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MEMORANDUM FOR DR. EVERET H. BECKNER
DEPUTY ADMINISTRATOR FOR DEFENSE PROGRAMS

FROM:

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SUBJECT: Livermore Site Office Functions, Responsibilities and Authorities Manual

Attached for your approval is the updated Livermore Site Office (LSO) Functions, Responsibilities, and Authorities Manual (FRAM). This FRAM ensures the ES&H functions, responsibilities, and authorities at LSO and the Field Element of the Office of the National Ignition Facility Project are unambiguous. This FRAM is consistent with the NNSA FRAM and implements the functions, responsibilities, and authorities the NNSA FRAM assigns to the Site Office Managers.

The LSO FRAM identifies the LSO implementing documents that need to be updated due to NNSA reorganization. We will update those documents by October 31, 2004.

If you have any questions regarding the LSO FRAM, please contact Ralph Kopenhaver at 925-422-3126.

Attachment

cc:

Jim Mangeno, NA-1
Mike Thompson, NA-117
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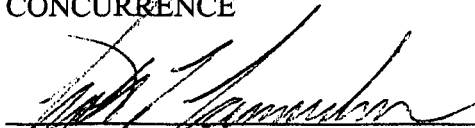
ISSUED:

February, 2004

**Environment, Safety & Health (ES&H)
Functions, Responsibilities & Authorities
Manual (FRAM)**

LIVERMORE SITE OFFICE (LSO)

CONCURRENCE



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**LIVERMORE SITE OFFICE
FUNCTIONS, RESPONSIBILITIES, & AUTHORITIES MANUAL
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I. Purpose and Scope

The purpose of the Livermore Site Office (LSO) ES&H Functions, Responsibilities and Authorities Manual (FRAM) is to ensure the ES&H Functions, Responsibilities and Authorities at LSO and the Field Element of the NNSA Office of the National Ignition Facility Project (ONIF) located at LLNL are unambiguous. This FRAM identifies the ES&H functions, responsibilities and authorities so that the safe conduct of work can be planned, performed, assessed, and improved in accordance with the DOE P 411.1, Safety Management Functions, Responsibilities, and Authorities Policy, and the NNSA FRAM.

The sources of the functions, responsibilities, and authorities assigned in this manual are derived from various sources including, the NNSA FRAM, DOE Orders, delegation memorandums, and other policies and directives. This FRAM does not capture each responsibility from these sources verbatim; rather it assigns the key responsibilities and authorities for each function and references other implementation documentation for more detailed responsibilities and authorities.

This manual applies to all work that LSO and ONIF have management oversight responsibility for, at the Lawrence Livermore National Laboratory (LLNL). This Manual also applies to all work performed within the Livermore Site Office by federal and support contractor employees in support of the LSO mission.

II. LSO Organization

A. LSO Organization Overview

The LSO is headed by the LSO Manager. Reporting to the LSO Manager are the Manager's Office staff, the Legal staff, the Chief of Staff, and the Public Affairs staff. Also reporting to the LSO Manager are two LSO Deputy Managers. Each LSO Deputy Manager has three organizations reporting directly to them. These organizations are headed by Assistant Managers who in turn are assisted by Team Leaders and Operations Team Leaders in their organizations. Figure 1 provides a schematic description of the organizational arrangement at LSO. Table 1 provides an abbreviated description of the mission of each of these organizations under the LSO Manager.

Table 1. OAK Divisional Mission Statements

MANAGER'S OFFICE (MO)	
STAFF	MISSION
Legal	Chief legal advisor and is responsible for all matters of law and legal policy.
Chief of Staff (COS)	Provides support for LSO planning, supports the development of processes necessary for overall performance improvement.
Public Affairs (PA)	Provides a comprehensive communications activity.

DEPUTY MANAGER FOR NATIONAL SECURITY OPERATION (DMNSO)	
ORGANIZATIONS	MISSION
Assistant Manager for National Security Implementation (NSID)	Provides field program integration in operational areas, infrastructure management, and program implementation of the Defense Weapons Program and related Defense Programs (DP) construction, with the exception of the National Ignition Facility (NIF) project.
Assistant Manager for Safeguards and Security (SSD)	Provides field management for implementation of the DOE safeguards and security policies and programs for LSO's sites/contractors.
Assistant Manager for Business Management (BMD)	Provides field management for delegated contract administration and business management oversight for the LLNL M&O contract. Provides LSO liaison to NNSA Service Center and other HQ business organizations in the areas of Information Technology, Budget and Financial Management, Human Resources, Training, OIG and GAO Reviews, and Property Management. Responsible for the LSO Management Control Program.

TECHNICAL DEPUTY FOR SAFETY AND ENVIRONMENT (TDSE)	
ORGANIZATIONS	MISSION
Assistant Manager for Livermore Safety Operations (LSOD)	Provides institutional ES&H management through the S&H Subject Matter Experts, institutional team, and Facility Representative, and provides S&H support to all line organizations at LLNL.
Nuclear Safety Team (NST)	Provides institutional management of nuclear safety, including criticality safety for LLNL nuclear facilities, and nuclear safety Subject Matter Experts to line organizations with nuclear facilities.
Assistant Manager for Environmental Stewardship (ES)	Manages and directs programs and activities to assess and remediate LLNL sites contaminated from past operations, and for minimizing, treating, storing, and disposing of DOE waste at LLNL. Provides environmental Subject Matter Expert support to all line organizations at LLNL.

Livermore Site Office Org Chart

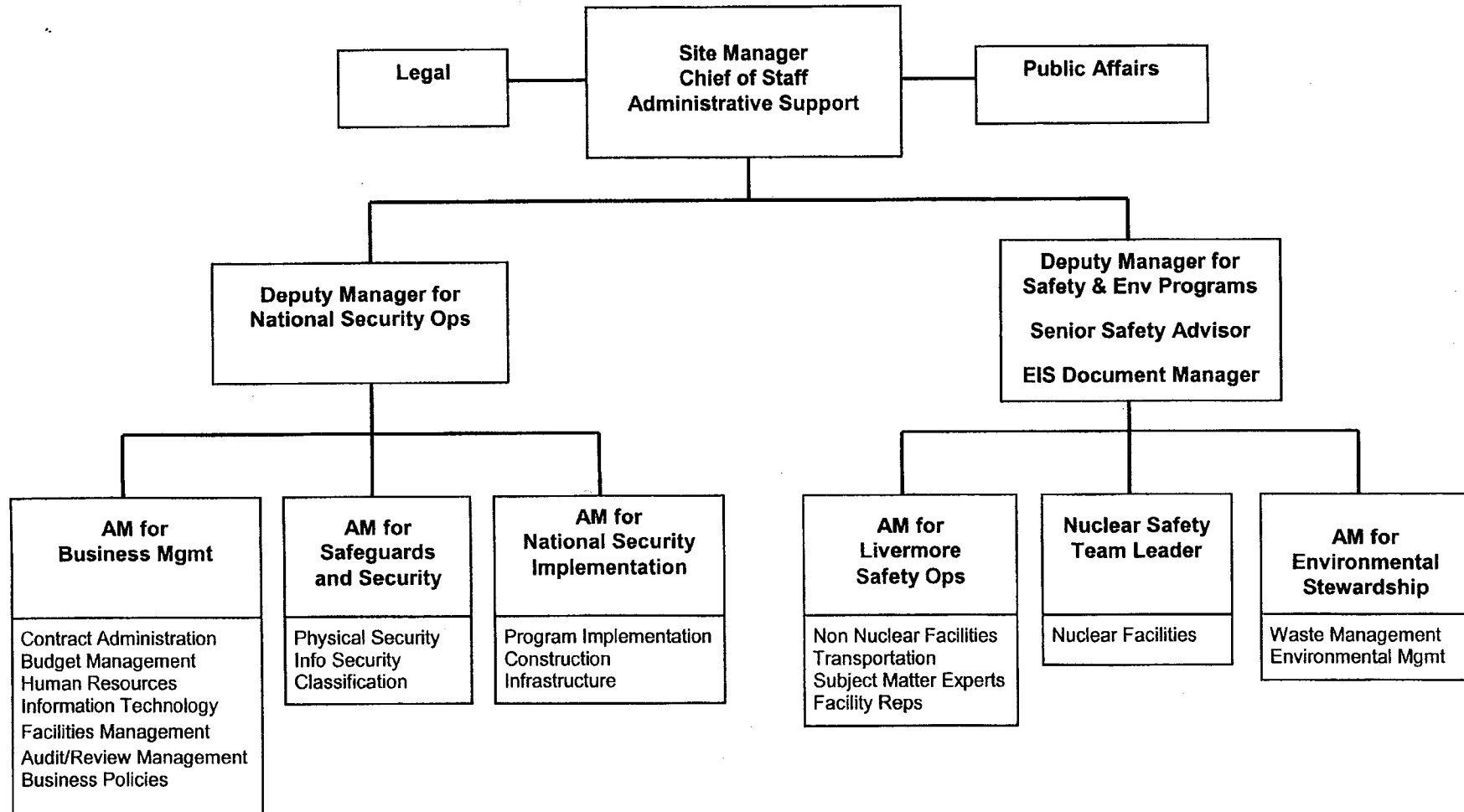


Figure 1 – Organization Chart

B. Line Management Responsibility Flow-down

Line management authority, responsibility, and accountability for ES&H aspects of NNSA activities (except NIF) is depicted in Figure 2. The line flows from the DOE Secretary to the NNSA Administrator to the Deputy Administrator for Defense Programs (NA-10) to the LSO Manager to the Deputy Managers to the Assistant Managers. At this point the line splits, the line for facility or program specific ES&H activities goes through the Operations Team Leaders to LLNL. The line for institutional ES&H programs goes from the subject matter expert organizations, LSOD, NST, or ESD, directly to LLNL.

