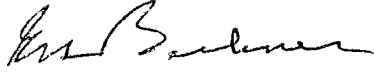




Department of Energy
National Nuclear Security Administration
Washington, DC 20585

June 4, 2004

MEMORANDUM FOR MANAGER, SANDIA SITE OFFICE

FROM: Everet H. Beckner 
Deputy Administrator
for Defense Programs

SUBJECT: **ACTION:** APPROVAL OF THE SANDIA SITE OFFICE
(SSO) FUNCTIONS, RESPONSIBILITIES AND
AUTHORITIES MANUAL (FRAM)

In accordance with my responsibilities and authorities covered in Section 3.4 of the National Nuclear Security Administration (NNSA) FRAM, I approve the attached SSO FRAM submitted on February 6, 2004. Our review has determined that the submitted FRAM covers all needed functions, responsibilities and authorities required by NNSA FRAM. Also, the Site Office responsibilities and authorities for quality assurance and software quality assurance have been adequately covered in Sections 4.6 and 4.7 for meeting the requirements of Action 1.4.4 of the Quality Assurance Improvement Plan and Commitment 4.1.6 of the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-1.

During our review we noted that the flow down of safety management responsibilities and authorities from Headquarters to Site Office, shown in Figure 2, is not consistent with NNSA FRAM. You are requested to correct this in the next update of the FRAM.

Please note that we plan to update the NNSA FRAM by October 15, 2004, to be consistent with Department of Energy (DOE) FRAM, DOE M411.1C. This will require an update of the Site Office FRAM within 90 days of the issuance of the updated NNSA FRAM.

We are requesting you to ensure that the Site Office FRAM, including all needed processes and procedures, is fully implemented in a timely manner. We plan to verify the FRAM implementation, as required by NNSA FRAM, in the near future in conjunction with other planned reviews.

If you have questions, please contact Rabi Singh at (301) 903-5864.

Attachment

cc w/o attachment:
L. Brooks, NA-1
T. Przybylek, NA-2



Printed with soy ink on recycled paper



National Nuclear Security Administration

Sandia Site Office
P.O. Box 5400
Albuquerque, New Mexico 87185-5400



FEB 06 2004

MEMORANDUM FOR: Dr. Everet H. Beckner, Deputy Administrator for Defense Programs, NNSA (NA-10)

FROM: Patty Wagner, Manager *Patty Wagner*

SUBJECT: Sandia Site Office Functions, Responsibilities, and Authorities Manual

In accordance with your November 4, 2003 request, the National Nuclear Security Administration (NNSA) Sandia Site Office (SSO) is submitting the Functions, Responsibilities, and Authority Manual (FRAM) for your approval. As requested, this document complements the NNSA FRAM and addresses the respective action item of the Quality Assurance Improvement Plan for Defense Nuclear Facilities.

If you have any questions pertaining to the SSO FRAM, please contact Ken Zamora, the SSO Assistant Manager for Oversight and Assessment at (505) 845-6869, or Daniel Dilley, the SSO ISMS Program Manager, at (505) 845-6246.

Attachment

cc w/attachment:

S. Goodrum, SSO
M. McFadden, SSO
K. Zamora, SSO
B. Mullen, SSO
L. Adcock, SSO
J. Loftis, SSO
D. Pellegrino, SSO
M. Wood, SSO
G. Schmidtke, SSO
D. Dilley, SSO
L. Maestas, NNSA, SC

SANDIA SITE OFFICE MANUAL

**SANDIA SITE OFFICE SAFETY MANAGEMENT
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES
MANUAL (SSO FRAM)**

January 27, 2004

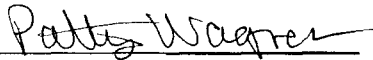


Distribution: SSO, NNSA Headquarters, NNSA Service Center

Sandia Site Office
Manual of Safety Management Functions,
Responsibilities, and Authorities

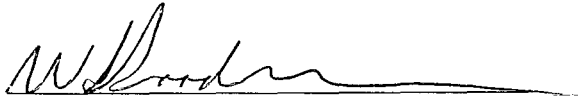
The National Nuclear Security Administration (NNSA) Sandia Site Office (SSO) Safety Management Functions, Responsibilities, and Authorities Manual (FRAM) defines and documents SSO federal implementation of Integrated Safety Management. The SSO Manager is responsible and accountable for ensuring the safety and security of operations at Sandia National Laboratories (SNL). The SSO Manager executes the NNSA direction and guidance through the Sandia Corporation Managing and Operating Contract. Specific responsibilities and authorities are detailed amongst each Assistant Manager (AM) to enable effective execution of the NNSA mission objectives.

This document presents the safety management functions for SSO and the associated responsibilities and authorities to perform those functions. The SSO Manager with input and feedback from the SSO staff approves this manual.

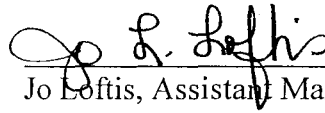


Patty Wagner, Manager
Sandia Site Office

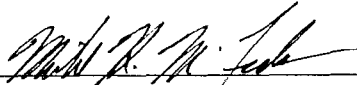
The SSO Deputy Manager and SSO Assistant Managers understand their Safety Management functions and responsibilities as defined in this FRAM and their signatures below document their recognition and concurrence with these assignments.



W. Steven Goodrum, Deputy Manager



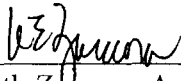
Jo Loftis, Assistant Manager
Safeguards and Security



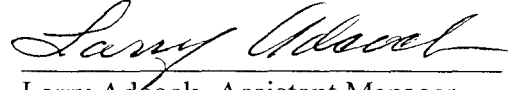
Michael McFadden, Assistant Manager
Facilities and Project Management



Daniel Pellegrino, Assistant Manager
Defense Programs and Quality
Assurance



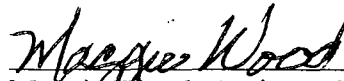
Kenneth Zamora, Assistant Manager
Oversight and Assessment



Larry Adcock, Assistant Manager
Science and Technology



William Mullen, Assistant Manager
Nuclear Facilities and Safety Basis



Maggie Wood, Assistant Manager
Contract Administration and Business
Management

REVISION LOG

Revision Number	Affected Pages	Date	Reason for Revision

TABLE OF CONTENTS

REVISION LOG	i
1. INTRODUCTION	1
2. PURPOSE	1
3. BACKGROUND	2
4. SCOPE	3
5. ORGANIZATIONAL RESPONSIBILITIES	3
Figure 1: SSO Organizational Chart.....	4
6. DELEGATION OF AUTHORITY	8
7. OVERVIEW OF MANAGEMENT INTERFACES	9
8. CHANGE CONTROL	10
Figure 2 – SSO Flow of Responsibilities and Authorities.....	11
9. SSO FRAM FUNCTIONAL RESPONSIBILITY ASSIGNMENTS	12
Appendix A – SSO INTEGRATED SAFETY MANAGEMENT	39
Figure A-1: ISMS Core Functions.....	39
Figure A-2: Safety Management System.....	40

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1. INTRODUCTION

The Department of Energy (DOE) is committed to conducting work efficiently and in a manner that ensures protection of the worker, the public, and the environment. DOE defines its safety¹ management functions and responsibilities in Policy 411.1, *Safety Management Functions, Responsibilities and Authorities Policy* and DOE Manual 411.1-1C, *Safety Management Functions, Responsibilities and Authorities* (DOE FRAM). On October 15, 2003, the National Nuclear Security Administration (NNSA) Administrator approved the *NNSA Safety Management Functions, Responsibilities, and Authorities Manual* (NNSA FRAM) that further defines NNSA safety management roles and responsibilities. The Sandia Site Office (SSO) developed the *SSO Functions, Responsibilities and Authorities Manual*, (SSO FRAM) in response to the NNSA FRAM to document the SSO Federal implementation of Integrated Safety Management² (ISM). The SSO FRAM is written to provide clear roles and responsibilities to the NNSA in implementing safety management.

In addition to satisfying requirements in the NNSA FRAM to document safety management roles and responsibilities, the SSO FRAM serves as the baseline for all SSO Federal safety related functions and as such serves as the SSO ISM System (ISMS) Description. During the development of the SSO FRAM, ISO 9001 and the DOE Order 414.1A general requirements and 10 quality assurance criteria were considered. Seven of the 10 were determined to be applicable and were included in the SSO FRAM. Criteria 6, Design; 7 Procurement; and 8, Inspection and Acceptance Testing were not found to be applicable to current SSO operations; these functions are implemented by SNL, and the SSO role is specific to oversight (reference 10 CFR 830). ISO 9001 requirements were reviewed and applicable requirements were incorporated into the SSO FRAM. SSO has elected to develop a Quality Assurance Program (QAP) as a separate document to address the requirements in DOE Order 414.1A, 10 CFR 830, and ISO 9001.

2. PURPOSE

SSO is the risk acceptance agent for the NNSA and provides operational oversight and contract administration for work conducted by Sandia Corporation, the company that is under contract to operate the Sandia National Laboratories (SNL). The SSO Site Office Manager (SOM) is responsible and accountable for ensuring the safety of operations at SNL. The SOM provides direction and guidance to the Assistant Manager for Contract Administration and Business Management (AMCABM) who executes the requirements to the SNL contractor and subcontractor(s). The SSO FRAM documents the assignment of safety functions and responsibilities to each Assistant Manager as well as the

¹ Throughout this document, the term “safety” is synonymous with “environment, safety, and health” and encompasses protection of the public, workers, and the environment.

² ISM is defined in the Department of Energy (DOE) Implementation Plan 95-2, *Integrated Safety Management*, and DOE Policy 450.4, *Safety Management System Policy*.

mechanisms used to carry out these responsibilities to enable effective execution of NNSA program direction. The authority to perform these functions is derived from a variety of sources (e.g., NNSA FRAM, DOE directives, contractual requirements). Each safety function detailed in Section 9 of this document includes at least one reference to the source of the authority to perform the function. These functions, responsibilities, and authorities are controlled and maintained through the SSO FRAM and are further delineated in the contract with Sandia Corporation as appropriate.

