

memorandum

DATE: FEB 13 2004
REPLY TO: OFO:1DB-016
ATTN OF: OFO:1DB-016
SUBJECT: Transmittal of LASO Functions, Responsibilities, and Authorities Manual (FRAM)

TO: Sam Johnson, Deputy Director, NA-124, HQ/GTN

Attached is the final Functions, Responsibilities, and Authorities Manual (FRAM). It includes the flow-down of responsibilities from the NNSA FRAM dated December 2003.

The Los Alamos Site Office (LASO) FRAM was formatted according to our standard Management Procedure format. A major effort went into the development and coordination for this document. This FRAM describes our specific functional areas and their specific responsibilities and authorities as per the email guidance. In addition, we have clearly defined all safety roles. This document will be implemented after receipt of any comments NA-10 may wish to provide.

If there are any questions regarding this document, please contact Mr. Gerald Schlapper of my staff at (505) 665-7111.



Ralph E. Erickson
Manager

Attachment

cc: w/o attachment:

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Department of Energy

Management Procedure No. 10.4 LOS ALAMOS SITE OFFICE (LASO)



MP 10.4, Rev. 0

Effective Date: February 1, 2004

Approved: 
LASO Manager

TITLE: SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

1.0 PURPOSE

This procedure is the Los Alamos Site Office (LASO) level document that describes LASO Operational functions, responsibilities, and authorities, in addition to the flow down of National Nuclear Security Administration (NNSA) FRAM requirements for line, support, oversight, and enforcement functions at Los Alamos Site Office.

2.0 EXECUTIVE SUMMARY-SCOPE

The Secretary of Energy (the Secretary) has the primary responsibility for ensuring that work at NNSA facilities and sites is performed in a manner that adequately protects the worker, the public, and the environment. This responsibility flows from the Secretary through line management to the individuals performing the work. The goal of performing work safely is reflected in the guiding principles and core management functions established in DOE P 450.4, *Safety Management System Policy*, dated 10-15-96, and is codified in the Department of Energy Acquisition Regulations, found at Title 48 of the Code of Federal Regulations (CFR), §§ 970.5204-2, and 970.5223-1 (48 CFR 970.5204-2 and 970.5223-1).

These guiding principles include the following:

- a) Line management is responsible for protection of employees, the public, and the environment; and
- b) DOE/NNSA and its contractors must clearly define and maintain the lines of responsibility for ensuring protection of environment, safety, and health (ES&H) at all organizational levels.

This procedure addresses both of these guiding principles for NNSA by documenting LASO management functions, responsibilities, and authorities relating to safety management and LASO operations. The term "safety management" for purposes of this procedure refers to those NNSA functions and responsibilities that pertain to and govern the safety of operations and activities at NNSA sites and facilities. This document is required by DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, which mandates the development of a corporate-level document to establish the clear lines of responsibilities and authorities that are necessary to:

- Develop and implement requirements and standards that are necessary to provide reasonable assurance that workers, the public, and the environment are adequately protected;
- Define essential safety management functions and establish unambiguous DOE/NNSA roles, responsibilities, and authorities for executing them to accomplish the authorized work;
- Clarify the roles, responsibilities, lines of authority, and delegations between Headquarters (HQ) and field organizations;

- Ensure compliance with legal requirements and manage against contractual requirements;
- Define functional relationships and responsibilities among DOE/NNSA line, support, oversight, and enforcement organizations; and
- Address the coordination of line direction from multiple program offices at a single site.

This procedure is the LASO-level document that defines safety management, and LASO Operational functions, responsibilities, and authorities for LASO management with responsibilities for line, support, oversight, and enforcement functions. LASO provides operations, production, and program oversight and contract administration for Los Alamos National Laboratory (LANL) activities and serves as the risk acceptance agent for the NNSA. LASO is responsible for: (1) the safe and secure operation of LANL facilities; (2) supporting NNSA programs to ensure their success in accordance with their expectations; and (3) ensuring the long-term viability of LANL to support NNSA programs and projects. The following sections detail specific responsibilities of the offices within LASO and in addition, includes a summary of ES&H related responsibilities.