ES&H line management for the NIF Project flows from the DOE Secretary to the NNSA Administrator to the Deputy Administrator for Defense Programs to the Director NNSA Office of the NIF Project to the ONIF Deputy Director to the NIF Operations Team to LLNL.

As stated in the NNSA FRAM, "Safety management responsibility for work done by DOE and other non-NNSA tenant activities remains with NNSA line management. All work done at a site, therefore, must be performed within the safety envelope approved by the SOM." Thus the line management chain described above applies to infrastructure activities and overall ES&H management at LLNL. Other PSOs are responsible for the ES&H in their specific activities, but they must comply with the safety envelope approved by the LSO Manager. The ES&H line management chain for these activities normally flows from the Secretary to the PSO to the LSO Manager and then through LSO as described above to LLNL. Difference in the delegation of ES&H responsibilities and authorities from these PSOs to the LSO Manager are noted in the specific responsibilities and authorities found in Section VI.

ES&H oversight support is provided to the Line and/or Program Managers by subject matter experts (SMEs) located in the various LSO organizations and the NNSA Service Center. LSO SMEs normally are considered to have line ES&H responsibility for the LLNL institutional program in their functional area as well as support responsibility to Operations Team Leaders who are line management for individual facilities and programs.

C. Operations Teams Description

The efficient and effective oversight of the operations and performance at more than 700 LLNL facilities is based on an Operations Team concept (See Figure 3). The Operations Teams integrate line management, FR program, and ES&H/S&S SME resources to accomplish required management and oversight functions and responsibilities. Thus the Operations Teams facilitate coordination and exchange of information to support the safe and secure accomplishment of the laboratory's mission. Appendix A contains a list of the Operations Teams and their assigned areas.

Each team is staffed by personnel from all LSO Line/Program Management organizations. The typical composition of the Operations Team is the Team Leader, program representatives, the Facility Representatives of the facilities that the team oversees, and Nuclear Safety Team staff, SMEs and Safeguard and Security staff as appropriate. The number of persons on each team varies but the team leader is authorized to get help as needed from any and all LSO Organizations. Team members oversee the facilities by

ES&H Management for LLNL

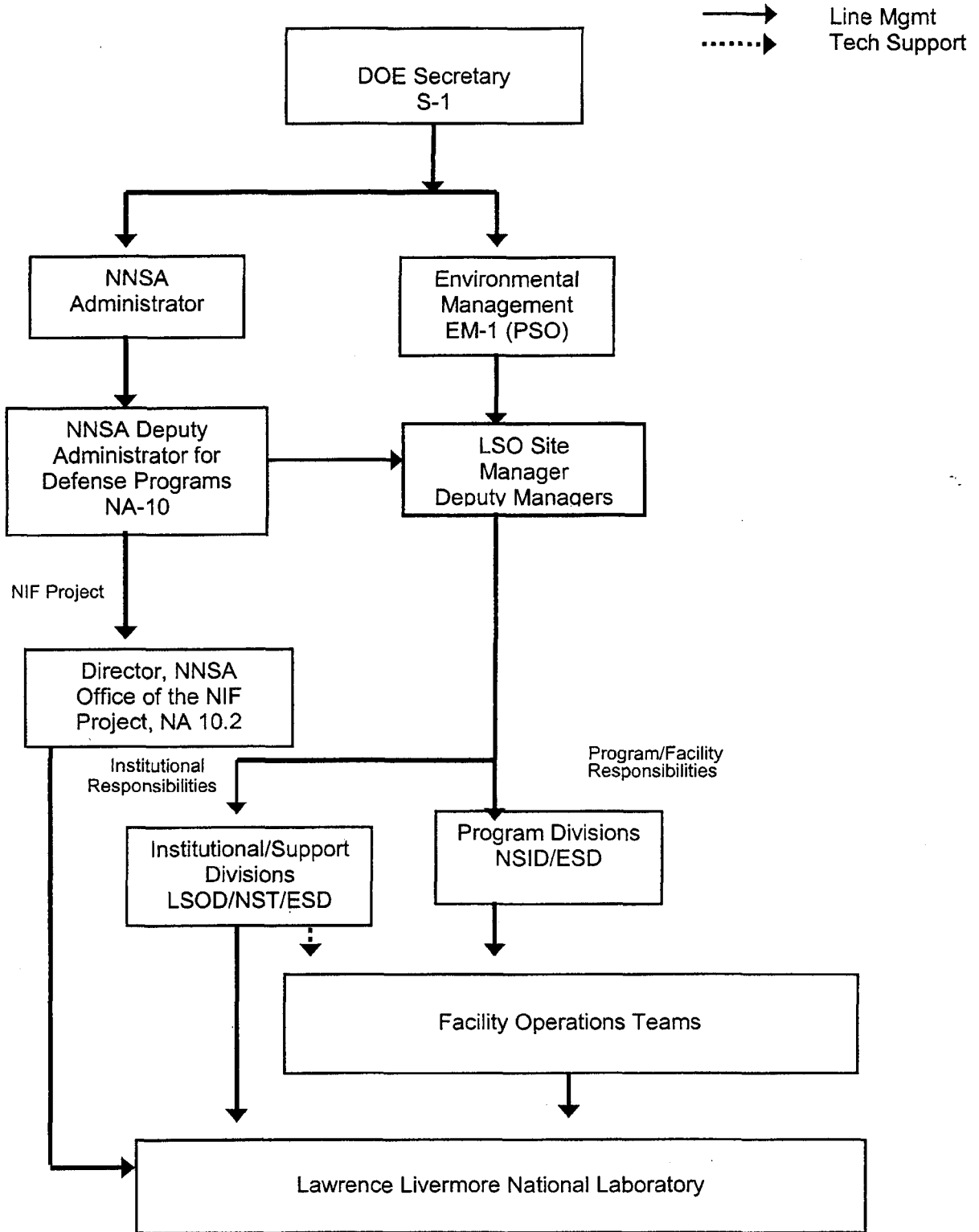


Figure 2

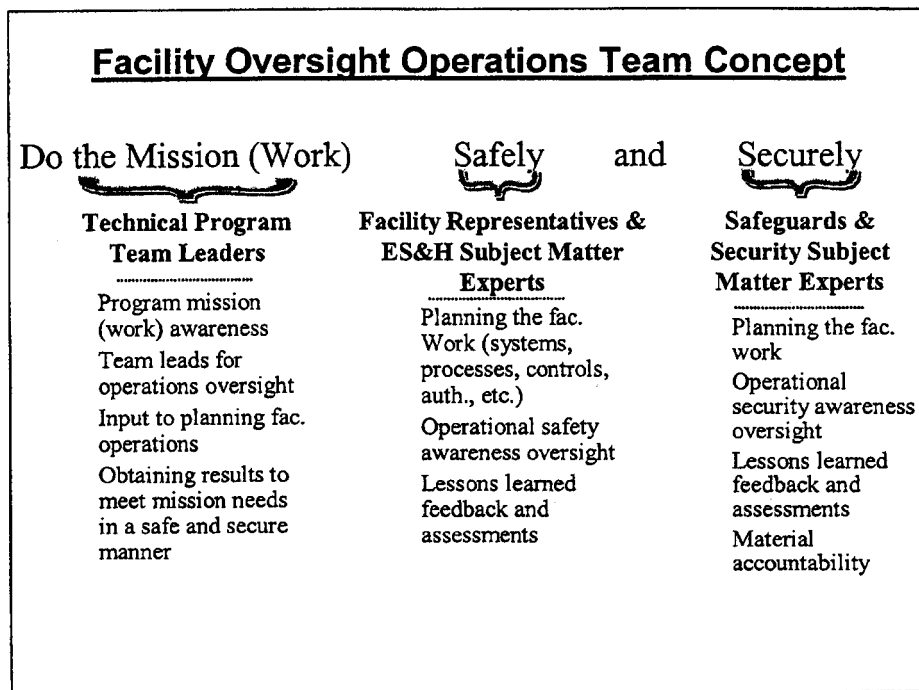


Figure 2. Facility Oversight Operations Team Concept

performing the functions assigned in Section VI.C. The Operations Teams Leaders report to the Assistant Manager with programmatic responsibility and are responsible for integrating the ES&H and security oversight/management with the programmatic and facility operations.