Each Assistant Manager is responsible for defining and documenting how each assigned function and responsibility are to be implemented. In some instances the appropriate implementation mechanism is referenced in Section 9, SSO FRAM Functional Responsibility Assignments, of this document. In more complex instances, the responsible Assistant Manager may develop a lower tier Functions, Roles and Authorities (FRA) document specific to their functional area to document the implementation of their responsibilities.

3. BACKGROUND

Within SSO, the safety management functions, responsibilities, and authorities for protection of the environment, and the health and safety of workers and the public are founded upon the principles and functions of ISM to accomplish SSO mission requirements. SSO employees are responsible for the safe administration of contracted work performed by SNL. The fundamental premise of the SNL ISMS is to “Perform Work Safely.” The responsibility of administering the contract with Sandia for ES&H activities assists with this determination of performing the work safely. To assist in achieving this objective, SSO supports contractor workforce initiatives and involvement in achieving safety excellence. Furthermore, SSO continues to actively participate in many of the SNL ISMS processes, committees, and working groups to maintain involvement in the development, implementation, and continuous improvement of the ISMS as applied throughout SNL.

The ISMS guidance promotes integration between ES&H programs and the management of work. It also provides a common understanding and a more systematic way to manage ES&H. This system promotes the full inclusion and integration of ES&H into the totality of work, such that it is an integral part of the whole – not a stand-alone program. The Appendix A includes examples of SSO’s implementation mechanisms for ISMS. While considering the seven guiding principles of ISM, a number of assumptions were used in the development of the SSO FRAM. They form the basis of the SSO safety management approach to managing mission work including the work associated with maintaining a safe, secure, and reliable nuclear weapons stockpile. These assumptions are as follows:

1. The responsibility, authority, and accountability within SSO shall be clearly defined.
2. SSO is responsible and accountable for planning, implementing, and self-assessing of its mission related work.

3. Development of the budget is part of the process that “balances priorities” among environment, safety, security, quality, and program needs. The budget formulation and execution functions will be integrated at Headquarters. SSO will be involved in budget formulation and content. At a minimum, all legal requirements for environment and regulatory compliance will be met.
4. SSO shall set performance objectives for SNL mission requirements.
5. SSO oversight of Sandia Corporation will utilize available self-assessment data and will be accomplished as close to the work as practical and as required by DOE P 450.5, *Line Environment, Safety and Health Oversight* and the NNSA FRAM.
6. Safety management authorities that are delegated to SSO will be captured in Section 9 of the SSO FRAM. The SOM will further delegate authority to the extent feasible, based upon the capability of the receiver to accomplish the task.
7. SSO staff will be assigned based upon a vision of “steady state/normal operations.” When required, additional DOE assets and/or contract support shall supplement staff.
8. SSO will participate with NNSA-HQ on the development of Quality Assurance Policies and will have oversight and assessment responsibilities for Sandia Corporation implementation and performance.

4. SCOPE

This manual documents SSO safety management functions, responsibilities, and authorities and corresponding mechanisms (and indicates on going efforts to develop SSO implementing mechanisms). The SSO FRAM applies to all SSO personnel who provide technical direction and oversight of Sandia Corporation performance and execution of work at SNL. This manual addresses the safety management FRAM for planning, funding, performing, assessing, improving, and enforcing the requirements necessary to work safely, including the establishment of standards for which the SSO Manager is responsible. The objective of the SSO FRAM will be to better document functions, responsibilities, and authorities for the SSO staff to comply with and adhere to the implementation of safety management while executing their work activities. In addition, the SSO will document safety delegations of authority from Headquarters (NNSA-HQ) organizations to the SSO management, where those delegations have been made separate from DOE directive responsibility statements.

5. ORGANIZATIONAL RESPONSIBILITIES

General Statement of Functions: The Sandia Site Office (SSO) provides operations, production, and program oversight and contract administration for Sandia National Laboratories (SNL) activities and serves as the risk acceptance agent for the NNSA. The SSO is responsible for: (1) the safe and secure operation of SNL facilities; (2) supporting NNSA programs to ensure their success in accordance with their expectations; and (3)

ensuring the long-term viability of SNL to support NNSA programs and projects. The following paragraphs detail specific responsibilities of the offices within SSO and in addition, includes a summary of ES&H related responsibilities. Figure 1 shows the SSO organizational chart.

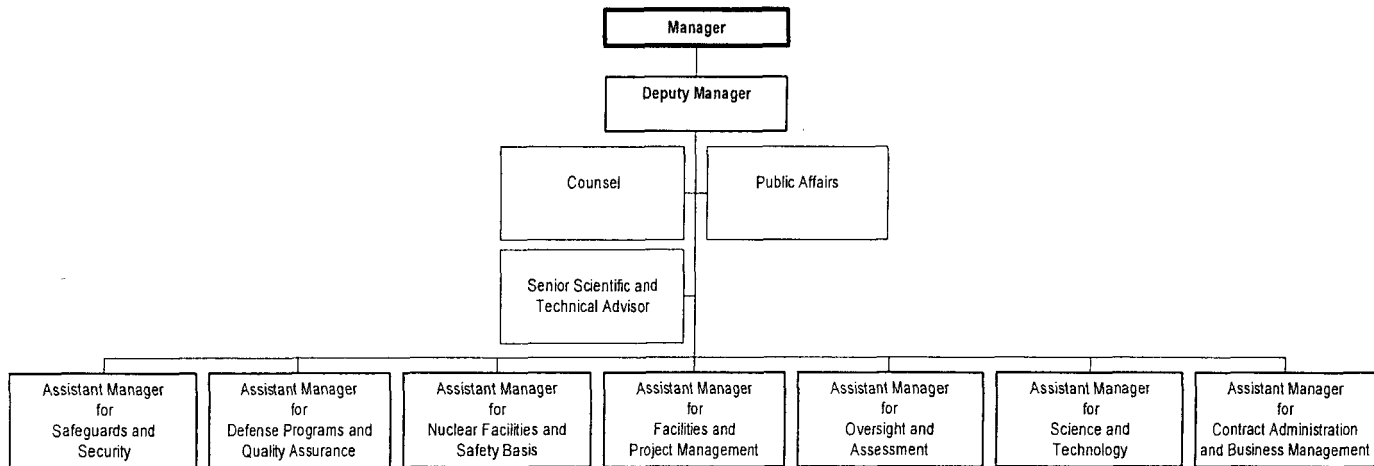


Figure 1: SSO Organizational Chart

Office of the Manager: The SOM serves as the SSO Senior Executive and Contracting Officer, with comprehensive responsibility for overall management of the Site Office and M&O contractor in matters pertaining to execution of contract terms and conditions, and programmatic requirements. This Office serves as the primary advisor to the NNSA/HQ on all matters affecting the SNL M&O contract and appoints Contracting Officer Representative(s) for the contract. Site Counsel provides legal counsel to the Site Manager on all legal matters affecting the site and liaison with the local U.S. Attorney on local NNSA litigation; assists Headquarters in the development of legal policy; and coordinates SSO legal activities with Headquarters. Public Affairs, Information & Intergovernmental Relations provides interface with the community, regulators and interest groups; produces site-specific communications; and implements a site-specific external relations and communications program to include community and media relations, protocol, intergovernmental relations, and employee communications.

The **Deputy Site Office Manager** is responsible for the direction of programs, projects and administrative functions and activities assigned to SSO and serves as the Acting Manager in the absence of the Manager. The Deputy SOM acts for the SSO Manager when delegated and represents the Manager for SSO 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 SOM also recommends fee allocation, fee awards (including penalties), and performance-based incentives to the SSO Manager.

The **SSO Counsel** reports to the SOM on programmatic, administrative, and functional matters and to the 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 SSO. Counsel is directly accountable to the SOM for all matters of law and legal policy at SSO. 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 SSO Counsel is the single point of contact, representing the SOM pertaining to the interpretation, review, and approval of legal documents.

The **Public Affairs Specialist** reports to the SOM and Deputy SOM for the SSO and is responsible for all public affairs matters that are connected with the functions of SSO. In this capacity the Public Affairs Specialist is responsible for the development, management and oversight of the SSO 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 Specialist 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. In accordance to basic ISMS principles to have authorities, responsibilities, and accountabilities defined, the SSO Public Affairs Specialist is the single point of contact, representing the Office when activities pertains to the interpretation, review, and approval of public affairs related documents or activities.

The **SSO Senior Scientific and Technical Advisor** is responsible for providing technical advice to the SOM and acts as the principle contact for all matters relating to technical issues associated with the safe operation of the SNL performed in support of the DOE strategic mission.

The **Assistant Manager for Defense Programs & Quality Assurance (AMDPQA)** is a Contracting Officer Representative and is responsible for direction, day-to-day production and programmatic oversight, and contract administration activities. NNSA Nuclear Weapon Programmatic support includes: Ensures site readiness to respond to new requirements and is supportive of NNSA production readiness policies; Directed Stockpile Work, Campaign, and Readiness in Technical Base Facilities oversight, supports planning and execution processes through identification of site issues and impacts to priorities established by NNSA Program Managers; ensures appropriate site level coverage of program in SNL budget documents; provides, product status, validation of management systems, and design/production interface. Coordinates and facilitates resolution of nuclear weapon complex, cross-platform, cross-laboratory, and long-term issues involving SNL support to other sites, including the Integrated Weapons Activity Plan (IWAP). Resolves competing requirements not resolved at a lower level for resources affecting SNL support to the nuclear weapons complex. Ensures Sandia processes for tracking potential weapon safety issues to closure is functioning, and results

are being disseminated to all potentially affected NNSA sites. Quality Assurance and Control: Serves as Site Office Quality Assurance Agency (QAA); establishes local procedures for quality assurance activities and performs product acceptance for the U.S. government and the United Kingdom; performs quality surveys of WR components and manufacturing processes; and supports quality and process improvement initiatives such as six sigma and lean manufacturing.

