitor and assess the effectiveness of Site Office Managers' oversight of contractor analysis of facility and work hazards, and authorization protocols between the contractor and the Site Office Managers.
- Grant or deny exemptions from the requirements of DOE O 461.1A, *Packaging and Transportation Safety*, with concurrence from CTA. Coordinates the development of packaging standards with appropriate DOE organizations.

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.
- The Deputy Administrator for Defense Programs develops and implements a QAP in accordance with DOE O 414.1B. Ensure the QAP includes safety systems and safety software quality assurance roles and responsibilities.
- 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.
- Concur with contractor Weapons QAP in accordance with Weapons Quality Policy QC-1.
- Conduct line management oversight of weapons quality management systems and weapons surveillance programs to ensure effective implementation and maintenance.
- Oversee appraisals of the HQ Weapon Surety Program to evaluate management of the NES Program.
- Ensure that there is an active and continuous review of the nuclear stockpile to identify safety concerns and that there is a program to provide for stockpile improvements or controls to address identified concerns.
- Approve Nuclear Explosive Safety Study (NESS), Operational Safety Reports (OSRs), Nuclear Explosive Safety Rules (NESRs), and resolve minority opinions.
- Approve requests for exemptions from general NESRs.
- Authorize sites for the assembly, disassembly, and storage of nuclear explosives.
- Approve administrative extensions to NESSs.
- Evaluate reported nuclear explosives occurrences and corrective actions for safety implications.
- Support NNSA participation in the Nuclear Weapon Council (NWC).
- Concur on new or revised DoD safety rules.
- Provide members to the NWC committees.
- Approve OSR remediation plans.
- Provide and ensure the training and certification of NESS Group members.
- Review quarterly status reports on corrective actions for approved NESS Group pre-start findings.
- Task NNSA Service Center to schedule, conduct and chair NESSs.
- 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, 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 that Site Office Managers 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 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, CTA, CDNS, 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 the Site Office Manager, 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.
- Provide oversight of safety appraisals of NNSA packaging activities and conduct of Transportation Safeguards System operations, as appropriate.
- Approves NES change proposals that produce a minority opinion.

3.7 NNSA Deputy Administrator for Defense Nuclear Nonproliferation (NA-20).  
(All assignments are delegated)

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

- Provide assignments and program guidance to Site Office Managers for programs under the cognizance of the Deputy Administrator for Defense Nuclear Nonproliferation (NA-20), where applicable.
- Coordinate all nuclear safety and ES&H matters relative to its programs at the NNSA sites with the Deputy Administrator for Defense Programs (NA-10) who is the Lead Secretarial Officer for the sites.
- Prepare the proposed budget for NA-20 ensuring the adequacy of resources to address nuclear safety and ES&H, as applicable. Coordinate these efforts with the Associate Administrator for Management and Administration and the Lead Secretarial Officer, as appropriate.
- Interface with the Assistant Secretary for ES&H to ensure that nuclear safety and ES&H requirements are integrated with those for NA-20, where appropriate.

### 3.8 NNSA Associate Administrator for Emergency Operations (NA-40)

(All assignments are delegated.)

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

- Manage HQ emergency management systems and radiological response assets, related operational functions and activities, and allocate resources consistent with the final approved budget. This includes authority and control of DOE/NNSA: emergency management systems; radiological emergency response assets; emergency management policy; requirements and guidance; emergency preparedness activities (e.g., training, drills, and exercises); and, emergency response operational functions and activities.

#### Define Scope of Work-Translate Mission into Work, Set Expectations

- Coordinate and implement NNSA HQ aspects of emergency management planning, preparedness, training, readiness assurance, and response. Review and utilize the Site Office Manager submittals of site hazards surveys and hazards assessments for emergency planning purposes in accordance with DOE O 151.1B, *Comprehensive Emergency Management System*.

#### Confirm Readiness, Quality Assurance, Collect Feedback

- Conduct both announced and no-notice emergency response exercises at sites to demonstrate response readiness. Improve emergency management systems and response capabilities by utilizing after-action critique information and corrective action development and tracking. Interface and coordinate with internal and external Federal and contractor organizations for emergency planning, information exchange, and continuous improvement in emergency operations.