Additionally the Operations Team Leaders report to LSO Manager through periodic ES&H/S&S meetings with the TDSE. All Assistant Managers attend these meetings. The meetings provide a forum to share information, coordinate broad efforts, and support continuing feedback for improvement at the Livermore site. The Operations Team Leaders also provide quarterly reports to management indicating team accomplishments and other performance metrics.

III. ISM Implementation Description

The functions detailed in section V constitute how LSO implements ISM. Section VI is not organized around the seven guiding principles and five core functions, therefore, how each of the principles and functions are implemented are described briefly below with references to the appropriate functions in Section VI. Some of the functions described in Section VI apply to all the guiding principles and core functions and may not be specifically referenced below, for example approval of LLNL ISM description ensures LLNL safety management system implements all the guiding principles and core functions. Likewise the LSO Federal Employees Occupation Safety and Health (FEOSH) Program implements all the guiding principles and core functions.

A. Implementation of the Seven Guiding Principles

Line Management responsibility for safety

The NNSA clearly defines line management responsibility for safety. The LSO and NNSA FRAMs clearly defines the line management chain from the Administrator to LLNL and assigns responsibility to that chain for safety.

Clear Roles and Responsibilities

Clear ES&H roles and responsibilities for LSO and ONIF personnel originate in delegations of authority from NNSA to LSO and ONIF. The LSO FRAM clearly identifies these roles and responsibilities. In its oversight role LSO and ONIF requires LLNL to have clear roles and responsibilities at all levels from the institutional level to the associate directors to facilities and activities. The LLNL System Description clearly define these roles and responsibilities by specifying how functions are to be carried out and identifying who has the responsibility and authority to carry out the functions.

Competence commensurate with responsibilities

The selection of LSO and ONIF staff for positions with ES&H responsibilities (line or support) is based on them having education and experience commensurate with the job requirements. LSO and ONIF ensures that all personnel with ES&H responsibilities maintain, and demonstrate competence in the performance of their duties. LSO maintains a rigorous Technical Qualification Program (TQP) for those individuals who have safety responsibilities at LLNL nuclear facilities. All LSO and ONIF staff continue to improve their knowledge and skills by the use of IDPs. Function A.1 Training and Qualification details the responsibilities and authorities for the training and qualification of LSO personnel.

LSO and ONIF is also responsible to oversee LLNL's ES&H related training and qualification program. Functions B.5 Institutional Assessment and C.7 Facility Assessment describe how this oversight is accomplished and who is responsible for the oversight. Function C.1 Facility ES&H Management Plans assigns the responsibility and authority for approving LLNL's Training Implementation Matrices for nuclear facilities.

Balanced Priorities

ES&H priorities are balanced according to risk, safety significance and programmatic need. The primary mechanism for ensuring ES&H priorities are balanced is the LSO's role in the budget process. (See Function B.2 Program Execution for more details.) This is supported by the issue tracking functions described in Function A.7 Issue Management.

Identification of Standards and Requirements

LSO has identified Standards and Requirements for operations and facilities at LLNL tailored to the work being performed using the Work Smart Standards (WSS) process. These requirements were selected from DOE directives and National consensus standards. The WSS have been incorporated in the UC Contract 48 Appendix G. Function B.1 Requirements Management assigns responsibilities and authorities for the WSS process. Additional requirements for specific facilities and operations may

also be identified through safety analysis and design reviews. Functions C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents and C.4 Project Management detail the responsibilities and authorities for these functions.

Hazard Controls are tailored to the Work

LLNL is responsible for identifying hazards and implementing controls. In addition to the WSS set, LSO and ONIF approve nuclear safety basis documents, non-nuclear safety basis documents, and various plans that detail these controls. (See Functions B.1 Requirements Management, C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents, C.1 Facility ES&H Management Plans, and B.4 LLNL ES&H Management Plans for more details.)

Operations are Authorized before Work begins

LLNL operations must be authorized at the appropriate level before work can begin. At the institutional level this is accomplished by approving a Statement of Work in the DOE-UC contract. At the program/project level Work Authorization statements, NEPA determination documents projects and proposals, and milestones are reviewed for ES&H considerations before work begins. See Functions B.2 Program Execution; and C.4 Program Management for more details. At the facility/operations level work is authorized before work begins. Whether LSO needs to approve operations at this level varies based on the risk inherent in the operations and usually includes the approval of safety basis documents as well as some form of readiness assessment. See Functions C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents, and C.5 Operations Authorization for more details.

B. Implementation of the Five Core Functions

Define Scope of Work

The LSO Manager, as the Contracting Officer for LLNL, defines the scope of work for LLNL through the DOE-UC Contract's Statement of Work. Programmatic scope of work is normally defined by HQ. See Function B.2 Program Execution for LSO's roles in the definition of programmatic scope of work. LSO requires that LLNL has an ISM System Description that describes the work to a level of detail sufficient to determine priorities, allocate resources, identify hazards and establish expectations for completion. See Function B.4 LLNL ES&H Management Plans for more details. This FRAM, the NNSA FRAM and other NNSA organization documents define the scope of work for LSO.

Analyze hazards

LSO and ONIF reviews and approves Safety Documents (SARs, TSRs, OSRs and NEPA documents) and maintains a list of all work and associated hazards at the institutional level as the basis for establishing the WSS in the UC contract per DOE Policy 450.4. See Functions B.2 Program Management, C.2 Nuclear Safety Basis Documents, C.3 Non-nuclear Safety Basis Documents, and C.4 Project Management for more details.

Develop and Implement Controls

The Contractor is responsible for identifying hazards and implementing controls for work being performed at LLNL. LSO provides oversight to assure that the controls

and safety measures are adequate. In addition to the functions listed under analyze the hazards, see Function B.1 Requirements Management.

Accomplish the Work

The Contractor performs the work and LSO through its oversight assures that the Contractor's ISM system is functioning properly. See Functions B.5 Institutional Assessment, C.6 Unexpected Occurrence Management, and C.7 Facility Assessment for more details.

Feedback and Improvement

LSO uses various feedback and improvement mechanisms to improve its performance. See Functions A.7 Issues Management and A.8 Feedback and Improvement for more details. Additionally, LSO oversight of LLNL provides feedback to LLNL management. These oversight mechanisms range from the expectations described at the contractual level to feedback to individual LLNL managers from LSO operational awareness activities. Particularly important is the contractor rating process defined in Appendix F of the contract. See Functions A.7 Issues Management, B.5 Institutional Assessment, C.6 Unexpected Occurrence Management, and C.7 Facility assessment for more details.

IV. Management Agreements with Other DOE Organizations

The LSO is supported in many functional areas by the NNSA Service Center. The support to be provided and the Service Center's responsibilities and authorities in each of these functional areas are defined in Service Level Agreements annually negotiated between the Service Center and LSO.

An April 10, 2001 Memorandum of Understanding between the Acting NNSA Deputy Administrator for Defense Programs (DP-1) and the Manager of the former Oakland Operations Office, defines the responsibilities of, and organizational relationship between DP and LSO with respect to the NIF Project, and clarifies the interaction between LSO and ONIF.

A January 12, 2001 Memorandum of Understanding between the NNSA Administrator and the Assistant Secretary for Environment, Safety and Health (EH) establishes the principles and protocols that will enable the Administrator to effectively utilize the resources of EH for Price Anderson activities. This MOU assigns certain responsibilities to the NNSA Site Office Managers for Price Anderson related activities.

A 2002 Management Agreement between the Nevada Operations Office (NV) and the LSO delineates the working relationship and respective responsibilities of each office in respect to LLNL operations at facilities under the jurisdiction of NV, including the Nevada Test Site. LSO has contract management authority and responsibilities for LSO contractors working at NV Sites and NV exercises Line Management Assessment and Facility Operations oversight and authorization.