The **Assistant Manager for Safeguards and Security (AMSS)** is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration for all Sandia activities related to Safeguards and Security (S&S) and Intelligence. The AMSS 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. 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 AMSS 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 SNL Site Safeguards and Security plan and other pertinent security plans. The AMSS provides oversight to ensure the effective implementation of the overall SNL 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.

The **Assistant Manager for Contract Administration and Business Management (AMCABM)** is a Contracting Officer Representative and is responsible for providing direction, day-to-day oversight and contract administration activities related to the Sandia 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. Also responsible for the coordination of the SSO's evaluation of contractor performance through the development of the Performance Evaluation Report and annual Performance Evaluation Plan. Oversees and facilitates the implementation of DOE and 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. Provides direction, advice, processes and systems to facilitate SSO internal management systems for federal program direction budgeting, information technology, records management, and training. Responsible for the SSO directives system process includes the review, comment, and resolution of DOE-HQ Policies, Orders, Manuals, Guides, Rules, and technical standards, along with the SSO Orders, Manuals, and Notices and incorporation of these directives into the Sandia contract. AMCABM is also responsible for establishing the SSO business management system.

The **Assistant Manager for Facilities and Project Management (AMFPM)** 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 Management (EM) funded projects. Facilities Management: Provides oversight and contract administration of the SNL Ten-Year Comprehensive Site Plan process; infrastructure and facilities program execution; SNL maintenance; and of the facilities and infrastructure recapitalization program. 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 SNL contractor property systems with respect to property acquisition, control, and disposition at SNL sites. Provides oversight and contract administration of Environmental Management funded projects, including environmental restoration projects and activities involving all aspects of cleanup and long-term stewardship.

The **Assistant Manager for Nuclear Facilities and Safety Basis (AMNFSB)** is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities regarding safe nuclear operations in support of mission objectives. The AMNFSB is responsible for the planning, implementation, and operations at the SNL nuclear facilities to ensure programmatic objectives are met. The AMNFSB is responsible for Interfacing with the Defense Nuclear Facilities Safety Board as the SSO point of contact for all SNL site-specific issues. In addition, the AMNFSB is responsible for coordinating all Sandia Site Price Anderson Amendment Act (PAAA) activities and for providing oversight for daily operations at the SNL TA-V Facilities; supports long term planning of facility operations and mission/program activities. The AMNFSB is responsible for ensuring satisfactory development and implementation of the safety basis requirements for all SNL Sites both nuclear and non-nuclear. The AMNFSB also performs the functions and duties required as the onsite representative for the Office of Nuclear Energy, Science and Technology. The AMNFSB will provide assistance, direction, guidance, oversight, and evaluation of safety software at Defense Nuclear Facilities. This includes safety software used for consequence analysis for potential accidents and design basis events, design for structures, systems and components, and instrumentation and controls.

The **Assistant Manager for Oversight and Assessment (AMOA)** 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 at SNL; 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 the SSO non-nuclear quality assurance (QA) program; implements and oversees Integrated Safety Management Systems (ISMS); implements the SSO emergency management program and maintains a qualified SSO emergency

response organization; provides subject matter expertise and technical support at the local Honeywell facility and other sites and facilities as requested; manages the Federal Employee Occupational Safety and Health Program; and provides oversight and direction for SNL waste management and pollution prevention programs.

The **Assistant Manager for Science and Technology (AMST)** is a Contracting Officer Representative and is responsible for direction, day-to-day oversight and contract administration activities in support of the technical activities at SNL that are funded from sources external to NNSA Defense Programs. Specifically, these programs include: Work for Other (WFO), (both Other Federal Agencies and Non-Federal Sponsors); Department of Homeland Security (DHS); Non-NNSA DOE Offices (Offices of: Science, Nuclear Energy, Energy Efficiency, Fossil Energy, etc.); Technology Partnerships; and Technology Deployment Centers (TDC)/User Facilities (both Congressional designated and NNSA approved). Provides federal oversight for the following NNSA programs: Defense Nuclear Non-Proliferation (NA-20) and Laboratory Directed Research and Development (LDRD).

The **NNSA Service Center (SC)** is independent of SSO, but provides assistance to the SSO as requested for various activities under the purview of the SSO. The SSO has a formal Service Arrangement (SA) with the NNSA SC to provide services to the SSO. The Agreement is a living document and is scheduled to be revised on an annual basis. The SSO will continue to use the NNSA SC directives, as necessary, in concert with SSO Procedures to implement the FRAM requirements.

6. DELEGATION OF AUTHORITY

This site FRAM is established to comply with the Secretary's direction concerning safety management responsibilities and authorities stated in the DOE FRAM and NNSA FRAM. Several safety management authorities have been delegated to the SOM (e.g., NNSA FRAM, DOE Directives, Memorandum). The SSO uses the SSO FRAM to document the acceptance of delegated authorities. The SOM may use the SSO FRAM to document delegation of authority within SSO (reference section 9). All records of delegation must be documented and maintained. Delegation of authority does not relieve the delegating officer of responsibility for the outcomes of the exercise of that authority. The following restrictions apply to the delegation of authority:

- (1) All delegations of authority must be in writing and provided to the designee. This document shall establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances, under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.
- (2) SSO FRAM and SSO procedures are an approved method for documenting delegations of authority.

The SSO AMs and staff receive authority from assignments contained within this SSO FRAM, Procedures Manual, and other SSO documents that are written to implement/supplement DOE directives. Major elements of the SSO safety management program pertain to site and facility requirements, authorization basis, certification of readiness, and the approval to proceed. The SOM approves site and facility ES&H requirements documents or initial applications or major revisions (where applicable), as previously delegated by the Program Secretarial Officer.

7. OVERVIEW OF MANAGEMENT INTERFACES

The execution of the Contract must be consistent with the NNSA performance direction as provided the Contracting Officer (CO) or Contracting Officer's Representative (COR) consistent with their delegated authority, and the terms and conditions of the Contract. All other Federal staff and oversight components are precluded from tasking contractor personnel. The CO and CORs will provide program and performance direction regarding what NNSA wants in each of its programs (i.e., performance expectations and results) and the Contractor will determine how the programs are executed. The CORs interface with their identified Sandia counterparts when providing performance direction, within the CO approved scope, schedule, and budget.

The SSO Assistant Managers provide oversight of Sandia Corporation's performance. SSO staff and support organizations interface routinely with internal staff as well as with SNL on work related matters. SSO staff communicates informally with their NNSA/HQ and other site office counterparts. Although major items (such as budgets, project execution, plans, and review of directives) are formally transmitted, much of the daily communication is usually informal.

The SOM as Contracting Officer:

- Provide clear expectations and performance measures to Sandia Corporation regarding the work to be performed including the safety requirements.
- Responsible for oversight and assessment of contractor performance.
- Determines annually that Sandia Corporation safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.
- Determines the need for team review of the Sandia Corporation safety management system and appropriate revisions.

NNSA HQ Offices, Service Center, and Site Offices share the following responsibilities.

- Ensure employees are qualified to perform their assigned safety functions, including oversight, by implementing the Federal Technical Capability Program.

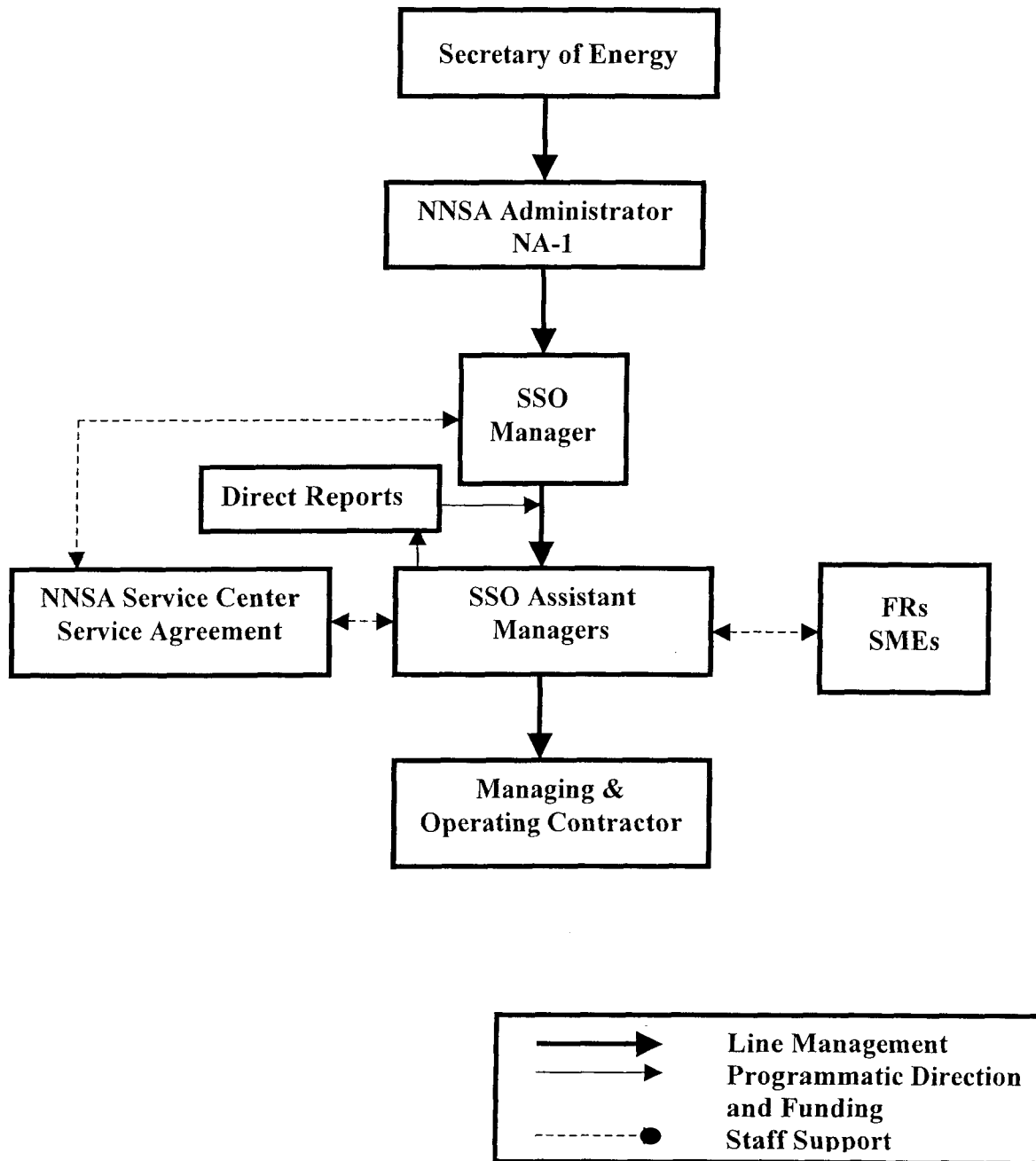
- Assess their own organizations to identify areas in which continuous improvement in the safety of NNSA operations can be realized. Assign responsibility within the element for establishing criteria for such assessments and for conducting them.
- Examine the findings of both internal and external assessments conducted by competent authority of their element to identify root causes, trends, and necessary corrective actions within the responsibility of their element.
- Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and lessons learned.
- Ensure that corrective actions are planned, prioritized, and pursued to completion and adequately correct the root causes of the conditions that prompted them.
- Ensure that information from various feedback sources is evaluated in an integrated manner.
- Implement and participate in DOE/NNSA lessons learned programs to improve internal organizational lessons learned processes, and enhance NNSA/DOE-wide sharing of lessons learned. Integrate sharing of lessons learned with contractor programs to maximize lessons learned exchange.
- Cooperate fully with the Defense Nuclear Facilities Safety Board (DNFSB), by providing ready access to NNSA facilities, personnel, and information; and timely responses to DNFSB recommendations and requests for information and data as described in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*.