**3.9 NNSA Associate Administrator for Infrastructure and Environment (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 Site Office Managers for programs under cognizance of the Associate Administrator for Infrastructure and Environment.
- Manage corporate integration, development, oversight and execution of NNSA's facilities, project, and environmental management policies and programs including allocation of resources for the same.

**3.10 NNSA Associate Administrator for Management and Administration (NA-60)**  
**(All assignments are delegated.)**

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

- Coordinate 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.
- Lead activities for preparation and dissemination of the budget for NNSA in accordance with the NNSA Planning, Programming, Budgeting, and Evaluation (PPBE) process. Coordinate efforts with the Principal Deputy Administrator, Deputy Administrators, Associate Administrators, and the Site Office Managers.
- Lead processes to allocate resources as specified in the NNSA PPBE processes.
- Lead processes for program evaluation as specified in PPBE process.
- Maintain records for the Federal nuclear safety and ES&H personnel training and qualification program.

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

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



### 3.11 Associate Administrator for Defense Nuclear Security (NA-70)

(All assignments are delegated.)

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

- Provide direction and manage safeguards and security programs at NNSA facilities to include Protective Forces, Physical Security Systems, Transportation Security (for intra-site transfers of special nuclear materials, weapons and other classified materials not funded through the Office of Secure Transportation), Safeguards, Information Security, Personnel Security, Materials Control and Accountability and Program Management.
- Serve as lead Federal official for all matters pertaining to Defense Nuclear Security (DNS) at NNSA facilities.
- Provide engineering, technical, operational, and administrative support to both line management and field elements in order to ensure effective safeguards and security (S&S) operations.
- Prepare proposed budget for the DNS program and allocate resources to HQ and field elements consistent with final approved budget.
- Support Deputy Administrator for Defense Programs (NA-10) on nuclear safety and ES&H matters pertaining to the nuclear weapons complex including surveillance, handling, storage, and transportation of explosives, weapons, or special nuclear materials.
- Support implementation of security management systems and performance measures to ensure adequate protection of workers, the public, and the environment.
- Facilitate design quality assurance in conjunction with Site Offices and contractors for functions that fall within the scope of safeguards and security.
- Monitor site office and contractor performance through the review of information provided by the Site Offices, Service Center, and other HQ staff elements.

#### Define Scope of Work-Translate Mission into Work, Set Expectations

- Provide DNS Program Management Plan and annual Program Execution Guidance to Site Offices.
- Review and analyze Site Safeguards and Security Plans and the results of surveys and surveillances.
- Review and comment on proposed Directives, Technical Standards, and Rules and alert OPI to any inconsistency between proposed initiatives and NNSA missions. Recommend improvements or changes pertinent to security operations or policy.
- Approve DNS work authorizations to provide direction and define the scope of work, funding, and expectations.

#### Confirm Readiness, Quality Assurance, Collect Feedback

- Review and analyze the results of S&S Assurance assessments of site S&S performance.
- Track Corrective Action Plans and Incident Reports to ensure appropriate corrective actions are implemented within directed timeframes.
- Monitor field element DNS performance to include review of adequacy of self-assessments and conduct special reviews, site assistance visits, and Operational Readiness Reviews as required.

### 3.12 NNSA Site Office Managers

(An asterisk “\*”, indicates a delegated authority from NA-10 only. NA-20 shall issue separate delegations for their programs.)

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

- Implement the Federal Technical Capability Program, with guidance developed by the Principal Deputy Administrator, CTA, 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.

#### Define Scope of Work-Translate Mission into Work, Set Expectations

- \*Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities.
- In coordination with HQ Program Managers, 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:
  1. Negotiate with each 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.
  2. 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.
  3. Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.
  4. Determine the need for team review of the contractor's safety management system and revisions thereto.
  5. Approve safety management systems and revisions thereto (48 CFR 970).
  6. Incorporate approved Standards into contract requirements in accordance with the NNSA process.
  7. Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.
  8. Ensure that contractor employees maintaining and operating NNSA facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements.
  9. Approve other proposed contractor actions as specified in the contract.
- Prepare Site Office FRAM, submit for approval by NA-10, and implement processes and procedures for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise Site Office FRAM within 90 days

of the issuance of revisions of the NNSA FRAM and following internal, organizational changes. NA-10 approval is only needed for significant Site FRAM changes.

- Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.
- 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 prepare NES change evaluation packages for nuclear explosive operations in accordance with DOE-STD-3015-2004, Nuclear Explosive Safety Evaluation Process.
- Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to NA-10 for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities) and to CTA for concurrence of site- or facility-specific nuclear safety standards.
- 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 151.1B, *Comprehensive Emergency Management System* (except at sites where exemption has been granted or the order is not applicable.) Forward approved hazards surveys and hazards assessments to the Deputy Administrators and Associate Administrator for Emergency Operations, as appropriate.
- Ensure that a documented PAAA coordination process exists in accordance with NNSA policies and procedures, including a process for tracking and verification of closure of contractor corrective actions.
- Review and approve, in coordination with CTA, CDNS, and NA-10, the nuclear safety, ES&H, NES, and quality requirements, including those for safety software and weapon quality, to be included in the contracts.
- Ensure that 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 NA-10.
- \*Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the types and amounts of hazards, and the requirements of 10 CFR 830.
- In coordination with the CTA, 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 420.1A, *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 Radiological Protection Plans (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/CTA approval if the provisions of 10 CFR 830 for DSA methodologies are not used.
- Send recommendation for approval 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, CTA, CDNS, Deputy Administrator, ES&H Advisor, Associate Administrator for Emergency Operations, Associate Administrator for Infrastructure and Environment, 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 CTA, CDNS, and NA-10.
- 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, NES change control, 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 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 a current Authorization Agreement.
- Authorize accident investigations, when applicable.

#### Confirm Readiness, Quality Assurance, Collect Feedback

- Implement a Federal Employee Health Services 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 NA-10 in accordance with DOE O 425.1C. Forward Startup Notification Reports, Plans of Action, and Implementation Plans to CDNS for review.
- Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1C for all cases except those designated for the Secretary of Energy/NNSA Administrator. HQ 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, quality assurance, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives. The line

management oversight of QA includes effectiveness of QA for safety systems and safety software.

- \*Review and approve contractors' QAPs, obtain NA-10 concurrence for QAPs required to demonstrate conformance to QC-1, 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. Submit integrated site FRAM/QAP to NA-10 for approval. Submit Site Office QAPs to NA-10 for approval.
- Direct contractors to develop and implement a lessons learned program. The program should include analysis (i.e., causal factors) 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 for eventual closure of findings and continuous improvement.
- Ensure that duly authorized line and 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 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 is updated. Coordinate with the contractor and HQ elements as necessary, in order to ensure all completed corrective actions have been verified by staff with sufficient independence from those who performed the work described in the CAP.
- If delegated, approve CAPs within 60 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 appropriately.
- Perform management assessments of contractors to evaluate their performance in doing work safely.
- Evaluate performance of the contractor against formally established nuclear safety, ES&H, NES, QA, and emergency management performance measures and indicators, and take appropriate action. The adequacy of the contractor self-assessment process should be specifically evaluated.
- Conduct line management oversight of weapons quality management systems to ensure effective implementation and maintenance.
- Ensure that contractors describe, document, implement, and maintain their weapons quality management systems.
- Perform product acceptance as defined in the Weapons Quality Assurance Procedures Manual.
- Ensure that NES evaluations are conducted in accordance with DOE O 452.2B and DOE-STD-3015-2004.

### 3.13 NNSA Service Center Manager

#### Provide Direction - Strategic Plans, Mission Statement, 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 Service Center technical employees responsible for providing technical assistance to NNSA organizations are trained to perform their duties safely and efficiently.

#### Define Scope of Work-Translate Mission into Work, Set Expectations

- Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules and DOE, NNSA, NNSA Service Center Directives.
- 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.
- Serve as the Contracting Officer for sites under the purview of the NNSA Service Center and the NNSA Service Center facility in Albuquerque.
- Ensure that the responsibility, authority, and accountability for operation and maintenance of the NNSA Service Center facilities are clearly defined, appropriately assigned, and executed.
- Ensure that NNSA Service Center contractors describe, document, implement, and maintain their safety management systems.
- Ensure that the safety management system adequately prioritizes work to ensure that, when properly implemented, mission and safety expectation for the site are met within available budget and resources.

#### Analyze Hazards and Develop and Implement Controls

- Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1B, *Comprehensive Emergency Management System*.