* Denotes a NNSA FRAM Flow-down requirement

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 Department of Energy, Policy (DOE P) - 450.5 Line Environment, Safety and Health Oversight
- 3.1.2 DOE M 411.1-1C - Safety Management, Functions, Responsibilities and Authorities Manual
- 3.1.3 NNSA Functions - Responsibilities and Authorities Manual, dated: 15 October 2003

4.0 RESPONSIBILITIES

4.1 Office of the Manager

The Manager serves as the LASO Senior Executive and Contracting Officer, with comprehensive responsibility for overall management of Los Alamos Site Office activities related to the LANL Management and Operating (M&O) contractor in matters pertaining to execution of contract terms and conditions, and programmatic requirements. The Los Alamos Site Office serves as the primary advisor to the NNSA/HQ on all matters affecting the LANL M&O contract and appoints Contracting Officer Representative(s) for the contract.

The LASO Manager is responsible for:

- Administrating the M&O contract, including oversight of contractor procurement, policies, procedures and personnel activities;
- Approves the LANL contract Performance Measures (PM);
- Ensures that Los Alamos National Laboratory (LANL) facilities are operated in an environmentally acceptable and safe manner;
- Coordinates the contractor's health, safety, environment, and operational surety programs including: planning, scheduling, inspections, appraisals, and follow-up actions;
- Manages project construction, real property, and utility operations in support of the LASO programs;

- *Manages the technical and physical security programs including contractor and subcontractor activities;
- *Manages the public affairs and protocol liaison activities in Los Alamos;
- *Coordinate with contractor and Deputy Administrator;
- *Acts as sole authority for the LANL Nuclear Facility List;
- *Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1B for all cases except those designated for the Secretary of Energy/NNSA Administrator-Headquarters retains startup authority for new Category 2 nuclear facilities;
- 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;
- *Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements;
- Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed;
- Ensure the status of corrective actions in the DOE/NNSA Corrective Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP;
- If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately;
- Effectively translates mission into work, sets expectations, integrates work, prioritizes, ensures adequate resources and allocates resources; and
- Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.

4.2 Deputy Manager

The Deputy Manager is a Contracting Officer, is responsible for the direction of programs, projects and administrative functions and activities assigned to LASO related to the LANL M&O contract, and serves as the Acting Manager in the absence of the Manager. The Deputy Manager acts for the LASO Manager when delegated and represents the Manager for LASO in negotiations and interactions with contractors, representatives of other government agencies (Federal, state, and local), and other DOE/NNSA offices in assigned programs. The Deputy Manager also recommends fee allocation, fee awards (including penalties), and performance-based incentives to the LASO Manager. The Deputy Manager is responsible for the same areas as the Manager.

4.3 Office of Counsel

The LASO Chief Counsel reports to the Manager on programmatic, administrative, and functional matters and to the NNSA General Counsel on matters of law and legal policy; and directs and is responsible for all matters of law and legal policy that are connected with the functions of LASO. Chief Counsel is directly accountable to the Manager for all matters of law and legal

policy at LASO. Chief Counsel provides frequent updates pertaining to activities, actions, and decisions regarding legal issues. In accordance to basic ISMS principles to have authorities, responsibilities, and accountabilities defined, the LASO Chief Counsel is the single point of contact, representing the Manager pertaining to the interpretation, review, and approval of legal documents.

The Chief Counsel is responsible for:

- Reports to the Manager on programmatic, administrative, and functional legal matters;
- Reports to the NNSA General Counsel on matters of law and legal policy;
- Directs and is responsible for all matters of law and legal policy which are connected with the functions of LASO;
- Manages Personnel Security Processing;
- Manages LASO FOIA Coordination; and
- Provide Legal advice to line management relative to LASO oversight of LANL Contract Management.

