

**Implementation of Core CTA Responsibilities  
October 2007**

Attachment 1

<b>CTA Responsibility</b>	<b>CTA Actions/Accomplishments</b>
<p>1. Concurs with the determination of the applicability of DOE Directives involving nuclear safety included in contracts pursuant to DEAR 970.5204-2(b).</p> <p>2. Concurs with nuclear safety requirements included in contracts pursuant to DEAR 970.5204-2(c).</p> <p>3. Concurs with all exemptions to nuclear safety requirements in contracts that were added to the contract pursuant to DEAR 970.5204-2.</p> <p>4. Recommends to the Chief Health, Safety and Security Officer (HS-1) issues and proposed resolutions concerning DOE safety requirements, concurs in the adoption or revision of nuclear safety requirements (including supplemental requirements), and provides expectations and guidance for implementing nuclear safety requirements as necessary for use by DOE employees and contractors.</p>	<p>The first four functions and authorities of the CTA relate to management of nuclear safety requirements. The processes to execute these authorities have been captured in DOE O 410.1, <i>Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements</i> (issued on August 28, 2007), which identifies CTA authorities and actions for specific regulations and directives, establishes related responsibilities and requirements for other Departmental elements, and establishes responsibilities and requirements for addressing nuclear safety regulations and directives in contracts.</p> <p>Further, CNS Standard Operating Procedures have been established to implement CNS responsibilities in support of the CTA, to provide consistent understanding of CNS responsibilities and how they are to be implemented, as well as a consistent methodology for evaluating requests for CNS or CTA concurrence. These SOPs include:</p> <p>CNS SOP-001, CNS Management System Description  CNS SOP-002, Review and Concurrence of Regulations and Directives  CNS SOP-003, Evaluating Contract Requirements</p> <p>CNS has been proactively involved with HSS-1 in the development or revision, and implementation of numerous requirements, including, DOE O 413.3A, <i>Program and Project Management for the Acquisition of Capital Assets</i>, and its implementation guides; DOE-STD-1189, <i>Integration of Safety into the Design Process</i>; DOE-STD-1104, <i>Review and Approval of Nuclear Facility Safety Basis and Safety-in-Design Document</i>; DOE Order 425.1C, <i>Startup and Restart of Nuclear Facilities</i>; and DOE Standard 1027, <i>Hazard Categorization and Accident Analysis Techniques for Compliance with DOE Order 5480.23 Nuclear Safety Analysis Reports</i>.</p>

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<p>5. Maintains operational awareness of the implementation of nuclear safety requirements and guidance, consistent with the principles of Integrated Safety Management across the DOE complex (including, for example, reviewing Documented Safety Analyses, Authorization Agreements and readiness reviews as necessary to evaluate the adequacy of safety controls and implementation).</p>	<p>Support to line oversight activities at nuclear facilities is the primary activity of the CNS staff. The CNS staff provides subject matter and technical experts to participate with facility representatives, field office staff, and headquarters assessment teams. These teams are designed to reinforce the line oversight function by supplementing the existing processes and reinforcing expected performance metrics, standards, and requirements. As such, the CNS and staff work closely with federal line managers and, as necessary, coach and mentor on techniques, tools, and skills to improve and upgrade the quality of the Department's technical safety management capability. The CNS and staff also maintain operational awareness of field activities, including safety basis implementation, nuclear start-ups and restarts, personnel training and qualification, maintenance, criticality safety, conduct of operations, and radiation protection. CNS Site Leads have been established for Savannah River Site, Idaho, Richland, Pacific Northwest National Laboratory, Office of River Protection, Carlsbad, West Valley, Oakridge, Portsmouth/Paducah, Brookhaven and Argonne.</p> <p>The CNS and staff maintain awareness of production decisions so that the CTA can fulfill his role to assure that the desire to meet programmatic commitments is properly balanced with safety. Note that the operational awareness role is not intended to duplicate the independent oversight function.</p> <p>Applicable CNS SOPs include:</p> <p>CNS SOP-004, Participation in the ESAAB, EMAAB, and Equivalent Processes CNS SOP-005, Site Interaction and Assessment Review Process CNS SOP-008, Certification of Lead Auditors and Auditors to ASME NQA-1 Requirements</p>
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<p>6. Periodically reviews and assesses whether DOE is maintaining adequate numbers of technically competent personnel necessary to fulfill nuclear safety responsibilities.</p>	<p>CNS has been actively involved in identifying safety areas across the Energy complex where technical expertise needs to be strengthened. For example, CNS identified a lack of adequate number of quality assurance personnel supporting the Waste Treatment Plant project and worked with the Office of River Protection to strengthen this area. CNS continues to work with EM on this specific issue, recommending potential means of strengthening numbers of technically competent personnel to support high-risk nuclear activities.</p> <p>CNS has established CNS SOP-006, Evaluating Delegations of Nuclear Safety Authority and is drafting CNS SOP-009, Assessing Adequacy of Technically Competent Personnel</p> <p>Finally, CNS has supported CDNS efforts to establish a Safety Basis Academy which focuses on training and development of safety analysis professionals.</p>
<p>7. Provides inputs to, reviews, and concurs with DOE-wide nuclear safety related research and development activities.</p>	<p>R&amp;D processes and procedures are implemented DOE-wide as part of the Implementation Plan for Recommendation 2004-1, Commitments 7 and 8. As such, the CNS participates in the collection, identification, and prioritization of R&amp;D needs across DOE/NNSA through the Nuclear Safety Research &amp; Development (NSR&amp;D) Projects process.</p> <p>CNS SOP-007, Research and Development Activities, was developed to address this responsibility.</p>