

## BUSINESS OPERATING PROCEDURE

BOP-07.01

Approved: 10-28-14

# DELEGATIONS OF NUCLEAR SAFETY AUTHORITY

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**NATIONAL NUCLEAR SECURITY ADMINISTRATION**  
**Associate Administrator for Infrastructure and Operations**

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**Office of Environment, Safety and Health**

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## **DELEGATIONS OF NUCLEAR SAFETY AUTHORITY**

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1. PURPOSE:

- a. To assure that the NNSA delegations process follows the requirements, process criteria, process attributes, and review expectations that were established by DOE O 450.2, Integrated Safety Management; and
- b. To delineate the process by which authority is delegated for nuclear safety responsibilities at nuclear facilities.

2. CANCELLATION: BOP 10.002, *NNSA Delegations of Nuclear Safety Authority*, December 10, 2009.

3. APPLICABILITY:

- a. NNSA Applicability. The provisions of this Business Operating Procedure (BOP) apply to all NNSA employees with nuclear safety responsibilities or delegated nuclear safety authorities.
- b. Contractors. Does not apply to contractors.
- c. Equivalencies. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 USC sections 2406 and 2511 and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.
- d. Exemption. This BOP does not apply to activities that are regulated by the Nuclear Regulatory Commission (NRC) or a state under an agreement with the NRC, including activities certified by the NRC under Section 1701 of the Atomic Energy Act.

4. REQUIREMENTS:

- a. The NNSA Nuclear Safety Delegation Procedure (Appendix 1) defines the process requirements and provides direction for requesting, evaluating, maintaining, rescinding, and assessing nuclear safety delegations of authority applicable to Hazard Category 1, 2 and 3 nuclear facilities.
- b. Delegations of nuclear safety authorities may only be made to individuals, not positions.
- c. Non-approved individuals may not execute nuclear safety authorities while in an acting capacity for an individual approved by methods defined in Appendix 1.

- d. This BOP and attachments shall be updated, as necessary, when requirements or process expectations for delegation of nuclear safety authorities change.

5. RESPONSIBILITIES:

a. Central Technical Authority

- (1) Concurs with nuclear safety delegations for those individuals below the most senior program officer or deputy at a field element or below the Deputy/Associate Administrator or deputy at Headquarters for NNSA approvals pursuant to 10 CFR 830, Subpart B, *Safety Basis Requirements*.
- (2) Concurs with nuclear safety delegations when compensatory measures are required.
- (3) Concurs with any Justification for Continued Operations/Documented Safety Analysis Addenda where no viable control strategy exists to prevent or mitigate consequences below the Evaluation Guideline (Reference b).
- (4) Concurs with any deviation from the DOE O 450.2 requirement to review delegations every two years.
- (5) Provides the Administrator and Cognizant Secretarial Officer (CSO) with appropriate recommendations when concerns raised by the Chief of Defense Nuclear Safety require corrective actions.

b. Chief of Defense Nuclear Safety

- (1) Supports the functions of the Central Technical Authority (CTA).
- (2) Reviews and assesses NNSA organizations with delegated authorities per criteria in Appendix 1, Section 7.C, every two years to determine whether adequate numbers of technically competent personnel and a framework of organizational processes necessary to meet nuclear safety requirements are maintained and identifies concerns to the Central Technical Authority and CSO.
- (3) Requests deviation from the CTA to assess NNSA organizations with delegated authorities beyond a two year periodicity.
- (4) Reviews and assesses the Headquarters implementation of the delegation procedure (Appendix 1) to evaluate whether it is adequate and functioning properly and identifies concerns to the Central Technical Authority and CSO.

c. Cognizant Secretarial Officer (CSO)

Note: The NNSA CSO was designated by the Administrator in Reference a.