4.4 Public Affairs Office

The Public Affairs Manager reports to the Manager for LASO and is responsible for all programmatic, administrative, and functional public affairs matters that are connected with the functions of LASO. In this capacity, the Public Affairs Manager is responsible for the development, management, and oversight of the LASO public affairs programs including media relations, community relations, tribal relations, public participation, government/congressional relations, protocol, emergency management public affairs, and internal employee communications. The Public Affairs Manager keeps the NNSA Headquarters Office of Congressional, Intergovernmental, and Public Affairs and the NNSA SC Office of Public Affairs informed of issues that might result in broader public interest. The LASO Public Affairs Manager is the single point of contact, representing LASO when activities pertain to the interpretation, review, and approval of public affairs related documents or activities.

The Public Affairs Manager is responsible for:

- Reports to the Site Manager on programmatic, administrative, and functional matters relating to public affairs;
- Reports on public participation and community development;
- Directs all public affairs matter of policy connected with LASO functions;
- Prepares LASO Communication Plan;
- Maintains the LASO Communication Plan;
- Manages the Citizens' Advisory Board (CAB); and
- Participates on the Emergency Operations Center (EOC) as the Public Affairs Subject Matter Expert.

4.5 Senior Safety Advisor

The LASO Senior Safety Advisor (SSA) is a contracting officer representative and is responsible for providing technical advice to the Manager and acts as the principle contact for all matters relating to technical issues associated with the safe operation of the LANL performed in support of the DOE/NNSA strategic mission. The SSA also acts as the manager in his absence when requested.

Recommends changes to LASO FRAM documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes, Deputy Administrator approval is only needed for significant Site FRAM changes. In addition, the SSA is responsible for interfacing with the Defense Nuclear Facilities Safety Board as the LASO point of contact for all LANL site-specific issues, Price Anderson Act Amendment (PAAA) functions, and overall nuclear safety.

Senior Safety Advisor is responsible for:

- Provides technical advice to the Manager of the Los Alamos Site Office and technical staff;
- The principle contact for all matters relating to technical issues associated with the safe operation of the Los Alamos National Laboratory performed in support of the NNSA strategic mission;
- *The single point of contact in matters related to Integrated Safety Management (ISM);
- The Chairman of the Change Control Board (CCB);
- The single point of contact for Defense Nuclear Facilities Safety Board;
- Supports the Work for Others (WFO) programs related to safety;
- *Review and approve the ES&H requirements to be included in the contracts;
- *Ensures 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 provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from NNSA requirements, local, State, or other Federal agencies;
- *As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date;
- *Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE/NNSA-wide sharing of lessons learned;
- *Prepares Los Alamos Site Office FRAM, submit for approval by the Deputy Administrator, and implement FRAM documents for LASO that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed;
- *Revise FRAM documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes;
- *Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned and executed; and
- 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.

4.6 Security Management

The Assistant Manager for Security Management (AMSM) is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration for all LANL activities related to Safeguards and Security (S&S) and Intelligence. The AMSM performs comprehensive compliance and performance-based monitoring and evaluation of the contractor's safeguards and security program effectiveness through the conduct of surveys, surveillances, compliance reviews and performance testing across all topics and sub topics. In addition, the AMSM evaluates the credibility and effectiveness of the contractor's protection plan and strategies in comparison to the current Design Basis Threat and site-specific vulnerability assessments. The AMSM participates in the formulation of the annual sites S&S fiscal budget and monitors the execution of the approved budget. Responsible for the final approval of the LANL Site Safeguards and Security plan and other pertinent security plans. The AMSM provides oversight to ensure the effective implementation of the overall LANL S&S program to include the topics: program management, protection program operations, nuclear material control and accountability, information security to include classified and unclassified cyber security, and personnel security.

Assistant Manager for Security Management is responsible for:

AMSM's responsibility includes five topical areas of Security. Within the five topical areas, there are 32 sub topical areas. Program Management deals with the planning and overall management of NNSA's Safeguards and Security Programs. Program Management is the foundation on which all Safeguards and Security (S&S) Programs are built. Within the program management topical area, there are nine sub topical areas. These include:

- Developing Program management and administration; Program planning; Personnel Development and training;
- Coordinating Facility approval and registration of activities dealing with Foreign Ownership, Control, or Influence; and
- Developing and implementing a LASO Safeguards and Security Plans, Surveys and self-assessments, Resolution of findings, and Incident reporting and management.