#### Confirm Readiness, Quality Assurance, Collect Feedback

- Implement a Federal Employee Health Services program for the NNSA Service Center.
- Participate in the DOE-wide sharing of lessons learned.
- As part of overall issues 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 line and independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.
- Conduct the NES evaluations in accordance with DOE 452.2B, Safety of Nuclear Explosives Operations and DOE STD-3015-2004, Nuclear Explosive Safety Evaluation Process.

**APPENDIX A  
LIST OF REFERENCES**

**Federal Statutes, Acts, Executive Orders and other Authorities**

Reference Number	Title
Title 5, United States Code (5 U.S.C.)	<i>Administrative Procedure Act (APA)</i>
42 U.S.C	<i>Atomic Energy Act of 1954 (AEA)</i>
Public Law (P.L.) 93-438 P. L. 95-91	<i>Energy Reorganization Act of 1974 DOE Organization Act</i>
42 U.S.C.(P.L. 91-190)	<i>National Environmental Policy Act (NEPA)</i>
42 USC 7274d	<i>National Defense Authorization Act for fiscal years 1992 and 1993</i>
P. L. 106-377	<i>National Nuclear Security Administration Act (NNSA) Act in the National Defense Authorization Act for 2000</i>
P. L. 104-113	<i>National Technology Transfer and Advancement Act of 1995</i>
P. L. 97-425 as amended by Title V, Subtitle A of P. L. 100-203	<i>Nuclear Waste Policy Act of 1982 (NWPA)</i>
42 U.S.C. 2011(P.L. 100-408)	<i>Price Anderson Amendments Act of 1988 (PAAA)</i>
P. L. 104-303	<i>Water Resources Development Act of 1996</i>
Executive Order (E.O.) 12196	<i>Occupational Safety and Health Programs for Federal Employees</i>
E.O. 12564	<i>Drug-Free Federal Workplace</i>
E.O. 12699	<i>Seismic Safety Of Federal and Federally Assisted or Regulated New Building Construction</i>
E.O. 12941	<i>Seismic Safety of Existing Federally Owned or Leased Building</i>
E.O. 13101	<i>Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition</i>
E.O. 13148	<i>Greening the Government Through Leadership in Environmental Management</i>
Presidential Directive	<i>Scientific or Technological Experiments with Possible Large-Scale Adverse Environmental Affects and Launch of Nuclear systems into space</i>
PD/NSC/25	
National Security Decision Directive 282	<i>Continuing Authority to Deliver Nuclear Materials and to Acquire Utilization Facilities</i>
OMB Circular A-11	<i>Preparation, Submission and Execution of the Budget</i>
OMB Circular A-119	<i>Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities</i>

### Code of Federal Regulations

Reference Number	Title
10 CFR Part 707	<i>Workplace Substance Abuse Programs at DOE Sites</i>
10 CFR Part 708	<i>DOE Contractor Employee Protection Program</i>
10 CFR Part 820	<i>Procedural Rules for DOE Nuclear Activities</i>
10 CFR Part 830	<i>Nuclear Safety Management</i>
10 CFR Part 835	<i>Occupational Radiation Protection</i>
10 CFR Part 850	<i>Chronic Beryllium Disease Prevention Program</i>
10 CFR Part 1021	<i>National Environmental Policy Act Implementing Procedures</i>
29 CFR Part 1910	<i>Occupational Safety and Health Standards</i>
29 CFR Part 1960	<i>Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters</i>
40 CFR Part 61	<i>National Emission Standards for Hazardous Air Pollutants</i>
40 CFR Part 191	<i>Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High-Level and Transuranic Radioactive Wastes</i>
48 CFR 923.570	<i>Workplace Substance Abuse Programs at DOE Sites</i>
48 CFR 970.0309	<i>Whistleblower Protection Of Contractor Employees.</i>
48 CFR 970.2305	<i>Workplace Substance Abuse Programs -- Management and Operating Contracts</i>
48 CFR 970.5204-2	<i>Laws, Regulations, and DOE Directives</i>
48 CFR 5215-3	<i>Contracting by Negotiation</i>
48 CFR 970.5223-1	<i>Integration of Environment, Safety and Health into Work Planning and Execution</i>
48 CFR 970.5223-3	<i>Agreement Regarding Workplace Substance Abuse Programs at DOE Facilities.</i>
48 CFR 970.5223-4	<i>Workplace Substance Abuse Programs at DOE Sites.</i>