- (1) Designates an office to perform evaluation, assessment, and maintenance functions of this directive.
- (2) Designates two senior managers to concur in delegation approval.
- (3) Approves/disapproves Field Office and Headquarters requests for delegation of nuclear safety responsibilities in accordance with Appendix 1.

d. Designated Senior Manager. Review nuclear safety delegation requests and sign Delegation Review form(s).

e. Deputy Administrators/Associate Administrators/Field Office Managers

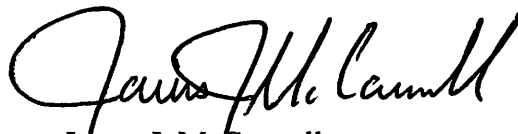
- (1) Submit requests for delegation of nuclear safety responsibilities to the CSO in accordance with the NNSA Delegation and Re-Delegation Nomination Form. (See Appendix 2)
- (2) Submit any requests for re-delegation of nuclear safety authorities to the original authority for approval and the CTA for concurrence.
- (3) Establish methodologies for documenting compensatory measures within the request, if necessary.
- (4) Ensure the delegates maintain their position and qualification, and that organizational capabilities to support the delegated authorities remain adequate.
- (5) Notify the CSO of any changes in delegation status.

f. Director, Office of Environment, Safety & Health (NA-00.10)

- (1) Perform evaluation, assessment and maintenance functions of this BOP in support of the CSO.
- (2) Include the Chief of Defense Nuclear Safety in the evaluation of delegation requests requiring CTA concurrence.
- (3) Designate two senior managers (Office Directors or above with STSM qualification) to concur in delegation approval.
- (4) Support the Chief of Defense Nuclear Safety in the performance of NNSA assessments every two years at Field Offices and Headquarters.

- (5) Maintain a delegation database for nuclear safety authorities delegated to individuals.
6. **REFERENCES:** All references in this Business Operating Procedure mean the cited or successor revision of the document. A successor document is one that cancels and/or replaces the cited document.
- a. Memorandum from Thomas D'Agostino to Distribution, *Realignment of Nuclear Safety Responsibilities and Authorities within the National Nuclear Security Administration*, November 8, 2012.
  - b. Memorandum from Department of Energy Central Technical Authorities to Distribution, *Interim Compensatory Measure for Mitigated Design or Derivative Design Basis Accidents Exceeding the Evaluation Guideline*, October 31, 2011.
  - c. DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*, August 28, 2007.
  - d. DOE O 450.2, *Integrated Safety Management*, April 25, 2011.
  - e. NNSA SD 450.2, *Functions, Responsibilities and Authorities (FRA) Document for Safety Management*, June 20, 2013.
7. **POINT OF CONTACT:** Questions concerning this Business and Operating Procedure Letter should be addressed to the Director, Office of Environment, Safety & Health (NA-00.10), 301-903-9022.

BY ORDER OF THE ADMINISTRATOR:



James J. McConnell  
Acting Associate Administrator  
for Infrastructure and Operations

**Appendixes:**

- 1. NNSA Nuclear Safety Delegation Procedure
- 2. NNSA Delegation and Re-Delegation Nomination Form
- 3. NNSA Administrator Memoranda, *Realignment of Nuclear Safety Responsibilities and Authorities Within the National Nuclear Security Administration*, November 8, 2013

**NUCLEAR SAFETY DELEGATION PROCEDURE**  
**for the**  
**NATIONAL NUCLEAR SECURITY ADMINISTRATION**



**October 2014**

## **FOREWORD**

**This procedure reflects the requirements and expectations of the National Nuclear Security Administration for the delegation of authority for nuclear safety requirements applicable to Hazard Category 1, 2 and 3 nuclear facilities. This procedure is intended to incorporate the requirements for delegations of nuclear safety authority in DOE O 450.2, *Integrated Safety Management*, and denotes the requirements and NNSA process expectations for such delegations.**

**NATIONAL NUCLEAR SECURITY ADMINISTRATION**

**NUCLEAR SAFETY DELEGATION PROCEDURE**

**TABLE OF CONTENTS**

|     |   |   |
|-----|---|---|
| 1.  | Applicability.....                                  | 1 |
| 2.  | Requests for Nuclear Safety Delegations.....        | 1 |
| 3.  | Headquarters Evaluation of Delegation Requests..... | 3 |
| 4.  | Re-Delegations.....                                 | 3 |
| 5.  | Compensatory Measures .....                         | 4 |
| 6.  | Organization Capability .....                       | 4 |
| 7.  | Assessments .....                                   | 5 |
| 8.  | Delegation of Other Safety Authorities.....         | 6 |
| 9.  | Rescinding Delegations.....                         | 7 |
| 10. | Maintenance of Delegation Records .....             | 7 |

APPENDIX 2: NNSA Delegation and Re-Delegation Nomination Form

APPENDIX 3: NNSA Administrator Memoranda, *Realignment of Nuclear Safety Responsibilities and Authorities Within the National Nuclear Security Administration*, November 8, 2012.