Protection Program Operations Provides Oversight to:

- Physical security
- Security systems
- Protective Force
- Security Badges, Credentials and Shields
- Transportation Security

Information Security Provides Oversight to:

- Classification guidance
- Classified Matter Protection and Control
- Specials Access Programs and Intelligence Information
- Classified Automated Information Systems Security (AISS)
- Technical Surveillance Countermeasures
- Operations Security
- Unclassified AISS
- Protected Distribution System
- Communications Security

Nuclear Materials Control & Accountability Provides Oversight to:

- Basic Requirements
- Material Accounting
- Material Control

Personnel Security Provides Oversight to:

- Access Authorization
- Safeguards and Security Awareness Program
- Control of Classified Visits Program
- Unclassified Visits and Assignments by Foreign Nationals
- Personnel Assurance Program
- Personnel Security Assurance Program

4.7 Business Administration

The Assistant Manager for Business Administration (AMBA) is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration activities related to the LANL M&O contract and associated business management functions to include information technology, human resources, procurement, personal property management, Inspector General/General Accounting Office interface, and records management. The AMBA is responsible for the coordination of the LANL evaluation of contractor performance through the development of the Performance Evaluation Report and annual Performance Evaluation Plan. Oversees and facilitates the implementation of DOE/NNSA specific policies, procedures, programs, and management systems pertaining to development and implementation of program controls related to the administration of prime contracts, grants and agreements, performance incentive and assessment programs, Work Authorizations, and general financial planning, management, costing and budgeting. The AMBA provides direction, advice, processes and systems to facilitate LANL internal management systems for federal program direction budgeting, information technology, records management, and training. Responsible for the LANL directives system process including the review, comment, and resolution of DOE/NNSA-HQ Policies, Orders, Manuals, Guides, Rules, and technical standards, along with select LANL Laboratory Implementing Requirements (LIRs), Manuals, and Notices and incorporation of these directives into the LANL appendix G contract. In addition, the AMBA is responsible for establishing the LANL business management system.

Assistant Manager for Business Administration is responsible for:

- Contract administration and business management functions required of the NNSA field management in the oversight of LANL;
- Business activities that support LASO to include such functions as budget and accounting, procurement, personal property and equipment, human resources, and any other services required in the logistical support of Los Alamos Site Office;
- Manage the University of California (UC) LANL performance-based M&O contract;
- Negotiate annual M&O performance objectives and measures to include preparation of the annual Performance Appraisal Plan;

- Prepare the annual performance-based Appraisal Report of the M&O contractor for submittal to HQ;
- Provide contracting activities over the M&O contract with UC/LANL to include: contract negotiations, changes to scope, terms and conditions including funding modifications; and contract administration activities;
- Approve the M&O Procurement and Property Systems;
- Provide technical and management assistance to LASO program managers in performance of their duties to include logistical support;
- Maintain awareness of assigned M&O contractor's budget, including significant developments and existing or impending problem areas, and coordinate with the appropriate LASO and HQ organizations;
- Approve LANL exemptions to accounting policies and practices to include overhead rate adjustments or deviations; and
- Provide the necessary interface with the Service Center for all other budgetary and financial activities related to the site.

4.8 Project Management

The Assistant Manager for Project Management (AMPM) is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of facilities, project management and Environmental Restoration (ER) funded projects. Facilities Management: Construction Project Management: Provides oversight and contract administration of construction project planning and management; and in project planning for site construction projects. Real Property Management: Approves LANL contractor property systems with respect to property acquisition, control, and disposition at LANL sites. Provides oversight and contract administration of Environmental Restoration funded projects, including activities involving all aspects of cleanup and long-term stewardship.

Assistant Manager Project Management is responsible for:

- Coordination of project management for major systems acquisitions, major projects, and oversight for line item projects for which project management responsibilities have been assigned to LASO;
- Execution of construction project management and Program and Project Management for the acquisition of Capital Asset assigned to LASO;
- Coordination of in-house Energy Management Program, and Management of the Davis-Bacon Act determinations;
- Development of performance-based contract requirements in project management;
- Projects supporting Facilities and Infrastructure initiatives;
- Acts as Chair of project Baseline Change control board meetings;
- Acts as Project lead for Energy Systems Acquisition Advisory board (ESAAB) process for LASO;
- *Reviews and approves contractors' Quality Assurance Plans (QAPs), and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs for non-nuclear weapons quality;
- *Develops and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents;
- Submits integrated site FRAM/QAP to the Deputy Administrator for review and concurrence; and

- Submits Los Alamos Site Office QAPs to the Deputy Administrator for approval.