8. CHANGE CONTROL

The SOM and SSO Assistant Managers execute functions, responsibilities, and authorities as described in SSO FRAM and SSO procedures. The FRAM defines the SSO expectations regarding organizational accountability for safety management. This FRAM will be referenced as a requirement in the SSO Procedures Manual. The Assistant Managers will be responsible for providing changes necessary for the annual update for this SSO FRAM. In addition, each SSO Assistant Manager is responsible for ensuring that their responsibilities are accurately depicted within the SSO FRAM. Documentation of changes and reissues will be maintained as followed:

- (1) Assistant Managers may request a change to the SSO FRAM.
- (2) The change to the SSO FRAM must be justified and this justification can be provided to the SOM or their designee.
- (3) The change request must reflect impacts to the SSO FRAM.
- (4) The SOM or designee must approve all changes. Approved change requests will be maintained as official records (See Figure 2 – SSO Flow of Responsibilities and Authorities).

Figure 2 – SSO Flow of Responsibilities and Authorities



9. SSO FRAM FUNCTIONAL RESPONSIBILITY ASSIGNMENTS

A description of additional safety management functions, responsibilities, and authorities for the SSO Manager (SOM) is outlined below (to the right of the actions are the current and planned SSO implementing mechanisms):

1.0 Provide Direction – Strategic Plans, Missions Statements, Budget, Resource Allocation, Technical Qualification and Competency

- 1.1 Review and provide input to the Federal Technical Capability Program with guidance developed by the Principal and Deputy Administrators to ensure the NNSA Federal technical employees responsible for oversight at NNSA facilities are trained to perform their duties safely and efficiently. (NNSA FRAM, DOE G 426.1-1, O 360.1B)

SOM delegates FTCP Agent to the AMOA for SSO FRAM.
Site Office Technical Personnel.

(AMOA Lead)

- 1.2 Ensure that SSO Staff are trained and qualified to perform their assigned duties. (DOE G 426.1-1, O 360.1B, DOE O 414.1A Criterion 2)

Supervisors review technical staff's qualification standards, qualification cards, training records, and performs interviews to determine satisfactory completion of the requirements. Recommends staff qualification to the SSO Manager. Ensures staff completes competencies in the qualification card within an appropriate time period.

Ensure all personnel, through the IDP process, are trained and qualified to accomplish their assigned duties. First line supervisors responsible for approving staff Individual Development Plans (IDPs).

AMCABM is responsible for the development of an SSO Training and Qualification Procedure.

(AMOA Lead)

Staff Qualification Standards.
Individual Development Plans.
Appropriate Training Courses.
NNSA Technical Qualification Plan (on going)

- 1.3 Participate in preparation and review of the proposed budget and subsequent budget allocation, and provide input on the adequacy to support missions and

safety initiatives; landlord activities; implement correction actions and safety improvements. (NNSA FRAM)

AMCABM is responsible for the coordination of review and approval of M&O budget and development of the SSO Program Direction budget. Each AM validates their portion of the SNL budget submission and ensures that the budget is executed in accordance with the submission. Concur on work authorizations sent by HQ prior to signature by the CO. Examples include:

- AMDPQA supports budget development and execution for RTBF, DSW and production activities.
- AMFPM submits Ten Year Comprehensive Site Plan (TYCSP) and Project Data Sheets to support preparation of the proposed budgets. Reviews subsequent budget allocations and provides an impact analysis of any proposed reductions to the AMCABM and Headquarters.
- AMOA provides input to the AMCABM pertaining to ES&H issues and their corrective actions/improvements. Includes the review of the ES&H 5-year site plan.
- AMSS validates the SNL S&S budget submission and ensures that the budget is executed in accordance with their submission.
- AMST provides determination of mission support for selected programs and projects.

ES&H 5-Year Site Plan.
TYCSP guidance.
PDS guidance.
Work Authorizations.

(AMCABM Lead)

- 1.4 Provide oversight to ensure that contractor employees maintaining and operating NNSA facilities are trained to perform their duties safely and efficiently per DOE/NNSA requirements. (NNSA FRAM, DOE P 450.5)

SOM ensures that each AM provides an adequate level of oversight in their assigned areas per DOE P 450.5. Examples include:

- AMSS provides oversight of all safeguards and security activities for all SNL facilities, as well as subcontractors performing classified work to ensure that an adequate level of security is maintained against the established threat.

SNL Contract regarding the Assurance System.
SSO AMOA Assessment Procedure and Schedule.

- AMDPQA conducts quality assurance and operations assessments to verify SNL personnel are trained and qualified.
- AMFPM provides oversight of SNL facilities and project management processes.
- AMOA provides day-to-day oversight and programmatic assurance (including formal assessments) by the Facility Representatives (FRs) and Subject Matter Experts (SMEs). Competence commensurate with responsibilities (training) is reviewed on many oversight activities.
- AMST notifies AMOA and AMNFSB of any perceived safety concerns.
- AMNFSB provides oversight of the SNL nuclear facilities.

(All SSO AMs Lead)

2.0 Define Scope of Work – Translate Mission into Work, Set Expectations

- 2.1 Authorize ISMS verification to ensure ISMS is implemented and maintained at NNSA facilities. (NNSA FRAM, DOE P 450.4, DOE G 450.4-1B)

SOM ensures that the ISMS is implemented, maintained and continually improved at SSO and SNL.

Contractor Assurance System.

- AMSS ensures, as part of the oversight activities, that SNL has an ISSM program that is effective. Any safety-related issues are coordinated with AMOA.
- AMDPQA supports HQ elements as necessary with DSW, RTBF, and QA work objectives.
- AMFPM provides oversight of SNL facilities and project management processes. Any safety-related issues are coordinated with AMOA.
- AMOA provides day-to-day oversight and programmatic assurance (including formal assessments) by the FRs and SMEs. Formal assessments of the SNL ISMS program are conducted by AMOA with support from NNSA SC.

- AMOA is responsible for ensuring that the SSO FRAM documents the SSO ISMS.
- AMNFSB verifies that ISMS is implemented and maintained at SNL nuclear facilities.

(AMOA lead)

- 2.2 Develop work plans, including scope, schedule, and funding allocations for each fiscal year. These plans should reflect mission assignments to the field and by facilities, project, and programs. (NNSA FRAM)

SOM is responsible for ensuring that each fiscal year work plans and funding allocations reflect mission assignments. AMCABM is responsible for coordination of the review and approval of all Work Authorizations for Sandia Corporation.

TYCSP guidance.
DOE O 413.3.
Work Authorizations.

Specific examples include:

- AMSS participates, through the budget process, on the scope of work and workload priorities. AMSS monitors work plans throughout the year to ensure that work is being accomplished according to the budget submission and an adequate level of safeguards and security is maintained.
- AMDPQA reviews Was for RTBF, DSW, and Campaigns. AMDPQA also supports HQ requests to clarify SNL plans, and track progress against the work plans.
- AMFPM participates in the development of the SNL TYCSP and Project Execution Plans. AMFPM recommends approval of these plans. AMFPM reviews and concurs on SNL work authorization plans.
- AMOA reviews work plans for potential ES&H impacts. AMOA develops formal assessment schedule that is the AMOA work plan for oversight.
- AMNFSB reviews work plans to ensure that facilities, projects, and programs involving SNL nuclear facilities are adequately implemented.

(AMCABM lead)

- 2.3 Assist in the development/review of guidance documents that promulgate expectations for field element activities and performance including Rules, NNSA and DOE policies, Orders, Notices, Manuals, Guides, and Technical Standards. (NNSA FRAM, P 251.1, M 251.1-1A, O 251.1A, O 252.1, 10 CFR 820)

SOM is responsible for ensuring SSO participates in the development of new/revised directives (e.g., Rules, NNSA and DOE policies, Orders, Notices, Manuals, Guides, and Technical Standards). SOM is responsible ensuring that SSO implements applicable directives. SOM is responsible for ensuring the appropriate directives are included in the SNL contract.