V. Delegations

The NNSA FRAM and DOE directives assign Field Elements specific authorities for ES&H activities. In addition, other individual PSOs have delegated authorities by memorandum or through their organizational FRAM. The delegations to LSO are noted in Section VI.

Generally, the LSO Manager further delegates authorities for ES&H activities assigned by DOE directives or by delegation from NNSA/PSOs in the LSO FRAM. The LSO Manager may also delegate authorities by memorandum. Although authorities for specific ES&H activities have been delegated, line management responsibility for ES&H cannot be delegated and is shared by all LSO/ONIF staff in the line management chain from the Manager to the Contractor.

VI. Functions, Responsibilities and Authorities

The LSO ES&H functions are grouped into three main categories, LSO operations, LLNL Institutional Oversight, and LLNL facility oversight. The major responsibility and authorities are given for each function along with references to implementing documents that may contain more detailed responsibilities and authorities.

The functional assignments made below identify the Manager that has the lead responsibility for the identified function. It is expected that this lead Manager will coordinate with other organizations as necessary to assure that the primary function and all related ancillary functions are accomplished appropriately. This does not relieve those organizations of the responsibilities and authorities assigned in this FRAM, but the LSO Manager will look to the identified lead Manager to identify and solve problems in LSO's accomplishment of the function.

A. LSO ES&H PROGRAMS AND FUNCTIONS

This section contains the ES&H functions associated with corporate management of ES&H by LSO. These functions include those associated with the general management systems used by LSO, as well as those associated with specific ES&H programs.

1. Function: Technical Capability Program

This function includes all activities involved with training and qualification of LSO federal employees. This function includes the following sub-functions:

- a. Technical Training – Determination of need for technical training and administration of the technical training program.
- b. Technical Qualification Program – Development and implementation of the TQP for the LSO. More detailed responsibilities and authorities can be found in the OAK TQP Plan (AMBFS-PLA-OOI-01.0) and implementing procedures. The Training for the Facility Representatives is

also covered by the TQP by reference to AMLSO-SOP-0062.02.0 Facility Representative Program.

- c. FTCP – Appointment of the LSO FTCP Agent and support of the FTCP
- d. Technical Staffing Analysis – Development of analysis of staffing necessary to implement this Manual.

Sub-function a. Technical Training

Lead Manager - AM for Business Management

Responsibilities and Authorities

Manager: Determines overall training priorities based on the IDPs and available budgets.

Supervisor: Each supervisor in consultation with each employee determine the technical training the employee needs to perform their job assignment (including all safety related training). These needs should be documented in an IDP and approved by the supervisor. Supervisors are responsible to provide employees adequate time and training necessary for the position.

Service Center: The Service Center is responsible for the administration of training including, planning, delivering, executing and record keeping per the Service Level Agreement.

Sub-function b. Technical Qualification Program (TQP)

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: Certifies final qualification of employees in the TQP.

Technical Qualification Council (TQC): The TQC identifies LSO participants in the TQP and approves their qualification standards. The TQC approves the LSO TQP plan and ensures that the plan is implemented at LSO.

LSOD: Implements the Facility Representative Training Program in accordance with AMLSO-SOP-0062.02.0 “Facility Representative Program”.

Supervisor: Each supervisor is responsible to provide employees adequate time and training necessary to complete the TQP. Each supervisor is responsible to put in place compensatory measures for unqualified employees as described in the TQP Plan.

TQP Employee: Each employee is responsible for completing their qualification in the time period specified.

Service Center: The Service Center maintains procedures to implement the TQP plan, manages testing, issues completion certificates, and maintains records of qualification progress per the Service Level Agreement.

Sub-function c. Federal Technical Capability Panel

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Senior Safety Advisor: Acts as the LSO agent to the Federal Technical Capability Panel (FTCP). Ensures that staffing analysis information provided to the FTCP is consistent with LSO’s managed staffing plan.

Sub-function d. Technical Staffing Analysis

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Directs the performance of analyses to determine technical staffing needs to implement this Manual.

Chief of Staff: Incorporates results of these analyses into the LSO Managed Staffing Plan.

2. Function: FEOSH

This function includes all activities for development, maintenance, and implementation of the FEOSH program for all DOE employees at the LLNL site, including the medical program and the ES&H employee concerns program for federal employees. More detailed responsibilities and authorities can be found in the LSO FEOSH Manual (TBI).

Lead Manager – AM for LSOD

Responsibilities and Authorities

Manager: Approves the LSO FEOSH Manual

LSOD - Coordinates and manages an effective and comprehensive FEOSH program that meets the requirements of 29 CFR 1960. Develops and maintains the LSO FEOSH Manual.

All Supervisors: Comply with the LSO FEOSH Manual and LLNL safety and health requirements for supervisors. Ensure that no employee is subject to reprisal for exercising rights under the NNSA/OAK FEOSH Program. Ensure employees have a safe working environment.

All Onsite DOE Employees: Comply with the LSO FEOSH Manual and LLNL safety and health requirements. Stop work immediately if a real or potential risk of injury to self or a co-worker is perceived.

3. Function: LSO Emergency Preparedness

This function includes the implementation of LSO's site and regional emergency preparedness and response duties. This function includes the following sub-functions:

- a. Site Emergency Response Functions. LSO has responsibilities during emergencies at LLNL that include participating in the LLNL EOC, communications with HQ EOC and other parties, implementing a Self Help Plan in accordance with the LLNL Emergency Plan, etc. More detailed responsibilities and authorities are found in the LSO Emergency Response and Oversight Plan, the LSO Duty Officer Plan and Procedures (DOE-LSO-000199), and the Self Help Plan for B311/314 (DOE-LSO-000229).

- b. Regional Emergency Response Functions. Provide assistance to federal, state, and local authorities for the detection, identification, analysis and response to radiological incidents.

Sub-function a: Site Emergency Response Functions

Lead Manager – AM for LSOD

Responsibilities and Authorities

Manager: Activates the LSO Emergency Management Team. Appoints the LSO Duty Officers.

DM for SEP: Approves the LSO Emergency Response and Oversight Plan (which designates the LSO Emergency Manager and Team), the Duty Officer Plan and Procedures, and the Self Help Plan for B311/316.

LSOD: Develops and maintains the LSO Emergency Response and Oversight Plan and Duty Officer Plan. Provides training for Duty Officers and LSO Emergency Management Team

AM for Business Management: Develops and Implements the B311/B316 Self Help Plan.

LSO Emergency Manager: During a LLNL emergency the Manager and his Team are responsible to implement the LSO Emergency Response and Oversight Plan.

Duty Officers: Take actions as required by the LSO Duty Officer Plan and Procedures.

All Employees: If notified of a LLNL emergency, notify the Duty Officer. Respond to an emergency per the Self Help Plan or as directed by emergency personnel.

Sub-function b. Regional Emergency Response Functions.

Lead Manager – NA-40

Responsibilities and Authorities

LSOD: Designates and supervises the Regional Response Coordinator (RRC).

RRC: Prepares and implements the Regional Management Plan and Response Plan in accordance with the Radiological Assistance Program (RAP) Field Operations Guide, Rev. 2. Implements the guidance from NA-40. Appoints RAP Team Leaders with the concurrence of the AM for LSOD.

RAP Team Leaders: Deploys with the RAP Teams and performs functions in accordance with the RAP Response Plan

4. Function: Directives Management

This function includes three sub-functions:

- a. DOE and NNSA Directive System – Review, comment and dissemination of DOE directives. More detailed responsibilities and authorities can be found in the LSO Directives System SD when issued and the LSO Directives System Manual when issued.

- b. DOE Technical Standards System –Review, comment and dissemination of DOE Technical Standards
- c. LSO Directives System – Preparation, maintenance and approval of LSO directives. More detailed responsibilities and authorities can be found in the LSO Directives System SD (WI) and the LSO Directives System Manual (WI)

Sub-function a. DOE and NNSA Directive System
Lead Manager - AM for Business Management

Responsibilities and Authorities

Business Management Division: Appoints the LSO Directives Point of Contact (DPC). Coordinates and disseminates directives for review and comment. Disseminates approved directives for implementation. Determines the Responsible Division for each directive.

Responsible Division: Forward draft directives to other interested organizations for review and comment. Approves comments submitted to HQ.

Reviewers: Submits comments through the REVCOM system or as otherwise directed by the DPC.

Sub-function b. DOE Technical Standards Program
Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Senior Safety Advisor: Acts as LSO Technical Standards Manager. Disseminates draft Technical Standards to the appropriate SME for review.