The Environmental Restoration Team:

Environmental Restoration Program activities including:

- Site characterization and remedial alternatives analysis, and compliance with EPA and state permits;
- Provides input to risk assessment evaluations and makes recommendations to establish remedial action project priorities and long-range planning for remedial actions; and
- Complete DOE/NNSA Land Transfer initiatives.

4.9 Program Liaison

The Office of Program Liaison (OPL) is a contracting officer representative that provides programmatic performance measure definition and assessment regarding nuclear weapons programs, quality, technology, and nonproliferation program activities, in addition to site planning Ten-Year Comprehensive Site Plan (TYCSP), Integrated Nuclear Planning, and Oversight of the Readiness in Technical Base and Facilities Program (RTBF), in support of the Nuclear Weapons Complex and NNSA Headquarters Program Managers. Coordinates with program sponsors: contractor performance, evaluation, and definition, per the Appendix F process.

The Assistant Manager for Program Liaison is responsible for:

Weapons Quality Assurance (QA)

- Provide management oversight of implementation and effectiveness of production and design agency quality programs;
- Provide product acceptance and inspection activities;
- Ensure that production agency's quality programs facilitate meeting weapon production schedule deliverables;
- Provide oversight of contractor/design agency's implementation of quality requirements through performance of quality assurance surveys, assessments, and program reviews; and
- Provide programmatic support to Nuclear Weapons Complex for quality policy development and implementation.

Weapons Program

- Validation of budgets, scopes, and schedules as requested by program managers;
- Milestone tracking and reporting;
- Programmatic Budget definition, tracking, and reporting;
- Coordinates Los Alamos Site Office activities in support of contractor programmatic projects and activities; and
- Provides information on program status to Headquarters program managers.

Site Planning

- On-site representation for DOE/NNSA Program Managers regarding facility availability for programmatic needs; and
- Strategic Site Planning (TYCSP and Integrated Nuclear Planning), RTBF management and assessment.

Technology and Nonproliferation Programs

- Perform field oversight of NA-20 programs. This includes: review of work authorizations and recommend approval to the contracting officer, provide oversight and assist in the execution of the programs at the program manager's request, and evaluate LANL against the annual performance appraisal process;
- Perform field oversight of NA-40 programs. This includes: review of work authorizations and recommend approval to the contracting officer, provide oversight and assist in the execution of the programs at the program manager's request, and evaluate LANL against the annual performance appraisal process; and
- Perform field oversight of Department of Homeland Security projects conducted at LANL. This includes: review of proposals received through the Work for Others process, recommendation of approval of WFO funding to the contracting officer, facilitate closeout of projects, and evaluate LANL against DHS expectations through the annual performance appraisal process.

Office of Nuclear Energy, Science & Technology;

- Reviews and recommends approval of work proposals and life cycle plans to program sponsors;
- Provides technical oversight of approved technical work and ensures to the LASO Manager/Contracting Officer that approved work activities have mitigated risk in areas such as safety, security, and environment; and
- Reviews and recommends approval of Work Authorizations from a technical perspective.

Work For Others

- Provide assistance to other Federal agencies and non-federal entities in accomplishing goals that may otherwise be unattainable and to avoid the possible duplication of effort at Federal facilities;
- Provide access for non-NNSA entities to highly specialized or unique NNSA facilities, services, or technical expertise;
- Increase research and development interactions between NNSA facilities and industry to transfer technology originating in NNSA facilities to industry for further development or commercialization; and
- Maintain core competencies and enhance the science and technology base at NNSA facilities.