### DOE Policies

Policy Number	Title
DOE P 111.1	<i>Departmental Organization Management System</i>
DOE P 141.2	<i>Department of Energy Management of Cultural Resources</i>
DOE P 251.1A	<i>Directives System Policy</i>
DOE P 410.1A	<i>Promulgating Nuclear Safety Requirements</i>
DOE P 411.1	<i>Safety Management Functions, Responsibilities, and Authorities Policy</i>
DOE P 450.4	<i>Safety Management System Policy</i>
DOE P 450.5	<i>Line Environment, Safety and Health Oversight</i>



**DOE Orders, Manuals, Notices**

<b>Directive Number</b>	<b>Title</b>	<b>OPI</b>
DOE O 100.1B	<i>Secretarial Succession</i>	OS
DOE O 130.1	<i>Budget Formulation</i>	ME
DOE O 135.1	<i>Budget Execution - Funds Distribution and Control</i>	ME
DOE M 140.1-1B	<i>Interface With The Defense Nuclear Facilities Safety Board</i>	OS
DOE O 151.1B	<i>Comprehensive Emergency Management System</i>	NA
DOE O 225.1A	<i>Accident Investigations</i>	EH
DOE M 231.1-1A Chg 1	<i>Environment, Safety, and Health Reporting Manual</i>	EH
DOE M 231.1-2	<i>Occurrence Reporting and Processing of Operations Information</i>	EH
DOE N 231.1	<i>Environment, Safety, and Health Reporting Notice</i>	EH
DOE O 231.1A	<i>Environment, Safety, and Health Reporting</i>	EH
DOE HQ 250.1	<i>Civilian Radioactive Waste Management Facilities – Exemption from Departmental Directives</i>	RW
DOE M 251.1-1A,	<i>Directives System Manual</i>	ME
DOE O 251.1A	<i>Directives System</i>	ME
DOE O 252.1	<i>Technical Standards Program</i>	EH
DOE O 350.1 Chg 1	<i>Contractor Human Resource Management Programs</i>	ME
DOE O 360.1B	<i>Federal Employee Training</i>	ME
DOE M 411.1-1C	<i>Safety Management Functions, Responsibilities, and Authorities Manual</i>	EH
DOE N 411.1	<i>Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities</i>	EH
DOE O 414.1B	<i>Quality Assurance</i>	EH
DOE O 420.1A	<i>Facility Safety</i>	EH
DOE O 420.2B	<i>Safety of Accelerator Facilities</i>	SC
DOE O 425.1C	<i>Startup and Restart of Nuclear Facilities</i>	EH
DOE M 426.1-1	<i>Federal Technical Capability Manual</i>	ME
DOE O 433.1	<i>Maintenance Management Program for DOE Nuclear Facilities</i>	EH
DOE M 435.1-1 Chg 1	<i>Radioactive Waste Management Manual</i>	EM
DOE O 435.1 Chg 1	<i>Radioactive Waste Management</i>	EM
DOE M 440.1-1	<i>DOE Explosives Safety Manual</i>	EH
DOE O 440.1A	<i>Worker Protection Management for DOE Federal and Contractor Employees</i>	EH
DOE O 440.2B	<i>Aviation Management and Safety</i>	ME
DOE O 442.1A	<i>Department of Energy Employee Concerns Program</i>	EH
DOE O 450.1	<i>Environmental Protection Program</i>	EH
DOE N 450.7	<i>The Safe Handling, Transfer, and Receipt of Biological Etiologic Agents at Department of Energy Facilities</i>	EH

**DOE Orders, Manuals, Notices (cont'd.)**

<b>Directive Number</b>	<b>Titles</b>	<b>OPI</b>
DOE O 451.1B Chg 1	<i>National Environmental Policy Act Compliance Program</i>	EH
DOE O 452.1B	<i>Nuclear Explosive and Weapons Surety Program</i>	NA
DOE O 452.2B	<i>Safety of Nuclear Explosives Operations</i>	NA
DOE O 460.1B	<i>Packaging and Transportation Safety</i>	EM
DOE M 460.2-1	<i>Radioactive Material Transportation Practices</i>	EM
DOE O 460.2	<i>Departmental Materials Transportation and Packaging Management</i>	EH
DOE O 461.1	<i>Packaging and Transfer or Transportation of Materials of National Security Interest</i>	NA
DOE O 470.2B	<i>Independent Oversight and Performance Assurance Program</i>	OA
DOE N 471.3	<i>Reporting Incidents of Security Concern</i>	SO
DOE O 541.1B	<i>Appointment of Contracting Officers and Contracting Officer Representatives</i>	
DOE O 5400.5 Chg 2	<i>Radiation Protection of the Public and the Environment</i>	EH
DOE O 5480.4 Chg 4	<i>Environmental Protection, Safety, and Health Protection Standards</i>	EH
DOE O 5480.30 Chg 1	<i>Nuclear Reactor Safety Design Criteria</i>	EH
DOE O 5610.13	<i>Joint Department of Energy/Department of Defense Nuclear Weapon System Safety, Security, and Control Activities</i>	NA
Secretarial Notice (SEN) 35-91	<i>Nuclear Safety Policy</i>	EH