Reviewers: Submits comments to the standard author and resolves comments with the author.

Sub-function c. LSO Directive System.
Lead Manager - AM for Business Management

Responsibilities and Authorities

Manager: Approves all LSO directives that establish policy, direction, or guidance

Business Management: Manages the LSO Directive process

All LSO Organizations: Prepare LSO directives in accordance with the LSO Directive System.

5. Function: ES&H Management Plans

This function includes the preparation and maintenance of the high level plans that implement ISMS at LSO, and includes the following sub-functions

- a. ES&H Functions Responsibility and Authorities Manual
- b. Quality Assurance Plan

Sub-function a. ES&H Functions, Responsibilities and Authorities Manual
(FRAM)

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: Approves the FRAM.

Senior Safety Advisor: Prepares and maintains the FRAM.

Sub-function b. Quality Assurance Plan (QAP)

Lead Manager – AM for LSOD

Responsibilities and Authorities

Manager: Approves the QAP

LSOD: Prepares and maintains the QAP. Provides SME support to all LSO/ONIF Organizations in implementing the QAP.

All LSO/ONIF Organizations: responsible for implementing the plan

6. Function: Issues Management

This function includes the tracking, and resolution of ES&H findings and issues. The identification of findings and issues is included in other functions in this FRAM. This function includes the sub-functions below, which are based on the many tracking systems for ES&H issues used by LSO. See the Issues Management SOP for additional information.

- a. FISHE. FISHE is used to track findings from operational awareness activities.
- b. CATS. CATS is the DOE system used to track findings and corrective actions from OA reviews, Type A Accidents, and other issues as requested by DOE management.
- c. NTS. NTS is the DOE system used for contractors to report noncompliances with the DOE nuclear safety regulations, and the corrective actions for those noncompliances. See the PAAA SOP DOE-LSO-000200 (needs updating) for more details.
- d. Appraisal Findings/Type B AI Reports. LSO appraisal findings and Type B AI Report Judgments of Needs and related corrective actions and tracked by LLNL and reported to LSO quarterly.
- e. DNFSB. DOE uses the SIMS system to track commitments to the DNFSB. Additional tracking of more specific commitments may be done locally. See DNFSB Interface SOP for more details.
- f. Self Assessments/LSO Performance Indicator Findings. Tracking of findings and corrective actions from self assessments or as a result of LSO performance indicators.

Sub-function a. FISHE

Lead Manager – AM for LSOD

Responsibilities and Authorities

LSOD: Provide overall management of the FISHE system.

Operations Team Leaders/SMEs: Analyze FISHE data, and data from other issues management systems to identify adverse trends and systemic deficiencies. Enters the results of these analyses into FISHE, and tracks corrective actions as necessary in the FISHE system.

All employees: Enter findings and track corrective actions in FISHE in accordance with the Issues Management SOP and FISHE Users Guide. Verify and validate corrective actions from findings in accordance with the Issues Management SOP.

All ONIF employees: Enter Quarterly Safety Review findings into FISHE and Track all other findings and corrective actions in the NIF Location Component and State Tracking System database. Verify and validate corrective actions from findings.

Sub-function b. CATS

Lead Manager - AM for LSOD

Responsibilities and Authorities

TDSE: Assigns leads for tracking of corrective actions to findings placed into the CATS system

AM for LSOD: Responsible for all data entry into the CATS system.

Assigned Leads: Provide updated information to LSOD on assigned corrective actions.

Sub-function c. NTS

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Senior Safety Advisor: Monitors and oversees LLNL use of the NTS. Enters LSO verification of corrective actions, or other comments, into NTS. Assigns NTS reports to Operations Team Leaders or SMEs for verification and validation.

Operations Team Leaders/SMEs: Verifies that assigned NTS corrective actions are complete and effective, and documents verification activities in the FISHE system.

Sub-function d. Appraisal findings, Type B AI Report

Lead Manager – AM for LSOD

Responsibilities and Authorities

TDSE: Assigns leads for tracking, verification of corrective actions.

LSOD: Interfaces with LLNL on the quarterly report. Distributes the quarterly report to appropriate LSO personnel.

Assigned Leads: Ensures findings and corrective actions are accurately transcribed into the LLNL tracking system. Verifies corrective actions are complete and effective.

Sub-function e. DNFSB findings

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: Assigns leads for the various commitments to the DNFSB

ONIF: Provides input to Office of the Departmental Representative to the DNFSB on NIF specific actions being tracked in SIMS.

Senior Safety Advisor: Provides input to Office of the Departmental Representative to the DNFSB on LSO/LLNL actions (except NIF specific) being tracked in SIMS. Maintains local tracking system for all commitments resulting from DNFSB findings.

Assigned Leads: Tracks commitments and verifies completion and effectiveness of commitments and updates SSA on status.

Sub-function f. Self Assessment/LSO Performance Indicators Findings

Lead Manager - AM for LSOD

Responsibilities and Authorities

LSOD: Tracks corrective actions in response to LSO self assessment reports. Reports status of corrective actions to the Manager quarterly.

All LSO Organizations: Review LSO performance indicators and identify corrective actions as necessary. Notify LSOD of corrective actions requiring tracking.

7. Function: Feedback and Improvement

This function includes the feedback and improvement mechanisms used by LSO to improve its operations. Corrective actions generated in response to the issues raised from these activities will be managed as described in the issues management function. This function consists of the following sub-functions:

- a. LSO performance indicators. This sub-function includes the tracking and reporting of the different performance indicator systems used by LSO. See the LSO SOP on performance indicators (when issued) for further details.
- b. LSO ES&H self assessment. See the OAK Self Assessment Guide (needs to be revised) for further details.
- c. LSO Lessons Learned Program. See the OAK Lessons Learned Program Guide (needs to be revised) for further details.
- d. ES&H Related External assessments

Sub-function a. LSO Performance Indicators

Lead Managers – Deputy Managers

Responsibilities and Authorities

Deputy Managers: In consultation with the Manager, define the LSO performance indicators to be included in the monthly stoplight chart. Based on the stoplight chart and performance metrics determines issues need to be tracked in the issues management system.

LSOD: Produce a quarterly report on ES&H metrics. The report should be issued within 20 days of the end of the quarter.

Chief of Staff: Collect input from the Assistant Managers and others and issue the stoplight charts by the 10th of the month.

All LSO Organizations: Prepare stoplight charts for assigned areas as directed by the Deputy Managers and provide them to the Chief of Staff by the 7th of the month.

Sub-function b. LSO ES&H Self Assessment

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Ensures an annual ES&H self assessment for LSO is performed in accordance with the OAK Self Assessment Guide. The TDSE is assigned all the responsibilities and authorities that Guide assigns to the ES&H Committee.

Deputy Managers: In consultation with the Manager, reviews self assessment reports and other self assessment activities to determine what issues need tracked in the Issues Management System.

Supervisors: Ensure issues raised by continuous self assessment activities get raised to the Deputy Managers.

All employees: Perform continuous self assessment of their performance of their ES&H duties and raise any ES&H issues they discover to their supervisor.

Sub-function c. Lessons Learned Program

Lead Manager – AM for LSOD

Responsibilities and Authorities

Deputy Managers: Determine what issues from the Lessons Learned Program should be tracked in the Issues Management System.

LSOD: Appoint the Lessons Learned Program Manager. Performs the duties of the AM Lessons Learned Coordinator as defined in the OAK Lessons Learned Program Guide. Identifies potential issues from the Lessons Learned Program to be tracked in the Issues Management System and reports those issues to the Deputy Managers.

Sub-function d. External Assessments

Lead Managers – Deputy Managers

Responsibilities and Authorities

Deputy Managers: Appoint the LSO point of contact for external reviews. Approve formal corrective action plans to external reviews. Review external assessments of LSO to determine what issues should be tracked in the Issues Management System.

LSOD/NST/ESD: Develops corrective action plans for external ES&H related reviews of LSO.

B. LLNL Institutional Oversight Functions

This section contains the ES&H functions associated with oversight of LLNL's institutional ES&H activities. In general, the Technical Deputy for Safety and Environment and his three SME organizations have the responsibility of coordinating the implementation of these functions.

1. Function: Requirements Management

This function includes the activities necessary to approve and maintain a list of ES&H standards applicable to LLNL operations through the Work Smart Standards (WSS) process. Changes to the WSS set are processed in accordance with the Work Smart Standards Change Control Board Operating Procedures (UCRL-AR-135510). Exemptions that can be granted by the Livermore Site Office also follow this procedure.