Materials

- Develops with the contractor long term storage and disposition strategies for special nuclear material;
- Manages the disposition of excess special nuclear material for Los Alamos National Laboratory;
- Provides assessment and long term planning horizons for packaging and transportation needs of the laboratory;
- Establishes shipping corridors between NNSA sites for special nuclear materials; and
- Provides support for all DNFSB recommendations regarding the stabilization of excess special nuclear materials.

4.10 Safety Authorization Basis Team (SABT)

The Senior Authorization Basis Manager (SABM) is a Contracting Officer Representative and is responsible for direction, oversight and contract administration activities regarding development of safe nuclear and select non-nuclear Documented Safety Analyses (DSA) in support of safe nuclear and non-nuclear operations. SABT is responsible for the planning, implementation, and operations at the LANL nuclear and non-nuclear facilities to ensure programmatic objectives are met. LANL Nuclear Facilities supports long term planning of facility operations and mission/program activities. The SABM is responsible for ensuring satisfactory development, and approval of the safety basis requirements for all LANL Sites both nuclear and select non-nuclear.

The Safety Authorization Basis Manager (SABM) is responsible for:

- Approval authority for all existing and proposed new Documented Safety Analysis (DSA) and Technical Safety Requirements (TSR) documents for facilities and activities per 10CFR830;
- Approval authority for non-nuclear safety bases as necessary;
- Approval authority for the Unreviewed Safety Question (USQ) process
- Approves safety documentation deviations and temporary exemptions;
- Approval authority for nuclear and non-nuclear safety basis process interpretations and guidance;
- Safety Basis Qualification card signature authority;
- Approval authority for Safety Authorization Basis Team Standard Operating Procedures;
- Conducts negotiations in contract performance measures;
- Recommends approval for site nuclear facilities list;
- Approval authority for LANL Master Schedule for safety basis deliverables;
- Conducts Safety Authorization Basis work in accordance with a formal safety analysis review procedure approved by the SABM entitled "Authorization Basis Review Procedure";
- Reports Fiscal year goals are explicitly established in the yearly SABT Operational Plan and Master Schedule;
- *Approves final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830;
- *Approves final nuclear and non-nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830;
- *Approves the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, Facility Safety, as required by 10 CFR 830;
- *Directs the contractor to prepare, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830;
- *Obtains EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used;
- *Approves 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 as well as any

required Safety Evaluation Report (SER) conditions of approval necessary for the facility including and required upgrades;

- *Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR 830;
- Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, Facility Safety, as required by 10 CFR 830;
- *Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provide this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).

4.11 Facility Operations

The Assistant Manager for Facility Operations (AMFO) is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of the of environmental, safety, and health (ES&H) programs for the LANL M&O contract; serves as NNSA lead for site environmental planning, compliance, monitoring, and permitting; conducts process for the National Environmental Policy Act (NEPA); provides oversight including independent readiness assessments, programmatic ES&H assessments, authorization basis support, accident investigations and employee concern reviews; develops and maintains a qualified Facility Representative program; implements and oversees Integrated Safety Management Systems (ISMS); implements the LASO emergency management program and maintains a qualified LASO emergency response organization; provides subject matter expertise and technical support at the local Emergency Operations Center and other sites and facilities as requested; manages the Federal Employee Occupational Safety and Health Program; and provides oversight and direction for LANL waste management and pollution prevention programs.

Assistant Manager for Facility Operations is responsible for:

- Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised;
- Ensure that the safety management systems adequately prioritize work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources; and
- The oversight of the Facility Representative Team, the Safety and Health Team, and the Environmental Protection Team.

Facility Representative (FR) Team Provides Oversight to:

- FRs verify implementation of Safety Basis controls for nuclear and unique risk facilities;
- FRs evaluate and report on the effectiveness of programs that support or are taken credit for in the safety basis;
- FRs maintain an awareness of day-to-day operations to ensure continued effective implementation of the above two priorities and the facilities' ability to operationally support mission objectives;