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1. APPLICABILITY.

- A. Nuclear safety delegations that most frequently apply are defined by the following:
- (1) *Safety Design Basis Approval Authority for new Hazard Category (HC) 2 and 3 nuclear facilities or major modifications* (includes Safety Design Strategies (SDSs) and associated approval documentation; Conceptual Safety Design Reports (CSDRs) and Conceptual Safety Validation Reports approving CSDRs; Preliminary Safety Design Reports (PSDRs) and Preliminary Safety Validation Reports approving the PSDRs; and Preliminary Documented Safety Analyses and associated Safety Evaluation Reports).
  - (2) *Safety Basis Approval Authority for new or existing HC 2 and 3 nuclear facilities* (includes Documented Safety Analyses; Technical Safety Requirements; Unreviewed Safety Question procedures; Justifications for Continued Operation; and Safety Evaluation Reports).
  - (3) *Startup and Restart of Nuclear and non-Nuclear Facilities including Accelerators and nuclear explosive operations* (includes restart authority for Hazard Category 2 & 3 nuclear facilities and High Hazard non-nuclear facilities; startup authority for Hazard Category 3 nuclear facilities and High Hazard non-nuclear facilities).
  - (4) *Facility Safety* (includes approving the basis for not including multiple physical barriers to prevent or mitigate the unintended release of radioactive materials to the environment, as part of the Hazard Category 1, 2 and 3 nuclear facility designs, where justified by sound technical basis).
- B. The delegation process for all other nuclear safety authorities contained in directives listed in Attachment 1 of DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*, is described in Section 8.

2. REQUESTS FOR NUCLEAR SAFETY DELEGATIONS.

- A. In accordance with DOE O 450.2, the CSO may delegate nuclear safety authorities to individuals who meet the following criteria:
- (1) Those who are not prohibited by statute, DOE safety directives, or DOE safety rules.
  - (2) Those who possess the necessary individual qualifications, experience, and expertise.

- a Approval of Safety Basis and Safety Design Basis documents (listed in Section 1 of this procedure), shall not be delegated below the Field Office Manager or deputy at a field element or Deputy/Associate Administrator or deputy at Headquarters, unless concurrence is obtained from the CTA.
    - b Experience and expertise consistent with senior level managers at a field element or Headquarters and qualifications that include (1) Senior Technical Safety Manager qualification consistent with DOE-STD-1175, *Senior Technical Safety Manager Functional Area Qualification Standard*, and the Federal Technical Capability (DOE 426) series directives, and (2) successful completion of the one-week *Nuclear Executive Leadership Training* course.
  - (3) The candidate's organization possesses the necessary staff resources with qualifications, experience, and expertise to support the candidate's delegated authorities. It is permissible for the candidate's organization to rely on other DOE entities (e.g., Headquarters mission or mission support organizations, DOE-EM Field Office at Savannah River, etc.) to augment its staff, provided a documented agreement between the organizations is in place.
  - (4) The candidate's organization has an acceptable framework of processes and procedures to implement the delegated authorities (see Section 6).
  - (5) Where delegations must be made (in rare cases) prior to the candidate fully satisfying the established criteria above, compensatory measures shall be established and implemented (see Section 5).
- B. For delegation requests of safety basis approval authority for Hazard Category 1 or 2 nuclear facilities, the CSO will retain approval authority for Justifications for Continued Operations/Documented Safety Analysis Addenda where no viable control strategy exists to prevent or mitigate consequences below the Evaluation Guideline. Compensatory measure(s) to address identified exigent circumstances will require CTA concurrence as described in Reference (b). This topic will be addressed in future revisions to DOE-STD-3009 and DOE-STD-1104.
- C. For an individual to receive a new delegation(s), the organizational head shall submit a memorandum to the CSO requesting the specific delegation(s) for the identified individual(s) in accordance with the NNSA Delegation and Re-Delegation Nomination Form (Appendix 2) to demonstrate the individual, supporting organization and processes meet the delegation criteria. Delegation requests should provide specific details on the conditions of the proposed delegation (e.g., delegation is for approval of revisions to DSA documents, delegation includes extended absences, etc.)