**NNSA Administrator Memorandum, Policies, etc.**

<b>Directive Number</b>	<b>Title</b>	<b>OPI</b>
	Memorandum for the Deputy Administrator for Defense Programs: Delegation of Authority Regarding Environment, Safety and Health at NNSA Facilities, June 25, 2003.	

## APPENDIX B DEFINITIONS

**Accountability.** The state of being liable for explanation to a superior NNSA official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specified actions. The person receiving the authority is accountable to the delegator 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, directive, or delegated by NNSA Senior Management enabling an 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 541.1B, *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.

**Environment, Safety and Health (ES&H).** For purposes of this Manual, all safety matters that do not involve nuclear safety.

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

**Function.** An action or activity undertaken by an 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 HQ 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.

**Nuclear Safety.** For the purposes of this Manual, nuclear safety is defined broadly to include NNSA tritium facilities and activities, nuclear explosive safety, and all facilities, activities, and programs that can contribute to, or are depended upon to prevent or mitigate, a nuclear accident. These facilities, activities, and programs are usually covered under the nuclear safety management rule (10 CFR Part 830).

**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, the public, or protection of the environment. [DOE P 450.4]

**Safety Management Systems.** Provide a formal, organized process whereby employees 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 implementations outlined in the associated guides.

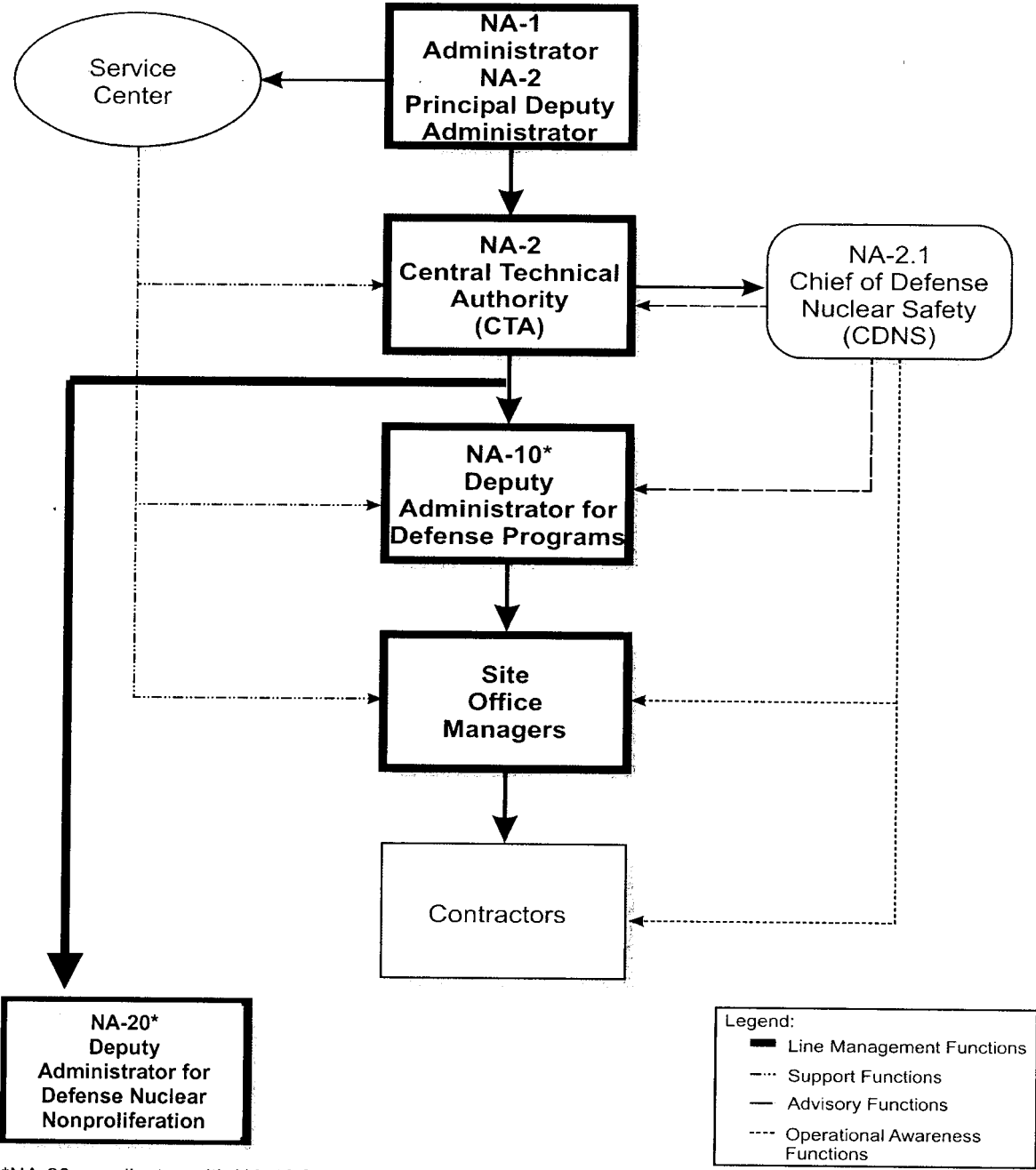
**Senior Procurement Executive.** Responsible for ensuring that each member of the acquisition workforce is certified to the career level appropriate to the grade they occupy or to their responsibilities, in accordance with DOE Order 361.1A.