Writing SSO Procedures and Operating Procedure. SSO Directives Process (on going).

AMCABM is responsible for the implementation of the directives program for SSO. Each AM reviews and comments on draft guidance under their purview. Each AM determines applicability to SNL prior to CO formal transmission to the contractor, and reviews/approves required Implementation Plans prior to implementation. AMCABM ensures that appropriate directives are reviewed by appropriate SSO entities and are entered on to the SNL contract.

(AMCABM lead)

- 2.4 Prepare, award and administer contracts that establish clear expectations and performance measures with requirements for annual updates. Monitor contractor performance to assess whether performance expectations have been met. (NNSA FRAM)

SOM ensures that contracts are awarded and administered with clear expectations and performance measures with requirements for annual updates. SOM ensures that contractor performance is monitored and whether performance expectations have been met.

M&O Contract.
Contractor Assurance System.
M&O Performance Evaluation Plan (PEP).

AMCABM is responsible for contracting activities that include the preparation and administration of contracts. Works with SMEs and AMs to ensure that clear expectations and performance measures are included in the annual Performance Evaluation

Plan. AM involvement in this process includes the following:

- Each AM provides input into the SNL Performance Evaluation Plan for measures that will apply to their assigned area.
- Each AM monitors SNLs performance against the agreed to measures, and provide quarterly feedback regarding their performance.
- Each AM evaluates SNLs performance annually as part of the overall Performance Assessment of the contractor.

(AMCABM Lead)

- 2.5 As Contracting Officer (NNSA FRAM, DOE P 450.4):
- Negotiate with each contractor, in consultation with Deputy Administrator (NA-10 only), the set of Directives or provisions of Directives, if any, to be included in the contract.
 - Approve and issue contracts that meet contract regulations and provide clear expectations and performance measures to contractors regarding work to be performed for mission including safety requirements.
 - Determine annually that contractor safety management systems and systems requirements are current, valid, and appropriately reflected in the implementation procedures.
 - Determine the need for team review of the contractor's safety management system and revisions thereto.
 - Approve safety management systems and revision thereto (48 CFR 970)
 - Incorporate approved Standards into contract requirements.
 - Prepare budget execution documents in accordance with the NNSA PPBE process to allocate resources to contractors.

Reference sections 2.1 - 2.4.

- 2.6 Prepare Site Office FRAM, submit 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 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 Deputy Administrator for Site FRAMs that have QAP elements integrated. (NNSA FRAM, P 411.1, M 411.1-1C, DOE O 414.1A Criterion 1, ISO 9001)

SOM approves the SSO FRAM. SOM is responsible for assuring that the SSO FRAM is implemented. SOM shall ensure that responsibilities and authorities are defined and communicated within SSO per ISO 9001.

SSO FRAM.

AMOA leads the development of the SSO FRAM. All AMs provide the appropriate input to the FRAM in terms of their program responsibilities. AMOA is responsible for ensuring that the SSO FRAM is maintained.

(AOMA lead)

- 2.7 Ensure that the responsibility, authority, and accountability for operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed. (NNSA FRAM, P 411.1, M 411.1-1C)

SOM is responsible and accountable for the operation and maintenance of all NNSA facilities are clearly defined, appropriately assigned, and executed. (NNSA FRAM, P 411.1, M 411.1-1C)

SSO FRAM.

- AMOA works with each AM to ensure that the SSO FRAM identifies specific responsibilities pertaining to the operation and maintenance of the SNL facilities.
- FRs are assigned facilities to provide appropriate oversight of operations. SMEs have programmatic responsibilities for ES&H functional areas. FRs and SMEs provide input to line management regarding the operations and maintenance of facilities.
- Each AM is responsible for implementing the elements of the SSO FRAM.
- AMFPM ensure facilities are properly maintained.
- AMDPQA oversees the RTBF Program.
- AMNFSB ensures that the nuclear facilities are operated and maintained.

(AMOA, AMNF, AMFDPQA and AMFPM have shared responsibilities)

- 2.8 Conduct line oversight of safety management systems to ensure effective implementation and maintenance. (NNSA FRAM, P 450.5)

SOM ensures all AMs participate in the oversight of the SNL ISMS. Reference 2.1 and 2.7. SSO FRAM Appendix A.

- 2.9 Ensure that contractors describe, document, implement, and maintain their safety management systems. (NNSA FRAM, P 450.4, G 450.4-1B)

SOM provides day-to-day oversight and programmatic assurance including formal assessments by the SSO. Reference 2.1. SNL Contractor Assurance System.

- 2.10 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. (NNSA FRAM, P 450.4)

SOM ensures that work is prioritized to meet mission and safety expectations within the available budget. SNL Contractor Assurance System.

- 2.11 Review and support development of expected performance objectives and related Deputy Administrator goals and priorities. (NNSA FRAM)

SOM ensures the development of ES&H performance objectives and ES&H goals from the NNSA Strategic Plan and the SSO Operations Plan. NNSA Strategic Plan. SSO Operations Plan. SNL Contractor Assurance System.

AMCABM responsible for the development of the SSO Operations Plan and performance objectives that are measured throughout the year and presented in the Performance Evaluation Plan.

AMOA ensures the incorporation of these objectives into the SSO FRAM and daily oversight activities.

(AMCABM lead)

- 2.12 Develop and implement a document control process for the SSO. Ensure appropriate records are maintained for the SSO. (DOE O 414.1A, Criterion 4, DOE O 413.3)

SOM is responsible for the development and implementation of a document control process for SSO Procedure for Document Control Process

the SSO.

(on going).
DOE O 413.3.

AMCABM is responsible for the development of an information management system that will ensure that appropriate records are developed and maintained for SSO.

All AMs support SSO Management System

AMFPM is responsible for the development and implementation of a Project Baseline Change Control Process.

AMNFSB is responsible for ensuring adherence to nuclear documentation retention requirements.

(AMCABM (ISO) lead)

2.13 Develop and implement SSO procedures per ISO 9001 requirements. (ISO 9001, DOE O 414.1A Criterion 5)

SOM is responsible for ensuring that SSO AMs develop and maintain an effective business management system. Develop documented statements of quality policy and objectives as required by ISO 9001.

SSO Business Management System Document (on going).

Each AM is responsible for developing, maintaining and implementing work control processes for their area of expertise.

Each AM participates in the implementation of ISO related initiatives for SSO.

(AMCABM (ISO) lead)

3.0 Analyze Hazards and Develop and Implement Controls

- 3.1 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). (NNSA FRAM, P 450.4)

SOM directs SNL to develop appropriate site and/or facility specific standards.

SNL Contractor Assurance System.

AMCABM incorporates tailored standards into the Sandia contract.

(AMCABM lead)

- 3.2 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. (NNSA FRAM, P 450.4, P450.5)

SOM ensures that SNL has adequately defined and implemented a process to analyze hazards associated with the work and provides sufficient documentation for the selection of safety standards and controls.

Contractor Assurance System.
DOE O 413.3.
Examination of Various SNL Assessments.

AMNFSB ensures that SNL has a process defined and implemented to analyze hazards and select adequate safety standards and controls. AMNFSB and AMOA ensure the SNL process to analyze hazards and select adequate safety standards and controls has been adequately implemented in their areas of influence. Assessment activity validates SNL implementation.

(AMNFSB lead)

- 3.3 Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE 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 Directors of Emergency Operations, as appropriate. (NNSA FRAM, O 151.1A)

SOM provides day-to-day oversight and programmatic assurance (including formal assessments) by the assigned Emergency Management Program Manager.

SSO Emergency Plan.

All AMs participate in the assessment of
Emergency Management exercises.

(AMOA lead)

- 3.4 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. (NNSA FRAM, 10 CFR 820)

SOM ensures that a documented PAAA
coordination process has been implemented.

SSO PAAA Procedure (on
going).

AMNFSB ensures the implementation of the
PAAA program. Provides oversight of the
contractor PAAA process. Interfaces with the
SNL and HQ as necessary to ensure compliance.

Each AMs participates in the assessment of
corrective actions related to activities under their
purview that do not meet PAAA requirements of
Subpart A.

(AMNFSB lead)

- 3.5 Review and approve the ES&H requirements to be included in the contracts.
(NNSA FRAM)

SOM ensures appropriate ES&H requirements are
included in the SNL contract. SNL Contract.

AMCABM incorporates identified ES&H
requirements into the Sandia contract.

AMOA and AMNFSB recommends approval of
ES&H requirements to be included in the SNL
contract

(AMCABM lead)

- 3.6 Ensure that the hazard analyses for Hazard Category 1, 2, and 3 nuclear facilities
meet the requirements of 10 CFR 830. (NNSA FRAM, 10 CFR 830)

(There are no Hazard Category 1 nuclear facilities
at SNL). SOM ensures that the hazard analyses
for SNL nuclear facilities meet the requirements of
SNL Contractor Assurance
System.
DOE O 413.3.

10 CFR 830.

AMNFSB reviews Hazard Analysis documents prepared by the contractor to ensure compliance with 10 CFR 830.

(AMNFSB lead)

10 CFR 830.

SSO AB Review and Approval Procedure.

- 3.7 For Hazard Category 1 nuclear facilities, ensure that appropriate safety requirements in necessary functional areas are included in the contracts and in the authorization agreement as directed by the Deputy Administrator. (NNSA FRAM – not applicable to SSO)

Not applicable - SNL does not have any Hazard Category 1 nuclear facilities. N/A.

- 3.8 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. (NNSA FRAM, 10 CFR 830)

SOM approves nuclear facility/ activity hazard categorization.

AMNFSB reviews and recommends approval of nuclear facility/activity hazard categorization level based on hazard type and amounts per the requirements of 10 CFR 830.