- D. Individuals proposed for delegations shall meet the following minimum qualification expectations with consideration of experience submitted on the nomination form:

| <b>Delegation</b>                    | <b>Minimum Expectation</b>  |
|--------------------------------------|---|
| Safety Design Basis and Safety Basis | Qualified as Senior Technical Safety Manager (STSM)<br><br>Complete Nuclear Executive Leadership Training |
| Startup / Restart                    | STSM Qualified  |
| Facility Safety                      | STSM Qualified  |

3. HEADQUARTERS EVALUATION OF DELEGATION REQUESTS.

- A. Upon receipt of the delegation request, the Office of Environment, Safety & Health (NA-00.10) shall conduct a thorough review of the delegation request to ensure that the criteria listed in Section 2 are met.
- B. For those delegations requiring concurrence of the Central Technical Authority (CTA), the delegation request shall be sent by the Office of Environment, Safety & Health (NA-00.10) to the Office of Nuclear Safety (NA-SH-80) requesting CTA concurrence, prior to the CSO's final approval. Delegations requiring CTA concurrence include:
- (1) Safety Design Basis and Safety Basis delegations to individuals below the Field Office Manager or Deputy;
  - (2) Delegations with compensatory measures (as described in section 5); and
  - (3) Restart delegations for Hazard Category 2 nuclear facilities and startup for Hazard Category 3 nuclear facilities to individuals below the Field Office Manager or Deputy<sup>1</sup>.
- C. A minimum of two senior managers (defined as Office Directors or above that are STSM qualified) shall concur on the delegation request prior to CSO approval.
- D. Once a delegation is approved, delegations remain in effect as long as the delegate maintains the position and qualifications, and the organization's capacities and capabilities remain adequate to support the delegate in the execution of the safety authorities. (Organization Capabilities discussed in section 6).

4. RE-DELEGATIONS.

- A. Re-delegations below the individual that was delegated nuclear safety authority

requires approval from the CSO and may also require CTA concurrence for those nuclear safety delegations listed in Section 1.

- B. Re-delegations can only be made to specific individuals, and not to organizational positions. Individuals may not execute safety authorities while in an acting capacity for the delegate unless the acting individual is delegated such authority as described in this procedure.

5. COMPENSATORY MEASURES.

- A. The criterion in Section 2.A(5) permits compensatory measures in rare cases. Delegations requiring compensatory measures require CTA concurrence (Section 3.B(2)).
- B. Organization leaders (Field Office Managers or Deputy/Associate Administrators) shall specify in their request how compensatory measures will be implemented. General expectations include:
  - (1) Where neither the organization's leader nor the Deputy has a technical background, the primary compensatory measure is concurrence from a senior person in the organization with technical qualifications consistent with Section 2.D for the delegated authority.
  - (2) When disagreement on a specific approval exists between the delegated authority and the person designated as a compensatory measure, the NNSA Differing Professional Opinion (DPO) process should be implemented.
  - (3) When agreement cannot be reached at the organization level, the organization's leader should initiate a DPO proposing the CSO decide on the action.
- C. Where NNSA biennial reviews indicate a need for improvement in the functional area associated with a delegated authority, compensatory measures for the identified issues will be determined on a case-by-case basis.
- D. Organizations shall ensure the compensatory measures are documented each time the delegated authority is executed and may determine their own methods for documenting the application of the compensatory measure.

6. ORGANIZATION CAPABILITY.

- A. The criteria in Section 2.A(3) and 2.A(4) relate to the capabilities of the delegate's organization. These criteria shall be addressed in sufficient detail to allow the CSO to approve the delegation.