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, approve the list of ES&H standard to be placed in the LLNL contract. Approve, when necessary, LLNL implementation plans for new standards added to the Work Smart Standard set.

ONIF: Approve NIF specific ES&H standard to be incorporated into the LLNL contract.

Senior Safety Advisor: Represents LSO on the Work Smart Standards Change Control Board.

Subject Matter Experts: Recommend changes to the Work Smart Standards set to the Senior Safety Advisor.

2. Function: Program Execution

ES&H should be integrated into program execution activities. Particular areas where the NNSA FRAM assigns responsibilities to the field include budget, allocation of resources, statements of work, and program guidance. This function includes providing input to Secretarial Offices/Deputy Administrators on the adequacy of budgets to support ES&H (normally through review of the ES&H Management Plan) and landlord activities. This function consists of the following sub-functions:

- a. NEPA. The preparation and approval of NEPA documents is a federal function that is intended to present the environmental impacts of a proposed action to the decision maker. LLNL assists LSO in performing this function. This function includes site wide and programmatic NEPA documents. See DOE-LSO-000032 "Programmatic NEPA Compliance Program" for more details.
- b. Budget/Work Plans

Sub-function a. NEPA

Lead Manager – AM for ESD

Responsibilities and Authorities

PSO: Approve Environmental Impact Statements, Supplements to Environmental Impact Statements, and Record of Decisions for EISs.

HQ Program Managers: Preparation of multi-site programmatic NEPA documents that include LLNL programs.

LSO Manager: Approves Environmental Assessments, Supplement Analyses, and Findings of No Significant Impact (FONSI) for Environmental Assessments. Preparation of site wide NEPA documents.

ESD: Appoints the LSO NEPA Compliance Officer (NCO), who is responsible for implementing all the assigned NCO responsibilities in DOE O 451.1A, and approves Categorical Exclusions.

Operation Team Leaders: Preparation of LLNL specific programmatic NEPA documents. Review of other NEPA documents concerning their assigned facilities.

Sub-function b. Budget/Work Plans

Lead Manager – DMNSO

Responsibilities and Authorities

Business Management Division: Issues funding guidance to LLNL, including guidance on how ES&H should be addressed in budget submittals (e.g. the ES&H Management Plan). Overall lead for all budget related matters.

National Security Implementation Division: As delegated in the NNSA FRAM, reviews all submittals to NNSA/HQ (except NIF) concerning budgets, allocation of resources, and program guidance matters to ensure adequacy to support mission, landlord, and ES&H initiatives. CO approves Work Authorization Sheets to allocate funding to programs, issue authorization letters to contractors, and develop and approve statements of work within the contract.

ESD: Approves all submittals to EM/HQ concerning budgets, allocation of resources, and program guidance matters to ensure adequacy to support mission and ES&H initiatives. Has authority to reallocate funding between projects within the EM program, issue program letters to contractors whenever there are funding changes, and approve statements of work within the contract.

LSOD: Reviews ES&H portion of budget submittals (e.g. the ES&H Management Plan) to ensure adequacy to support ES&H initiatives.

3. **Function: LLNL Employee Concerns**

This function includes all the activities necessary to ensure that concerns raised by LLNL (or their subcontractors) employees are properly investigated and resolved. Oversight of the LLNL internal employee concern program is covered under the function Institutional Assessment function. See the OAK ES&H Employee Concerns Procedure (needs revised) for more details.

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

LSOD: Develop and implement the LSO ES&H Employee Concerns program in consultation with the Assistant Manager for BSD and the Service Center.

4. Function: LLNL ES&H Management Plans

This function includes the review and approval of the top level LLNL ES&H Management Plans, including the ISM description as required by DEAR Clause 48 CFR 970.5304-2 Integration of ES&H into Work Planning and Execution, Implementation Plans required by DOE Nuclear Safety Rules, the LLNL Emergency Plan as required by DOE O 151.1A, and other site wide documents requiring NNSA approval. This function consists of the following sub-functions:

- a. LLNL ISM Description. Changes to the LLNL ISM Description are processed in accordance with the ISM Description Change Control Board procedures contained in the LLNL ISM Description (UCRL-AR-132791).
- b. LLNL Radiation Protection Plan, Quality Assurance Plan, and USQ Procedure. These plans and procedures are required to be submitted for approval by the DOE Nuclear Safety Rules, 10 CFR 830 and 835. See the Quality Assurance and Radiation Protection SOPs (when reissued).
- c. LLNL Emergency Plan. DOE O 151.1B assigns the Field Element Manager the responsibility to approve the site emergency plans and certain related documents. See DOE-LSO-000014 "Emergency Management" for more details.
- d. Other Documents. Other documents that usually require approval include ASER and COP program plan. See DOE-LSO-000018 for additional details.

Sub-function a. LLNL ISM Description

Lead Manager – Senior Safety Advisor

Responsibilities and Authorities

Manager: As the Contracting Officer (and as delegated in the NNSA FRAM), approves the LLNL ISM description and revisions to the description. As delegated in the NNSA FRAM, determines the need for a team review of LLNL's ISM description and revisions to the description.

Senior Safety Advisor: Serves as the Manager's representative on the ISM Change Control Board.

Sub-function b. LLNL RPP, QAP, and USQ Procedures

**Lead Managers - Assistant Manager for LSOD for the RPP and QAP
Nuclear Safety Team Leader for the USQ Procedures**

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, review and approve the RPP, QAP, and USQ procedures.

LSOD: Review changes in the LLNL RPP and QAP. Make recommendations to the Manager, through the TDSE regarding the approval of the changes.

NST: Review changes in the LLNL USQ procedures. Make recommendations to the Manager, through the TDSE regarding the approval of the changes.

Sub-function c. LLNL Emergency Plan

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, review and approve the LLNL Emergency Plan and other related documents as required by DOE 151.1B.

LSOD: Review changes in the LLNL Emergency Plan and related documents requiring NNSA approval. Make recommendations to the Manager, through the TDSE regarding the approval of the changes.

Sub-function d. Other documents

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Delegates responsibility to approve other ES&H documents requiring NNSA approval to the appropriate LSO Manager.

Assigned Manager: Reviews and approves documents as delegated.

5. Function: Institutional Assessment

This function includes functions related to the assessment of LLNL's institutional ES&H programs not covered previously, including all the major ES&H subject areas, e.g. radiation protection, industrial hygiene, quality assurance (including software quality assurance), industrial safety, maintenance, packaging and transportation, emergency preparedness, integrated safety management, environmental protection, etc. The responsibility for line oversight is delegated in the NNSA FRAM. This function consists of the following sub-functions:

- a. **Operational Awareness.** Operational awareness is those day to day activities which enable LSO to determine how well LLNL is performing to meet the requirements of the contract. These activities include walkthroughs, surveillances, program reviews, and validation of contractor actions, document reviews, and meetings with contractor staff. See the Facility Operations Awareness Program (DOE-LSO-000228) and DOE Operational Awareness at LLNL (DOE-LSO-000124) for additional details.
- b. **LSO Appraisals.** LSO conducts two kinds of appraisals, periodic and for cause. See DOE-LSO-000087 "LLNL ES&H Appraisal Protocols" for further details.

- c. External Assessments. This includes all ES&H reviews conducted by organizations other than LLNL or LSO.
- d. Appendix F Performance Measures and Metrics.
- e. Reporting Systems Review. See DOE'LSO-000033 "DOE Occurrence Reporting Management" for more details.

Sub-function a. Operational Awareness

Lead Manager – TDSE

Responsibilities and Authorities

All LSO Organizations/ONIF: Prepare and approve plans that detail the operational awareness implementation.

All Employees: Implement the approved operational awareness implementation plans, input operational awareness activities and outcomes into the FISHE system. Stop contractor work when, in their best judgment, they identify an imminent threat of danger to the life or health of any individual. Facility Representatives have additional stop work authorities delineated in AMLSO-SOP-00062.02.0 and Contracting Officers Directive 98-1 for contract W-7405-ENG-48.

Sub-function b. Appraisals

Lead Manager – TDSE

Responsibilities and Authorities

Manager: Issues the final report to LLNL. Approves LLNL CAP.

TDSE: Approve the scope of all ES&H appraisals. Appoints the Appraisal Team Leader. Reviews the appraisal report and determines the issues to be tracked by the Issues Management System.

Appraisal Team Leader: Selects the team members, and in conjunction with the team and within the approved scope, develops the performance objectives and criteria for the appraisal. Ensures the appraisal is conducted in accordance with SOP.