- Provides on-site review and review of nuclear and select non-nuclear facility operations;
- *Oversees start-up activities of new facilities or restart of existing facilities including support Operational Readiness Reviews in assigned areas;
- Manages the incident reporting systems including oversight of preparation of Unusual Occurrence Reports;
- Conducts oversight of Conduct of Operations; oversight of facility maintenance operations, and oversight of the Integrated Work Management Process;
- *Conduct line oversight of safety management systems to ensure effective implementation and maintenance;
- *Provide line management oversight and ensure the implementation of hazards mitigation programs and controls;
- Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements;
- *Ensure that readiness reviews are conducted in accordance with DOE O 425.1C, Startup and Restart of Nuclear Facilities;
- Review and approve contractor Startup Notification Report in accordance with DOE O 425.1C;
- Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C;
- *Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercise all startup authority;
- *Perform line management oversight of contractors' worker, public, environment, and facility protection programs and maintain day-to-day operational oversight of contractor activities at applicable facilities through Facility Representatives; and
- *Require contractors to report occurrences on Occurrence Reporting and Processing System (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.

Safety and Health Team Provides Oversight to:

- Radiological/Health Physics;
- Industrial fire protection oversight
- Industrial hygiene programs oversight;
- Provides oversight of the M&O's Institutional Biosafety Committee (IBC) and Biosafety program;
- Industrial Safety programs;
- High explosives operations;
- Construction activities for safety;
- Nuclear safety program including criticality;
- Packaging and transportation safety and compliance;
- The M&O's Emergency Management Program operations and the M&O's Maintenance program;
- The Vital Safety Systems (VSS);
- Oversees ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities;

- *Ensure that contractors describe, document, implement, and maintain their safety management systems;
- *Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls.
- *Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, Comprehensive Emergency Management System except at sites where exemption has been granted or the Order is not applicable. Approve and forward approved hazards surveys and hazards assessments to the Deputy Administrators and Director of Emergency Operations, as appropriate.
- Review and approve the following: RPPs for DOE/NNSA activities as required in 10 CFR 835;
- *Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees.
- *Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE/NNSA-wide sharing of lessons learned.
- *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.
- *Perform management assessments of contractors to evaluate their success in doing work safely.
- *Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.

Environmental Protection Team Provides Oversight to:

- Oversees, monitors, and evaluates contractor performance in environmental and resource protection and monitoring;
- Interprets compliance with federal, Environmental Protection Agency (EPA), and state legislation, rules, and regulations;
- Assures compliance with the National Environmental Policy Act through program guidance, appraisals, and development and review of environmental documentation and manages the cultural resource program;
- Supports public involvement activities throughout the LASO to include public outreach and stakeholder involvement;
- Performs environmental oversight for clean air, clean water activities at the LANL site and interfaces with regulatory agencies on compliance issues and permit applications;
- Serves as technical representative for the Agreement-In-Principle with New Mexico Environmental Division Grant;
- Provides oversight of low-level waste disposal facilities;
- Approves environmental surveillance reports, monitoring reports and groundwater reports;

- Provides oversight of TRU waste certification activities;
- Monitors and evaluates contractor performance in the Sites of waste management (WM), waste operations, waste storage, waste treatment/disposal, and pollution prevention programs;
- Coordinates and reviews low level WM activities at Los Alamos National Laboratories (LANL), including the degree of progress in meeting schedules and objectives;
- Develops and manages Resource Conservation and Recovery Act (RCRA) permits and interfaces with regulatory agencies on RCRA compliance issues and permit applications;
- Provides oversight of the M&O Air Operating Permit;
- Provides oversight of the M&O National Pollution Discharge Elimination System (NPDES) permit;
- Provides oversight of the M&O Toxic Substance Control Act (TSCA) Disposal.

5.0 PROCEDURE

5.1 Editorial Changes to LASO FRAM Procedure

The FRAM will be reviewed and updated as appropriate on an annual basis.

5.1.1 Editorial changes to this procedure may be made without subjecting the procedure to the same level of review necessary for a new or revised procedure. The following items are considered editorial changes:

- A. Corrections to grammar or spelling
- B. Renumbering sections or attachments
- C. Updating organizational titles

NOTE: A change in organizational titles accompanied by a change in responsibilities is not considered an editorial change.