- B. One acceptable method for addressing organization capabilities in the Delegation Nomination Forms is to cite the applicable results from the most recent NNSA biennial review of the organization performed by the Office of the Chief of Defense Nuclear Safety (CDNS). These reviews include thorough reviews of nuclear safety for startup/restart, safety basis, and other functional areas supporting facility safety; including an analysis of the organization's capabilities. Documentation requirements for citing the NNSA biennial review results are as follows:

| <b>Functional Area Result</b> | <b>Documentation Requirements</b>  |
|-------------------------------|--|
| Exceeds Expectations          | Simple citation of NNSA biennial review result and date of review – no further documentation required.   |
| Meets Expectations            | Simple citation of NNSA biennial review result and date of review – no further documentation required.   |
| Needs Improvement             | Citation of the NNSA biennial review results and a short narrative describing extent and severity of the noncompliance and status of corrective actions  |
| Does Not Meet Expectations    | A thorough discussion of issues identified by the NNSA biennial review and description/discussion of corrective actions, including an analysis of the effectiveness and completion status of corrective actions. |

- C. In lieu of using results of the NNSA biennial reviews, the organization shall provide other suitable documentation (e.g., staffing analysis, self or independent assessments, resumes, etc.) to demonstrate the office has adequate capability to support the delegate in the execution of safety authorities.

7. ASSESSMENTS.

- A. The Chief of Defense Nuclear Safety shall perform reviews every two years of Field Offices and Headquarters elements having delegated nuclear safety authorities to verify those individuals and their organizations have maintained the necessary capability to carry out assigned delegated safety authorities.
- B. The Chief of Defense Nuclear Safety shall obtain concurrence from the Central Technical Authority if a deviation from DOE O 450.2 requirement for two-year periodicity is needed.
- C. The assessments shall be based on the following criteria:

- (1) Individuals, and their organizations to whom safety responsibilities are assigned, possess the necessary qualifications, experience, and expertise to carry out those responsibilities;
    - (2) Organizations with safety responsibilities have the proper processes and procedures to implement the assigned responsibilities; and,
    - (3) Organizations with safety responsibilities have adequate resources, including sufficient staff and funding, to carry out assigned responsibilities.
  - D. Compensatory measures, corrective actions, or rescinding of approvals shall be instituted, as necessary if the necessary capability to carry out assigned safety responsibilities or delegated safety authorities falls below established criteria or is found lacking.
  - E. The Office of Environment, Safety & Health (NA-00.10) shall participate, when practical, in NNSA biennial reviews of Field Offices and Headquarters to evaluate, among other functional areas, nuclear safety delegations.
  - F. Organizations with delegated authorities shall ensure their qualifications, procedures/processes, and capabilities and capacities are maintained so that delegated authorities can be properly carried out. Per DOE O 226.1 and 450.2 requirements, organizations shall periodically conduct self-assessments of areas related to delegation and shall take appropriate steps to correct any identified issues.
8. DELEGATION OF OTHER SAFETY AUTHORITIES. In addition to the delegations identified in Section 1, other delegations not already specified in the NNSA and Field Office FRA documents may be permitted. Responsibilities from DOE directives listed in DOE O 410.1, Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements, shall follow applicable portions of this procedure to delegate authorities if not prohibited by the source directive or DOE O 251.1. It is the responsibility of each requesting organization to ensure:
- A. Adequate capabilities/capacities are established and maintained to execute the delegated authority and periodically reviewed by the delegated organization;
  - B. Re-delegations are documented and made to individuals who meet requirements specified in source directives and this procedure;
  - C. Delegations and re-delegations are maintained with an up-to-date list of delegations.

9. RESCINDING DELEGATIONS.

- A. Delegations are automatically rescinded under the following conditions:
  - (1) The delegate transfers, retires, or otherwise leaves the organization/position for which the delegated authority is defined;
  - (2) The delegate fails to maintain required qualifications;
  - (3) The organization's capability or capacity is determined by NNSA biennial review or other means to inadequately implement the delegated authority; or
  - (4) For Cause.
- B. In the event that an individual's delegation is rescinded or otherwise invalid and no other individual at the organization has received the delegated authority, the delegated authority automatically reverts to the CSO.