Sub-function c. External Assessments

Lead Manager- TDSE

Responsibilities and Authorities

Manager: Approve corrective action plans to external reviews of LSO, and approve LLNL corrective action plans when required. Determine allowability/unallowability of fines/penalties and related costs.

Office of NIF: Coordinate NIF specific reviews, approves NIF specific corrective action plans.

ESD: Coordinate all reviews by environmental regulatory agencies.

BMD: Coordinate all reviews by IG or GAO.

LSOD: Coordinate all ES&H reviews by OA and any other organization not specifically mentioned in this sub-function.

Senior Safety Advisor: Coordinate all reviews (except NIF specific) by the DNFSB staff and Office of Enforcement

Sub-function d. Contractor Performance Measure Process

Lead Manager – Deputy Manager for NSO

Responsibilities and Authorities

Manager: Approves the final ratings for LLNL, with the concurrence of the Administrator. Approves the negotiating strategy on the performance objectives and measures. Approves the Assessment Management Plan.

Deputy Managers: Make assignments for assessment of particular measures to LSO organizations.

BMD: Negotiates the performance objectives and measures.

All LSO Organizations/ONIF: Prepare Assessment Management Plans for their assigned measures and assess their functional area in accordance with that plan.

Sub-function e. Reporting Systems Review

Lead Managers - Assistant Manager for LSOD for safety and health reporting

Assistant Manger for ESD for environmental reporting

Responsibilities and Authorities

Assistant Manager for LSOD: Ensures LSO review of lab wide reporting data, e.g. CAIRS data, radiation exposures. Identifies potential issues and makes recommendations to the Manager based on these reviews.

Assistant Manger for ESD: Ensures LSO review of lab wide environmental reporting data, e.g. ASER. Identifies potential issues and makes recommendations to the Manager based on these reviews.

Senior Safety Advisor: Acts as the LSO PAAA coordinator. Reviews all LLNL PAAA activities.

C. LLNL Facility Oversight Functions

This section contains the ES&H functions associated with the oversight of LLNL ES&H activities at the facility or individual operations level. While some of the functions and LSO systems are similar to those in Section B LLNL Institutional Oversight Functions, the responsibilities and authorities are normally different. In general the Operations Teams have the responsibility of coordinating the implementation of these functions.

1. Function: Facility ES&H Management Plans

This function includes the review and approval of the facility level LLNL ES&H Documents other than safety basis documents. Examples include: Documentation prepared by the contractor to demonstrate conformance with the guidelines of DOE 5480.19 Conduct of Operations and Training Implementation Matrices per DOE 5480.20A, radioactive waste generator requirements per DOE O 435.1, closure plans per DOE O 435.1, use of non-DOE facilities for radioactive waste, etc.

Lead Manager – TDSE

Responsibilities and Authorities

TDSE: Approves closure plans for radioactive waste management facilities at LLNL per the RCRA permit Approves radioactive waste acceptance criteria.

LSOD: Approves hazard surveys and hazard assessments required by DOE O 151.1A.

Operations Team Leads: Approves all other documents unless assigned to the PSO/CSO by the applicable DOE Directive. Also approves where the PSO/CSO has delegated that authority to LSO.

2. Function: Nuclear Safety Basis Documents

This function includes the review and approval of nuclear safety basis documents and includes the following sub-functions:

- a. **Initial hazard classification.** This function involves the approval of the initial facility/activity hazard classification. All facilities/activities are classified according to hazard, which partially determines the standards applied to the operations and the level of DOE involvement in its authorization. For new facilities/activities, the initial hazard classification determines the level of analysis required. The final hazard classification is based on the final safety basis documentation. See LSO SOP “Review and Approval of Nuclear Safety Documents” for additional details.
- b. **PDSAs, DSAs and TSRs.** Review and approves PDSAs, DSAs and TSRs for nuclear facilities. See LSO SOP “Review and Approval of Nuclear Safety Documents” for additional details.
- c. **Authorization Agreements.** This sub-function includes the approval, verification and maintenance of authorization agreements. Authorization agreements specify contractually binding commitments relating to design, operation, and administrative controls that govern the conduct of an activity or operation of Category 2 nuclear facilities. See LSO SOP “Authorization Agreement Development, Verification and Maintenance” for additional details.
- d. **USQs.** The concept of the USQ was established to allow contractors to make changes and to conduct experiments without DOE approval, as long as these changes do not explicitly or implicitly affect the authorization basis or result in a TSR change. See LSO SOP “Unreviewed Safety Question Process” for additional details. Responsibilities and Authorities for amendments to DSAs due to positive USQs are the same as those in sub-function b. The approval of LLNL’s USQ procedure is covered under function B.4 LLNL ES&H Management Plans.

Sub-function a. Initial hazard classification

Lead Manager - Nuclear Safety Team Leader

Responsibilities and Authorities

EM-1: Approves initial hazard classifications for EM nuclear facilities

LSO Manager: As delegated in the NNSA FRAM, approves initial hazard classifications for NNSA nuclear facilities.

Operations Team Leaders: Recommends initial hazard classification to the approval authority.

Sub-function b. PDSAs, DSAs and TSRs

Lead Manager – Nuclear Safety Team Leader

Responsibilities and Authorities

EM-1: Approves PDSAs, DSAs and TSRs for EM nuclear facilities

LSO Manager: Appoint Review Team Leaders for NNSA PDSAs, DSAs and TSRs. As delegated in the NNSA FRAM, approves PDSAs, DSAs and TSRs for NNSA Category 2 and 3 nuclear facilities. (Includes approval of nuclear safety design criteria, where required by 10 CFR 830.) Approves LSO policies and procedures governing the review and approval of DSAs and TSRs

NST: Prepare LSO policies and procedures governing the review and approval of DSAs and TSRs. Oversees the review and approval process.

Operation Team Leaders: Recommend Review Team Leaders to the Approval Authority

Sub-function c. Authorization Agreements

Lead Manager – Nuclear Safety Team Leader

Responsibilities and Authorities

EM-1: Approves authorization agreements for EM nuclear facilities.

LSO Manager: As delegated in the NNSA FRAM, approves authorization agreements for NNSA nuclear facilities.

BMD: Modifies the contract to include approved authorization agreements.

Operation Team Leaders: Prepare/review and concur on authorization agreements.

NST: Concurs in authorization agreement.

Sub-function d. USQs

Lead Manager – Nuclear Safety Team Leader

Responsibilities and Authorities

NST: Prepare LSO policies and procedures governing the USQ process.

Oversee the LLNL process for USQs.

3. **Function: Non-Nuclear Safety Basis Documents**

This function includes the review and approval of all non-nuclear safety basis documents and includes the following sub-functions:

- a. **Hazard classification.** This function involves the approval of the initial facility/activity hazard classification. All facilities/activities are classified according to hazard, which partially determines the standards applied to the operations and the level of DOE involvement in its authorization and determines the level of analysis required. See UCRL-ID-150214, R1 "Safety Basis Requirement for non-nuclear Facilities at Lawrence Livermore National Laboratory".
- b. **Safety Analysis and OSRs.** Review and approve safety analyses and OSRs for non-nuclear facilities. See DOE-LSO-000223 "Review and approval of Non-Nuclear Authorization Documents" (needs revised) and UCRL-ID-150214.R1 for more details.
- c. **USIs and SQRs.** The concept of the USI/SQR was established to allow contractors to make changes and to conduct experiments without DOE approval, as long as these changes do not explicitly or implicitly affect the authorization basis or result in an OSR change. Responsibilities and authorities for amendments to the authorization basis due to a positive SAR/USI are the same as detailed in sub-function b. See DOE-LSO-000223 "Review and Approval of Non-Nuclear Authorization Documents" and UCRL-ID-150214.R1 for more details.

Sub-function a. Hazard classification

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, approve accelerator hazard classification.

ONIF Federal Field Manager: Concurs on classification of NIF facilities.

Operations Team Leaders: Reviews LLNL's classification of other non-nuclear facilities.

Sub-function b. Safety Analysis and OSRs

Lead Manager - Assistant Manager for LSOD

Responsibilities and Authorities

Manager: As delegated in the NNSA FRAM, approve safety analysis and OSRs for accelerators. Approve safety analysis and OSRs for all other non-nuclear facilities except office buildings and NIF. Appoint review team leaders.

ONIF Federal Field Manager: Approves the NIF safety analysis, with LSO Manager concurrence.

LSOD: Prepare LSO policies and procedures governing the review and approval of non-nuclear safety analysis and OSRs. Oversees the review and approval process.

Operations Team Leaders: Recommend review team leaders for safety

analysis and OSR reviews.