6.0 ATTACHMENTS

6.1 Attachment 1 NNSA Task Flow Down

7.0 REVISION HISTORY

7.1 Revision 0 – New Procedure

ATTACHMENT 1, NNSA TASK FLOW DOWN

NNSA TASK FLOW DOWN SECTION 3.8 TO LASO FRAM		
SABT	DELEGATED NNSA TASKS	Shared with
	a. *Approve final nuclear facility/activity hazard categorization level based on input from NNSA line managers and contractors regarding the type and amounts of hazards, and the requirements of 10 CFR 830.	OFO
	b. Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i> , as required by 10 CFR 830.	OFO
	c. Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.	SSA
	d. Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.	OFO
	e. Approve the Technical Safety Requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation.	N/A
	f. For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report.	N/A
OFO	DELEGATED NNSA TASKS	Shared with
	a. Authorize ISMS verifications to ensure ISMS is implemented and maintained at NNSA facilities	
	b. Prepare Site Office FRAM, submits for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.	SSA
	c. Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed.	
	d. Conduct line oversight of safety management systems to ensure effective implementation and maintenance.	
	e. Ensure that contractors describe, document, implement, and maintain their safety management systems.	
	f. 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.	BA/SM
	g. Direct the contractor to propose site- or facility-specific standards tailored to the work and the hazards and provides this documentation to the Deputy Administrator for information (or for approval in the authorization agreement and in the contract in the case of Hazard Category 1 nuclear facilities).	
	h. 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.	

ATTACHMENT 1, NNSA TASK FLOW DOWN

OFO	DELEGATED NNSA TASKS	Shared with:
	w. 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.	
	x. 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.	
	y. Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.	
	z. Ensure implementation of the CAP and assign a cognizant line manager to review CAPs for assurance that issues raised in formal independent assessment reports are addressed.	
	aa. Ensure the status of corrective actions in the DOE Corrective Action Tracking System (CATS) is updated. Coordinate with the contractor and Headquarters elements as necessary, in order to ensure all completed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.	
	bb. If delegated, approve CAPs within 60 calendar days (for OA evaluations, approve CAPs within 30 calendar days) of the issuance of the formal independent oversight assessment report. If OA provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.	
	cc. Perform management assessments of contractors to evaluate their success in doing work safely.	
	dd. Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised. Shared duty with SSA.	
BA	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	Shared Duties
	a. Ensure that the safety management systems adequately prioritize work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.	OFO
SM/BA	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	
PM	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	
	a. Review and approve contractors' Quality Assurance Plans (QAPs), and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830, and are integrated with the contractor's safety management programs. Ensure that contractors implement QAPs.	
	b. Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents. Submit integrated site FRAM/QAP to the Deputy Administrator for review and concurrence. Submit site office QAPs to the Deputy Administrator for approval.	

ATTACHMENT 1, NNSA TASK FLOW DOWN

OPL	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	
	a. Review and support development of expected performance objectives and related Deputy Administrator goals and priorities.	
SSA	NNSA FRAM Rev 0.0 Delegated Tasks from Section 3.8	
	a. Prepare Site Office FRAM, submits for approval by the Deputy Administrator, and implement FRA documents for Site Offices that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed. Revise FRA documents within 90 days of the issuance of revisions of the NNSA FRAM and following local organizational changes. Deputy Administrator approval is only needed for significant Site FRAM changes. Also, obtain approval from the Deputy Administrator for Site FRAMs that have QAP elements integrated.	OFO
	b. 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.	
	c. Direct the contractor to prepare RPPs, USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835.	
	d. Review and provide recommendations to the Deputy Administrator on requests for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursue Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator.	
	e. As Contracting Officer, determine appropriate protocol based on work and hazard; append approved authorization agreement to or modify the affected contract to contain its provisions; and establish requirements to ensure that authorization agreements are maintained up-to-date.	
	f. Direct contractors to develop and implement a lessons learned program. The program should include analysis and trending of events. Monitor and assess contractor's lessons learned program. Participate in the DOE-wide sharing of lessons learned.	OFO
	g. 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.	
	h. Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action. The adequacy of the contractor self-assessment process, and assessments of safety system operability and programs that support system operability should be specifically appraised.	OFO