(AMNFSB lead)

SNL Contractor Assurance System.

DOE O 413.3.

10 CFR 830.

SSO AB Review and Approval Procedure.

- 3.9 Approve the nuclear safety design criteria selected for the preliminary Documented Safety Analysis (DSA) for Hazard Category 1,2, and 3 nuclear facilities if they are consistent with DOE O 420.1, *Facility Safety*, as required by 10 CFR 830. (NNSA FRAM, O 420.1A, 10 CFR 830)

(SNL does not have any Hazard Category 1 nuclear facilities at SNL).

SOM Approve the nuclear safety design criteria selected for the preliminary DSAs for Hazard Category 1, 2, and 3 nuclear facilities.

AMNFSB reviews nuclear design criteria selected for the PDSA for consistency with DOE O 420.1 as required by 10 CFR 830. Recommend

SNL Contractor Assurance System.

DOE O 413.3.

10 CFR 830.

DOE O 420.1.

Approval to the Approval Authority.

AMFPM provides oversight of facilities and project management processes.

(AMNFSB lead)

- 3.10 Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 1, 2, and 3 nuclear facilities). Review the adequacy of the controls and of their documentation. (NNSA FRAM, 10 CFR 830)

(There are no Hazard Category 1 nuclear facilities at SNL).

SNL Contractor Assurance System.

DOE O 413.3.

10CFR 830.

DOE O 420.1.

SSO AB Review and Approval Procedure.

SOM directs SNL to adequately document controls for the prevention and mitigation of hazards.

AMNFSB ensures SNL has a process to document controls for the prevention and mitigation of hazards. AMNFSB reviews and recommends approvals of Technical Safety Requirements (TSRs) for SNL nuclear facilities.

(AMNFSB lead)

- 3.11 Direct the contractor to prepare Radiological Protection Plans (RPPs), Unreviewed Safety Question (USQ) procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830 and 835. (NNSA FRAM, 10 CFR 830& 835)

SOM directs SNL to meet the requirements of 10 CFR 830 and 835.

10 CFR 830.

10 CFR 835.

AMOA provides guidance regarding the development of RPPs in accordance to 10 CFR 835.

AMNFSB provides guidance regarding the development of USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830.

(AMOA and AMNFSB lead)

- 3.12 Review and approve the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedure for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830. (NNSA FRAM, 10 CFR 830 & 835)

SOM approves the following: RPPs for DOE activities as required in 10 CFR 835; USQ procedure for Hazard Category 2 and 3 nuclear facilities, including the nuclear safety design criteria, where required by 10 CFR 830.	10 CFR 830. 10 CFR 835. SSO AB Review and Approval Procedure.
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AMOA recommends approval of RPPs in accordance to 10 CFR 835.

AMNFSB recommends approval of USQ procedures, preliminary DSAs, and DSAs in accordance with 10 CFR 830.

(AMOA and AMNFSB lead)

- 3.13 Obtain EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used. (NNSA FRAM, 10 CFR 830)

SOM request EH review and Deputy Administrator approval if the provisions of 10 CFR 830 for DSA methodologies are not used.	10 CFR 830. SSO AB Review and Approval Procedure.
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AMNFSB requests approval for DSA methodologies for nuclear facilities if other than the use of 10 CFR 830 provisions.

(AMNFSB lead)

- 3.14 Send recommendation for approval or disapproval of DSAs and preliminary DSAs for Hazard Category 1 nuclear facilities, including the nuclear safety design criteria, to the Deputy Administrator with comments. Respond to Principal Deputy Administrator, Deputy Administrator, ES&H Advisor, Director of Emergency Operations, and Associated Administrator for Infrastructure and Security (AAIS), or EH comments. (NNSA FRAM, Not applicable to SSO)

Not applicable – SNL does not have any Category 1 nuclear facilities. N/A.

- 3.15 Approve the Technical Safety Requirements (TSRs) and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation. (NNSA FRAM, 10 CFR 830)

SOM approves the TSRs and other hazards controls for Hazard Category 2 and 3 nuclear facilities and ensure sufficient funding for implementation. 10 CFR 830.
SSO AB Review and Approval Procedure.

AMNFSB reviews TSRs and other hazard controls to ensure compliance with 10 CFR 830 and recommends approval.

AMNFSB monitors SNL performance and ensures adequate funding for implementation.

(AMNFSB lead)

- 3.16 For Hazard Category 2 and below nuclear facilities and accelerators, approve the safety basis, and prepare a safety evaluation report. (NNSA FRAM, 10 CFR 830)

SOM approves the safety basis for hazard category 2 and below nuclear facilities and accelerators. 10 CFR 830.
SSO AB Review and Approval Procedure.

AMNFSB reviews safety basis and prepares the Safety Evaluation Report in compliance with 10 CFR 830 and recommend approval.

(AMNFSB lead)

- 3.17 Review and provide recommendations to the Deputy Administrator on request 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. (NNSA FRAM, 10 CFR 830 & 835)

SOM provides recommendations to the Deputy Administrator on request for Exemptions to 10 CFR Parts 830 and 835. If necessary, pursues Exemptions from DOE requirements, local, State, or other Federal agencies. Coordinate with contractor and Deputy Administrator. 10 CFR 830.
10 CFR 835.

AMNFSB reviews and recommends exemptions to 10 CFR 830.

AMCABM ensures that exemptions to DOE directives or other requirements are properly reflected in the Sandia contract.

(AMNFSB and AMCABM lead)

- 3.18 Provide line management oversight and ensure the implementation of hazards mitigation programs and controls. Monitor proper implementation of controls, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements. (NNSA FRAM, P 450.5)

SOM ensures SSO provides line management oversight and ensures the implementation of hazards mitigation programs and controls.

10 CFR 830.
DOE O 420.1.
SSO AB Review and
Approval Procedure.

AMNFSB monitors implementation of controls at nuclear facilities, including contractor processes for USQs and configuration management and compliance with the Technical Safety Requirements.

AMOA monitors implementation of controls at SNL non-nuclear facilities.

(AMNFSB and AMOA lead)

- 3.19 Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems). (NNSA FRAM, O 420.2A, P 450.4)

SOM ensures that all facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators) have been identified.

SNL Contractor Assurance
System.
DOE O 413.3.
10 CFR 830.
DOE O 420.1.

AMNFSB ensures all facilities for which hazard controls must be identified and documentation prepared (e.g., accelerators and major systems).

AMNFSB recommends approval to the Approval Authority for non-nuclear safety basis documentation that has not been delegated to the contractor.

(AMNFSB lead)

3.20 As Contracting Officer, determine appropriate protocol based on work 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. (NNSA FRAM, P 450.4)

SOM ensure that authorization agreements are in place and maintained up-to-date. 10 CFR 830.
DOE M 411.1-1C.

AMNFSB ensures Authorization Agreements are established and maintained for the CO.

AMCABM develops contract modifications or appends agreements as required to ensure that they accurately reflect current work requirements.

(AMNFSB lead)

3.21 Ensure that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement. (NNSA FRAM, P 450.4, M 411.1-1C, O 452.1B)

SOM ensures that all Hazard Category 2 nuclear facilities have an up-to-date Authorization Agreement. 10 CFR 830.
DOE M 411.1-1C.

AMNFSB recommends approval for all Hazard Category 2 nuclear facilities Authorization Agreements. AMNFSB is responsible for monitoring the status of the Authorization Agreements.

(AMNFSB lead)

3.22 Authorize type B Accident Investigations

SOM authorizes required Type B Accident Investigation Board. DOE O 225.1A.

(AMOA Lead)

4.0 Confirm Readiness Quality Assurance, Collect Feedback

4.1 Implement a Federal Employee Occupational Safety and Health (FEOSH) program for NNSA site employees. (NNSA FRAM, O 440.1A)

SOM ensures a FEOSH program is established for SSO employees. SSO FEOSH Procedure (on going).

AMOA establishes and maintains a FEOSH program for SSO.

All AMs ensure that their employees adhere to the Site Office FEOSH program.

(AMOA Lead)

- 4.2 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 (SNR) in accordance with DOE O 425.1C. Forward Startup Notification Reports to Deputy Administrator in accordance with DOE O 425.1C. (NNSA FRAM, O 425.1C)

SOM ensures that readiness reviews are conducted in accordance with DOE O 425.1C. SOM approves SNL SNR and forwards SNR to Deputy Administrator as required by DOE O 425.1C. SSO Startup and Restart Procedure. DOE O 425.1C.

AMNFSB reviews and recommends approval of the SNL SNR and ensures that all appropriate readiness activities have been included and a proper level of readiness review has been identified for each item. AMNFSB will coordinate the SNR with other AMs as appropriate.

All AMs remain cognizant of the need for readiness activities for projects under their purview.

AMNFSB facilitates the NNSA readiness review process by ensuring that qualified team leaders are identified and supported throughout the readiness review process.

(AMNFSB lead)

- 4.3 Exercise startup authority for nuclear facilities in accordance with the requirements contained in DOE O 425.1C for all cases except those designated

for the Secretary of Energy/NNSA Administrator. Headquarters retains startup authority for new Category 2 nuclear facilities. (NNSA FRAM, O 425.1C)

SOM serves as the startup authority for SNL in accordance with DOE O 425.1C for all cases except those designated for the Secretary of Energy/NNSA Administrator.

SSO Startup and Restart Procedure.
DOE O 425.1C.

AMSS validates that all S&S protection requirements are in place to support startup.

AMNFSB coordinates startup/restart activities to ensure appropriate level of independent review and provide recommendations to the approval authority.

(AMNFSB lead)

- 4.4 Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities, ensure that it has been attained, and exercises all startup authority. (NNSA FRAM, O 425.1C)

SOM will coordinate with headquarters to determine the appropriate level of startup authority for any new Category 2 nuclear facilities that have not been clearly delegated to SSO. SOM will exercise startup authority as delegated by NNSA.