**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 HQ 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 that site.

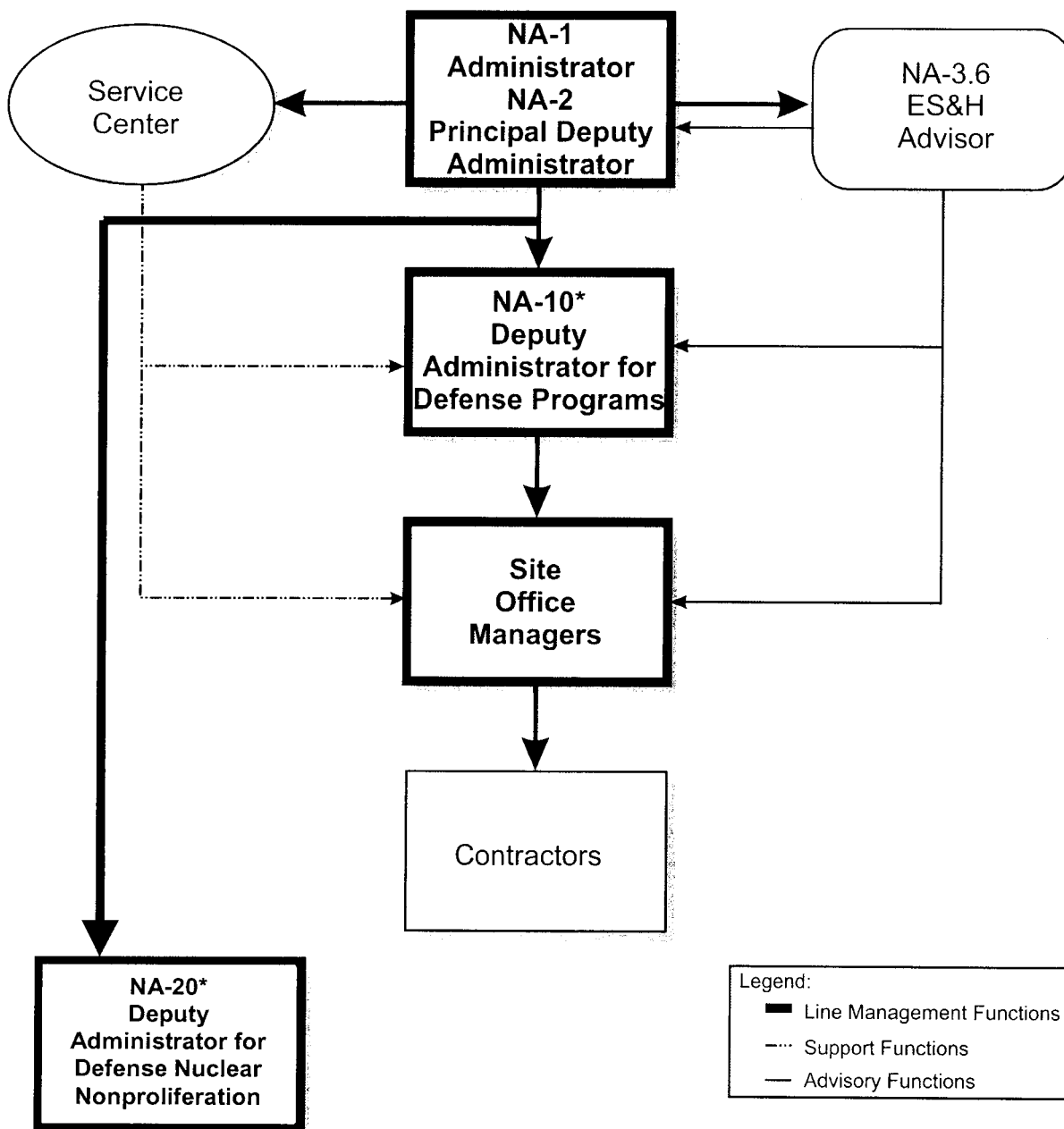
**Site Office Manager.** The NNSA employee having overall responsibility for a site office. The Site Office Manager serves as the formal contracting officer for the contracts at the site.