Sub-function c. USIs and SQRs

Lead Manager - Assistant Manager for Livermore Safety Operations Division

Responsibilities and Authorities

Livermore Safety Operations Division: Prepare LSO policies and procedures governing the USI/SQR process. Oversee the LLNL process for USIs/SQRs.

4. **Function: Project Management**

This function includes all the project management functions that affect ES&H and includes the following sub-functions:

- a. NEPA. The preparation and approval of NEPA documents is a federal function that is intended to present the environmental impacts of a proposed action to the decision maker. LLNL assists LSO in performing this function. See DOE-LSO-000032 "Programmatic NEPA Compliance Program" for more details.
- b. Design Review. The level of ES&H review of design documentation by LSO is determined by the project manager based on the hazard, cost, and complexity of the project. See function C.2.b for nuclear facility requirements.
- c. Overall Project Management

Sub-function a. NEPA

Lead Manager - Assistant Manager for ESD

Responsibilities and Authorities

PSO: Approve Environmental Impact Statements, Supplements to Environmental Impact Statements, and Record of Decisions for EISs.

Manager: Approves Environmental Assessments, Supplement Analyses, and Findings of No Significant Impact (FONSI) for Environmental Assessments.

ESD: Appoints the LSO NEPA Compliance Officer (NCO). Responsible for implementing all the assigned NCO responsibilities in DOE O 451.1A.

Approves Categorical Exclusions.

Operation Team Leaders: Review of NEPA documents.

Project Managers: Preparation of NEPA documents for individual projects.

Sub-function b. Design Review

Lead Manager - AMNSID

Responsibilities and Authorities

Project Managers: Determine the need for design reviews by LSO and approve disposition of LSO design review comments.

Sub-function c. Overall Project Management
Lead Manager – AMNSID

Responsibilities and Authorities

Project Managers: Responsible to oversee the implementation of ES&H requirements for the project.

5. Function: Operations Authorization

This function includes conduct of Operational Readiness Reviews (ORR), Readiness Assessments (RA), and Accelerator Readiness Reviews (ARR) for startup or restart of facilities/operations in accordance with the applicable DOE requirements. Prior to authorizing the startup or restart of a facility or activity, steps need to be taken to ensure the readiness of the facility. DOE Orders detail specific requirements for nuclear facilities and accelerator facilities. Some type of operational readiness review activities may be required for other facilities. Additionally, separate authorization requirements exist for Strategic Systems. See AMNS-SOP-000162 “LSO Procedures for Startup and Restart of Facilities” for more details.

Lead Manager - AMLSOD

Responsibilities and Authorities

EM-1: Authorizes operations in EM nuclear facilities.

Manager: As delegated in the NNSA FRAM, authorize operations in NNSA nuclear facilities for all cases except those designated for the Secretary of Energy/NNSA Administrator in DOE O 425.1C. NNSA/HQ retains startup authority for new Category 2 nuclear facilities. As delegated in the NNSA FRAM authorizes operations in NNSA accelerator facilities. As delegated in the NNSA FRAM, determine the level of readiness necessary for the startup of non-nuclear facilities and exercise all startup authority.

ONIF Federal Field Manager: Approve review plans for NIF Readiness Assessments and approve operations covered by the NIF Readiness Assessment review. Approval for MSAs (Critical Decision 4) is by the Secretary.

LSOD: Prepare LSO policies and procedures governing the ORRs, RAs, and ARRs. Oversees these review processes. Forwards Startup Notification Reports to EM and NNSA. Appoints the LSO Aviation Manager, who approves all aviation activities at LLNL

Operations Team Leaders: Recommends ORR/ARR Team Leaders to the Approval Authority. Appoints RA team leads.

6. Function: Unexpected Occurrence Management

This function includes the following:

- a. ORPS. Reporting of off-normal and unusual occurrences are required by DOE O 232.1. See DOE-LSO-000033 “Occurrence Reporting Management” (To be reissued) for more details.
- b. Accident categorization, investigation, and completion of DOE approved

corrective actions as required by DOE O 225.1A. See DOE-LSO-000061 "Process and Procedures for Conducting Accident Investigations" for more details.

Sub-function a. ORPS

Lead Manager - AMLSOD

Responsibilities and Authorities

LSOD: Prepare LSO policies and procedures governing Occurrence Reporting. Analyze trends in LLNL Occurrence Reports.

Facility Reps/Operations Team Leaders: As delegated in the NNSA FRAM, approve final occurrence reports as required by DOE M 232.1-2 and DOE-LSO-000061.

Sub-function b. Accident Investigation

Lead Manager - AMLSOD

Responsibilities and Authorities

Manager: Appoints Type B Accident Investigation Team Leaders. Issues final Type B Accident Investigation Reports.

Assistant Manager for LSOD: Prepare LSO policies and procedures governing Accident Investigations. Ensures LSO readiness to conduct Type B Accident Investigations. Maintains tracking of corrective actions in response to accident investigations tracked in CATS or local systems.

Operations Team Leaders: Verifies corrective actions in response to accident investigation report findings are complete and effective.

7. **Function: Facility Assessment**

This function includes functions related to the assessment of ES&H programs at individual (or groups of) facilities not covered previously and consists of the following sub-functions:

- a. **Operational Awareness.** Operational awareness is those day to day activities which enable LSO to determine how well LLNL is performing to meet the requirements of the contract. These activities include walkthroughs, surveillances, program reviews, and validation of contractor actions, document reviews, and meetings with contractor staff. See the Facility Operations Awareness Program (DOE-LSO-000228) and DOE Operational Awareness at LLNL (DOE-LSO-000124) for additional details.
- b. **LSO Appraisals.** LSO would normally only conduct a for cause review of an individual facility, but these responsibilities and authorities apply to routine appraisals. See the LSO Appraisal SOP for more detailed responsibilities and authorities. See DOE-LSO-000087 "LLNL ES&H Appraisal Protocols" for further details.
- c. **External Assessments.** This includes all ES&H reviews conducted by organizations other than LLNL or LSO.

Sub-function a. Operational Awareness

Lead Managers – Operations Team Leaders

Responsibilities and Authorities

LSOD: Establishes policies and procedures regarding the LSO Facility Rep program and the Safety System Oversight program.

Operations Team Leaders: Prepare and approve plans that detail the operational awareness implementation for the facilities assigned to their team. Maintain awareness of the operational awareness findings from team members.

Facility Reps: Maintain awareness of assigned LLNL facilities/operations in accordance with OAK STD 1063 and OAIPs

Subject Matter Experts: Support Facility Reps and OTLs in maintaining awareness of ES&H program/concerns in their assigned operations/facilities.

Safety System Oversight Personnel: Maintain awareness of the design and operability of designated safety systems in accordance with LSO Safety System Oversight program.

All Employees: Stop contractor work when, in their best judgment, they identify an imminent threat of danger to the life or health of any individual. Facility Representatives have additional stop work authorities delineated in OAK SD 1063.1 and Contracting Officers Directive 98-1 for contract W-7405-ENG-48.

Sub-function b. Appraisals

Lead Manager – Operations Team Leaders

Responsibilities and Authorities

Manager: Issues the final report to LLNL.

Operations Team Leader: Approve the scope of all facility specific ES&H appraisals. Appoints the appraisal team lead. Reviews the appraisal report and determines the issues to be tracked by the Issues Management System.

Appraisal Team Lead: Selects the team members, and in conjunction with the team and within the approved scope, develops the performance objectives and criteria for the appraisal. Ensures the appraisal is conducted in accordance with SOP.

Sub-function c External Assessments

Lead Manager – TDSE

Responsibilities and Authorities

Manager: Approve corrective action plans to external reviews of LSO, and approve LLNL corrective action plans when required. Determine allowability/unallowability of fines/penalties and related costs.

BMD: Acts as the POC for the IG or GAO for facility specific reviews.

LSOD: Acts as the POC for OA and any other organization for facility specific ES&H reviews.

ESD: Acts as the POC for environmental regulatory agencies for facility specific reviews.

Operations Team Leaders: Acts as the POC with LLNL for all external facility specific reviews. Overall lead for this function.

Senior Safety Advisor: Acts as the POC for the DNFSB staff and Office of Enforcement for facility specific reviews.

Appendix A

Operations Teams

Team #	Team Name	Division
1	Superblock	NSID
2	Explosives	NSID
3	Physics and Advanced Technologies	NSID
4	Technology Research, Institutional, and Infrastructure	LSOD
5	Buildings 231 and 251, Packaging and Transportation Operations	LSOD
6	Environmental Programs	ESD
7	Nonproliferation, National Security, and Intelligence	NSID
8	National Ignition Facility Project	ONIF