SSO Startup and Restart Procedure.
DOE O 425.1C.

AMNFSB coordinate with other AMs to ensure that an appropriate level of readiness has been achieved by SNL and SSO prior to the commencement of an NNSA Readiness Review.

All AMs ensure that requirements under their purview are adequately implemented prior to the commencement of an NNSA Readiness Review.

(AMNFSB lead)

- 4.5 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. (NNSA FRAM, P 450.5)

SOM ensures line management oversight of SNL's worker, public, environment, and facility protection programs is conducted. SOM ensures day-to-day operational oversight of SNL activities is conducted by SSO Facility Representatives at applicable facilities.

DOE P 450.5.
SSO AMOA Assessment Procedure.

The FRs provide day-to-day oversight at SNL facilities with appropriate support from line managers and SMEs.

All AMs participate in line management oversight of appropriate elements of SNL's worker, public, environment, and facility protection programs under their purview.

(AMOA lead, AMNFSB lead for nuclear facilities only)

- 4.6 Review and approve contractors' 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 (NNSA FRAM, 10 CFR 830, O 414.1A)

SOM approves the SNL QAPs.

10 CFR 830.
DOE O 414.1A.
SSO QA Plan (on going).

AMNFSB ensures that the SNL QAPs for nuclear facilities meet the requirements of 10 CFR 830 and are integrated with the SNL management programs.

AMNFSB ensures that contractors implement QAPs.

AMDPQA will support AMNFSB as required for 10 CFR 830 Quality Assurance issues under the purview of AMDPQA.

(AMNFSB lead)

- 4.7 Develop and implement site QAPs or integrate and implement QA elements through site FRAM and FRA documents. Submit integrated site FRAM/QAPs to the Deputy Administrator for approval. (NNSA FRAM, P 411.1, M 411.1-1C)

All AMs Participate in the development and implementation of the SSO FRAM and support as required for Quality Assurance issues.

DOE P 411.1.
DOE M 411.1-1C.
SSO QA Plan (on going).

(AMOA lead)

The AMNFSB will provide assistance, direction, guidance, oversight, and evaluation of safety software at Defense Nuclear Facilities. This includes safety software used for consequence analysis for potential accidents and design basis events, design for structures, systems and components, and instrumentation and controls.

SSO SQA Guidance (will be based on HQ SQA Guidance once final).

(AMNFSB lead SQA only)

- 4.8 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. (NNSA FRAM, O 414.1A)

SOM directs SNL to develop and implement a lessons learned program that includes analysis and trending of events and promotes DOE-wide sharing of lessons learned.

SNL Contractor Assurance System.
Annual FY Contractor PEP.

AMOA and AMNFSB monitor the SNL lessons learned program and assess its implementation (performance criteria included in the SNL PEP).

All AMs monitor the development and distribution of lessons learned associated with responsibilities under their purview.

(AMOA lead, AMNFSB lead for nuclear facilities only)

- 4.9 Require contracts 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. (NNSA FRAM, O 231.1A)

SOM ensures the SNL contract includes the requirements for SNL to report occurrences on ORPS.

DOE O 231.1A.

The FRs review and approve ORPS reports as appropriate.

All AMs ensure their staff reviews applicable SNL ORPS reports including proposed corrective actions and lessons learned.

All AMs ensure that ORPS reports from other DOE sites are reviewed to detect potential improvements and means of averting occurrences.

(AMOA lead, AMNFSB for nuclear facilities)

- 4.10 As part of overall issue management, review the finding of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions. (NNSA FRAM, O 414.1A, DOE O 414.1A Criterion 3, ISO 9001)

SOM ensures that an issues management program is in place for SSO.

SNL Contractor Assurance System.

AMCABM (ISO) develops an issues management program that systematically reviews the findings from assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions.

SSO Business Management Procedure (on going).
SSO Corrective and/or Preventative Action Procedure (on going).

Each AM supports the issues management program by reviewing findings from assessments in their area of expertise to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective and/or preventative actions per ISO 9001.

Preventative actions shall be appropriate to the effects of the potential problems per ISO 9001.

Each AM shall take action to eliminate the cause of non-conformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the non-conformities encountered per ISO 9001.

(AMCABM (ISO) lead)

- 4.11 Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements. (NNSA FRAM, DOE P 450.5)

SOM ensures that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.

DOE P 450.5.
SSO Security Plan.

All AMs will support the SSO unfettered access policy. Each AM will facilitate access for duly authorized independent oversight personnel if issues arise in an area under their purview.

(AMSS lead)

- 4.12 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. (NNSA FRAM, 10 CFR 820)

SOM ensures that 10 CFR part 820 reporting requirements are followed by SSO and SNL. SOM ensures support for investigations and participates in enforcement conference as requested by the Office of Enforcement and Investigation.

10 CFR 820.
SSO PAAA Procedure (on going).

AMNFSB actively monitors SNL's reporting of potential nuclear safety violations and non-compliances with nuclear safety Rules to the Office of Enforcement and Investigation as required by 10 CFR Part 820. AMNFSB will participate in enforcement conferences with the Office of Enforcement and Investigation as requested.

All AMs will provide information and support investigations as requested.

(AMNFSB lead)

- 4.13 Ensure implementation of the CAP and assign a cognizant line management to review CAPs for assurance that issues raised in formal independent assessment reports are addressed. (NNSA FRAM, O 414.1A, O 470.2B)

SOM ensure an SSO process is in place to manage CAPs. SNL Contractor Assurance System.
SSO CATS process.

AMOA is responsible for establishing and maintaining a procedure to manage ES&H and emergency management CAPs.

All AMs will participate in the review and validation of any CAPs that are under their purview. All AMs will coordinate with the assigned lead AM for CAPs that involve more than one AMs assigned responsibilities.

(AMOA lead)

- 4.14 Ensure the status of corrective actions in the DOE Correction 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. (NNSA FRAM, O 470.2B)

SOM ensures that the status of SSO and SNL CAPs are tracked in DOE CATS are maintained on the system. SSO CATS Process.

AMOA ensures the status of corrective actions in the DOE Correction Action Tracking System (CATS) is up to date for SSO and SSO corrective actions. AMOA will coordinate with the SNL 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.

All AMs will support AMOA as required for issues related to requirements under their purview.

(AMOA lead)

- 4.15 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. (NNSA FRAM, O 470.2B)

SOM approves CAPs that have been delegated to SSO CATS Process. SSO as required.

AMOA ensures the SSO CATS Process captures the requirements for the approval for CAPs.

AMOA facilitates SOM approval of the CAPs and coordinates issues with the appropriate AMs.

All AMs support the SSO CATS Process as required.

(AMOA lead)

- 4.16 Perform management assessments of contractors to evaluate their success in doing work safely. (NNSA FRAM, P 450.5, DOE O 414.1A Criterion 9, ISO 9001)

SOM ensures management assessments are performed and documented to evaluate SNL's success in doing work safely. SOM (and/or Deputy Manager) participates in management assessments as appropriate. SOM shall review the organization's quality management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness per ISO 9001.

SNL Contractor Assurance System. SSO Protocol and Process for management assessments (on going).

AMOA will establish protocol and process for management assessments.

All AMs will participate in management assessments as defined in the management assessment protocol/procedure.

(AMOA lead)

- 4.17 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. (NNSA FRAM, P 450.4, P 450.5)

SOM ensures appropriate measures are developed and included in the SNL to appraise ES&H and emergency management performance. At a minimum, the measure will include management performance, SNL self-assessment, and assessments of safety system operability and programs that support system operability.

DOE P 450.4.
DOE P 450.5.
SSO AMOA Assessment Procedure and Schedule.

SSO provides day-to-day oversight and programmatic assurance (including formal assessments) by the FRs and SMEs. As part of the programmatic assurance, SSO determines the adequacy of the contractor self-assessment and evaluates SNL against the PEP criteria.

All AMs will support ES&H and emergency management performance assessments as appropriate.

(AMOA lead, AMNFSB for nuclear facilities)

- 4.18 Assess the SSO to identify areas in which continuous improvement in the safety of NNSA operations can be realized. Ensure that independent assessments are also performed of SSO. (NNSA FRAM, DOE O 414.1A Criteria 3 & 10)

SOM will assign Assistant Manager to lead the self-assessment of SSO performance.

DOE O 414.1 A.
SSO AMOA Assessment Procedure.

AMOA will develop a process to perform formal, documented self-assessments of SSO performance (with independent assessment from the NNSA SC).

(AMOA lead)

- 4.19 Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and lessons learned. (DOE P 450.4, 450.5)

SOM will strive to continuously improve the TQM.

efficiency and quality of operations. Specific emphasis will be placed on the development, implementation, and tracking of SSO and SNL corrective actions to profit from prior experience and lessons learned.

SSO Corrective Action Process.
SSO CATS Process.
SSO Business Management Procedure (on going).

Assign Assistant Manager that will lead the effort to improve efficiency and quality of operations and to track SSO corrective actions.

Assigned AM will develop a process to manage SSO and SNL corrective actions such that SSO and SNL can profit from prior experience and lessons learned.

All AMs will strive to continuously improve the efficiency and quality of operations under their purview. All AMs will implement the SSO corrective action process.

(AMCABM (ISO) lead)

Appendix A – SSO INTEGRATED SAFETY MANAGEMENT

The following sections present the basic structure of the SSO ISMS in terms of the five ISMS core safety management functions:

- Define the Scope of Work
- Analyze the Hazards
- Develop and Implement Hazard Controls
- Perform Work within Controls
- Provide Feedback and Continuous Improvement.

In addition, the guiding principles are the fundamental policies that guide NNSA and contractor actions, from development of safety directives to the performance of work:

- Line Management Responsibility for Safety
- Clear Roles and Responsibilities
- Competence Commensurate with Responsibilities
- Balanced Priorities
- Identification of Safety Standards and Requirements
- Hazard Controls Tailored to Work being Performed
- Operations Authorization.