**APPENDIX C**  
**Nuclear Safety Management Functions and Authorities**



\*NA-20 coordinates with NA-10 for all nuclear safety and ES&H matters for its programs at sites.

APPENDIX C (continued)  
ES&H Safety Management Functions and Authorities



\*NA-20 coordinates with NA-10 for all nuclear safety and ES&H matters for its programs at sites.

**APPENDIX D**  
**ACRONYM LIST**

AEA	Atomic Energy Act
APA	Administrative Procedure Act
CAP	Corrective Action Plan
CDNS	Chief of Defense Nuclear Safety
CFR	Code of Federal Regulations
CTA	Central Technical Authority
DNFSB	Defense Nuclear Facilities Safety Board
DoD	Department of Defense
DOE	Department of Energy
DNS	Defense Nuclear Security
DSA	Documented Safety Analysis
EH	Office of the Assistant Secretary for Environment, Safety and Health
EO	Executive Order
ES&H	Environment, Safety and Health
FEM	Field Element Manager
FRA	Functions, Responsibilities, and Authorities
FRAM	Safety Management Functions, Responsibilities and Authorities Manual
HQ	Headquarters
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
ISMSD	Integrated Safety Management System Description
NA-1	NNSA Administrator
NA-10/20	NNSA Deputy Administrators-Defense Programs and Nuclear Non-Proliferation
NA-2	NNSA Principal Deputy Administrator
NA-2.1	Chief of Defense for Nuclear Safety
NA-3.6	Environment, Safety and Health Advisor
NA-40	Associate Administrator for Emergency Operations
NA-50	NNSA Associate Administrator for Infrastructure and Environment
NA-60	NNSA Associate Administrator for Management and Administration
NA-70	NNSA Associate Administrator for Defense Nuclear Security
NEPA	National Environmental Policy Act
NES	Nuclear Explosive Safety
NESR	Nuclear Explosive Safety Rules
NESS	Nuclear Explosive Safety Study
NRC	Nuclear Regulatory Commission
NNSA	National Nuclear Security Administration
NWC	Nuclear Weapons Council
NWPA	Nuclear Waste Policy Act
OA	Office of Independent Oversight and Performance Assurance
OMB	Office of Management and Budget
OPI	Office of Primary Interest
ORPS	Occurrence Reporting and Processing System
OSR	Operational Safety Reports
OST	Office of Secure Transportation
PAAA	Price Anderson Amendments Act
PD	Presidential Directive

PL	Public Law
PPBE	Planning, Programming, Budgeting and Evaluation
QA	Quality Assurance
QAP	Quality Assurance Plan
RPP	Radiological Protection Plan
S&S	Safeguards and Security
SEN	Secretary of Energy Notice
USC	United States Code
USQ	Unreviewed Safety Question