Figure A-1: ISMS Core Functions



The first three guiding principles apply to all ISMS management core functions; the remaining four relate to the core functions as illustrated in Figure A-1.

To systematically integrate safety into management and work practices at all levels so that work is accomplished while protecting the public, the worker, and the environment. This is to be accomplished through effective integration of safety management into all facets of work planning and execution. In other words, the overall management of safety functions and activities becomes an integral part of accomplishing the work. Listed

below, are the SSO supporting actions and responsibilities in regards to both the ISMS core management functions and guiding principles:

Figure A-2: Safety Management System

Guiding Principles	Core Functions
1. Line Management Responsibility 2. Clear Roles and Responsibilities 3. Competence Commensurate with Responsibilities	1. Define Scope of Work 2. Analyze the Hazards 3. Control the Hazards 4. Perform Work 5. Feedback and Improvement
4. Balanced Priorities	Specific to Core Function 1, Define Scope of Work
5. Identification of Safety Standards 6. Tailored Hazard Controls to Work	Specific to Core Function 3, Control the Hazards
7. Operations Authorization	Specific to Core Function 4, Perform Work

FOR NNSA OVERSIGHT OF ISMS AT SNL

CORE MANAGEMENT FUNCTIONS

PLAN THE WORK:

- Develop the SSO Operations Plan priority list
- Update and maintain the SSO operating procedures
- Review the SSO operating procedures
- Update and maintain the SSO and NNSA SC performance plans
- Develop and maintain assessment plans
- Translate mission into work
- Translate statement of work into appropriate tasking
- Prioritize project tasks
- Allocate appropriate resources
- Coordinate meaningful schedule with deliverables
- Review contracts and budget process
- Assist the contractor with updating their ISMS Description
- Participate on the joint SSO/SNL ISMS Facilitation Team
- Maintain corrective action data base for SSO assessments
- Review NEPA compliance requirements
- Develop prioritized assessment plan
- Analyze operational data and develop performance indicators
- Participate SNL Line Integration Working Group/Line Integration Team meetings
- Keep SSO management fully informed of any issues and trends

ANALYZE THE HAZARDS:

- Analyze project tasks
- Identify new and potential process(es)
- Identify hazards associated with the process or job
- Approve the categorization of nuclear facilities
- Categorize the potential hazards
- Review hazard analysis with SNL (including safety analysis and NEPA)
- Review hazard analysis with SNL (approve moderate, high, and nuclear)
- Review authorization basis (including Primary Hazard Screening & Hazard Analysis)
- Review SNL operations to ensure hazard identification
- Ensure the intended SNL operational process is performed
- Review schedule of work activities
- Validate SNL assurance model(s)
- Conduct daily operations status meeting between management and safety technical staff

CONTROL THE HAZARDS:

- Identify appropriate DOE Orders, Policies, or guidance
- Identify applicable laws, regulations, rules, and standards
- Identify controls required to prevent/mitigate potential hazards
- Ensure training and qualifications needed to perform the work
- Allocate appropriate resources to control hazards
- Establish and oversight engineering controls
- Establish administrative controls
- Oversight of SNL engineering controls
- Oversight of SNL administrative controls
- Oversight of SNL ensuring only approved work activities are performed
- Approve appropriate DSAs and TSRs
- Ensure mitigation of identified hazards in SNL Operations
- Provide oversight of project design reviews to ensure safety design requirements are met
- Develop and implement a risk based oversight program
- Approve Operational Readiness Reviews
- Oversight of Readiness Reviews

PERFORM THE WORK:

- Observe contractor performing work in the field
- Perform a prestart assessment to verify that procedures, personnel, systems, and equipment are ready to perform the project tasks
- Participate in the contractor's pre-job briefings
- Communicate authorization to start the work
- Oversight perform work within established controls and procedures
- Approve authorization agreements (for nuclear facilities)

- Perform for-cause reviews
- Document findings in the SSO Kirtland Information Management System (KIMS)
- Conduct facility tour program (management tour)
- Use “stop work” authority where appropriate
- Eliminate “scope creep” and focus upon the tasking

FEEDBACK AND IMPROVEMENT:

- Provide advice and opinions to complete tasking
- Communicate expectations to staff so that they appropriately report identified issues or concerns
- Identify and implement corrections for identified issues or concerns
- Assess completed work to identify deficiencies
- Approve occurrence reports
- Monitor lessons learned for trending purposes and implementation of lessons learned in TWDs and ES&H training lesson plans
- Comment and provide information on the contractor ISMS Description
- Perform operational awareness activities by SMEs, FRs, and management
- Participate in SNL root cause analysis
- Participate in SNL critiques of events
- Participate in SNL self-assessment and management walkthroughs
- Review SNL self-assessment causal factor trend analysis
- Review SNL performance indicators
- Perform the quarterly ES&H multiprogram appraisal scoring and feedback
- Lead the annual Performance Assessment Matrix (PAM) process
- Lead/participate in SNL-led assessments (including self-assessments)
- Provide feedback on SNL independent assessment results
- Review SSO data base entries (KIMS) for trending analysis
- Conduct daily operations status meetings
- Perform detailed assessment of ES&H risk by SMEs
- Review issues management within the KIMS
- Provide quarterly feedback to SNL
- Conduct SSO annual self-assessment
- Develop performance indicators based on analysis of operational data
- Communicate findings from oversight activities to SNL through monthly/quarterly roll-up reports

GUIDING PRINCIPLES

LINE MANAGEMENT RESPONSIBILITY FOR SAFETY:

- Responsible for the effective oversight of SNL ES&H activities
- Perform oversight of SNL on a regular basis
- Assess SNL via the FR and SME walkthroughs (including SSO management)
- Perform the quarterly ES&H multiprogram appraisal

- Review/assess SNL upper tier management self-assessment and interaction with external assessments

CLEAR ROLES AND RESPONSIBILITIES:

- Ensure appropriate responsibilities are outlined in the SSO FRAM
- Make certain of clear and unambiguous SSO lines of authority
- Ensure qualifications of SSO staff are current and updated
- Ensure all SSO Quality Management Process roles & responsibilities are cross-walked and periodically updated in the SSO FRAM
- Ensure SSO staffing allowance supports required SSO roles and responsibilities

COMPETENCE COMMENSURATE WITH RESPONSIBILITY:

- Ensure that the SSO technical qualification program is in place and adequate
- Ensure competent training for FRs and SMEs
- Ensure cross training is available for staff members
- Mentor new/inexperienced FRs/SMEs

BALANCED PRIORITIES:

- Make certain staffing allocations are current
- Ensure program coverage with primary and secondary staff
- Effectively allocate SSO resources
- Plan and coordinate activities with SNL with both programmatic and ES&H input

IDENTIFICATION OF SAFETY STANDARDS AND REQUIREMENTS:

- Ensure associated new and existing hazards have been evaluated
- Ensure controls of new and existing hazards analyzed
- Make certain that the SNL baseline contract is kept current
- Coordinate changes to the SNL contract immediately

HAZARDS CONTROLS TAILORED TO WORK BEING PERFORMED:

- Ensure administrative and engineering controls are implemented to prevent/mitigate hazards
- Participate on SNL lessons learned committees

OPERATIONS AUTHORIZATION:

- Ensure that the PHS/HA are current and appropriate (non-nuclear sites)
- Ensure safety analysis reports are complete
- Ensure authorization agreement documentation are current
- Ensure readiness reviews are performed as appropriate
- Approve list of facilities requiring authorization basis documentation.
- Approve site nuclear facility list and accelerator

SSO FRAM Implementing Documentation Plan

Reference #	Priority	SSO Procedure Number	SSO Procedure Name	Impact Level	Documentation Notes	SSO Lead	Target Completion Date
1.1	1	0802.01	SSO FRAM	High	As per request from NNSA-HQ for Functions, Responsibilities and Authorities Manual for HQ Approval	AMOA	Completed 02/06/04 (next review/update due 08/30/04)
1.2	2	0603.03	NNSA Technical Qualification Plan	Med	Will be coordinated with the NNSA Service Center Training & Development Department	AMOA	06/30/04
1.4	2	1304.01	SSO ES&H Assessment Procedure & Schedule	Med	Will be updated on an annual basis	AMOA	Completed 11/13/03 (next review/update due 09/30/04)
2.3	2	1001.02	SSO Directives Process	Med	Internal process to supplement HQ Directives Process.	AMCABM	06/30/04
2.12	2	0702.02	SSO Document Control Process	Med	Implement consistent process throughout SSO.	AMCABM	12/30/04
2.13	2	0803.12	SSO Business Management System Document (Manual)	Med	Manual for Implementation & Maintenance of SSO BMS including Policy & Objectives.	AMCABM	12/30/04

SSO FRAM Implementing Documentation Plan

Reference #	Priority	SSO Procedure Number	SSO Procedure Name	Impact Level	Documentation Notes	SSO Lead	Target Completion Date
3.4	3	1306.01	SSO Price-Anderson Amendment Act (PAAA) Program Procedure	Low	Procedure to augment a PAAA coordination process in accordance with NNSA policies and procedures.	AMNFSB	12/30/04
4.1	2	0604.02	SSO Federal Employees Occupational Safety & Health (FEOSH) Procedure	Med	Procedure to augment a FEOSH process for SSO employees in accordance with NNSA policies and procedures.	AMOA	06/30/04
4.6	2	1202.01	SSO Operations Quality Assurance Program (QAP) Plan	Med	Procedure to augment DOE Order/Policy/Manual for a QA process.	AMDPQA	06/30/04
4.10	2	0803.05	SSO Issues Management System	Med	Procedure to document issues and their associated corrective and preventative actions.	AMCABM	12/30/04
4.16	2	0803.04	SSO Self-Assessment for Federal Operations	Med	Procedure for Internal Self-Assessment of Federal Operations	AMCABM	06/30/04