10. MAINTENANCE OF DELEGATION RECORDS.

- A. The Office of Environment, Safety & Health (NA-00.10) shall maintain a delegation database, or otherwise document within the NNSA FRA document, documenting the current nuclear safety delegations covered by this procedure.
- B. The Field Office Manager or Deputy/Associate Administrator shall notify the CSO of any changes in delegation status (e.g., reassignment of a delegation, retirement of a delegate, delegate losing qualification status, etc.).

## **APPENDIX 2 - NNSA Delegation and Re-Delegation Nomination Form**

Delegate Name:

Delegate's Organization / Position:

Delegations Proposed:

*List either entire delegation categories from Section 1 of the procedure or other delegations requested from Sections 2, 4, or 8. Include any restrictions and conditions (e.g., delegate would only approve revisions to safety basis documents). Note if CTA concurrence is required.*

Delegate's Education and Experience:

*List technical degrees, professional licenses, certifications, and years of relevant experience with biography or resume attached.*

Delegate's Qualification:

*State whether delegate is STSM qualified (and re-qualification due date). Include attendance date for Nuclear Executive Leadership Training, if applicable. Include other qualifications, as appropriate.*

Compensatory Measures:

*List any compensatory measures, if necessary, and how these compensatory measures will be implemented and documented.*

Organization's Capabilities / Capacity

*As discussed in Section 6 of the procedure.*

Other Conditions to Justify Delegation:

*For use in response to Section 2.D of the procedure, or as necessary for other requests..*

### **Sample NNSA Delegation Nomination Form**

Delegate Name:

***Mr. Field Office Manager***

Delegate's Organization / Position:

*XXX Site / Field Office Manager*

Delegations Proposed:

Nuclear Safety Delegation Procedure, Section 1 Example:

*Safety Basis Approval Authority for new Hazard Category (HC) 2 and 3 nuclear facilities or major modifications (includes Safety Design Strategies (SDSs) and associated approval documentation; Conceptual Safety Design Reports (CSDRs) and Conceptual Safety Validation Reports approving CSDRs; Preliminary Safety Design Reports (PSDRs) and Preliminary Safety Validation Reports approving the PSDRs; and Preliminary Documented Safety Analyses and associated Safety Evaluation Reports).*

*Safety Basis Approval Authority for new or existing HC 2 and 3 nuclear facilities (includes Documented Safety Analyses; Technical Safety Requirements; Unreviewed Safety Question procedures; Justifications for Continued Operation; and Safety Evaluation Reports).*

*Startup and Restart of Nuclear and non-Nuclear Facilities including Accelerators and nuclear explosive operations (includes restart authority for Hazard Category 2 & 3 nuclear facilities and High Hazard non-nuclear facilities; and startup authority for Hazard Category 3 nuclear facilities and High Hazard non-nuclear facilities)*

Nuclear Safety Delegation Procedure, Section 8 example:

Approval of *Radiation Protection Programs* as required by 10 CFR 835

Delegate's Education and Experience:

*B.S. Chemical Engineering, XXX University*

*M.S. Nuclear Engineering, YYY State University*

*20 years of experience in commercial nuclear power and DOE nuclear facilities, including 6 years as Assistant Manager for Operations at ZZZ site, qualified reactor operator at AAAA nuclear power plant (see attached resume/biography).*

Delegate's Qualification:

*STSM qualified on 7/6/11; re-qualification date 7/6/16*

*Scheduled to attend Nuclear Executive Leadership Training May 5, 2013.*

Compensatory Measures:

*Until such time as Mr. Field Office Manager completes NELT, the delegated authorities for Safety Basis and Startup will be exercised with the compensatory measure of documented concurrence from Ms. Deputy Field Office Manager who meets all qualifications. Ms. Deputy Field Office Manager will serve as an independent review and disagreements related to these delegated authorities will be vetted through the NNSA Differing Professional Opinion process. Upon completion of NELT by Mr. Field Office Manager, the documented concurrence of Ms. Deputy Field Office Manager will no longer be required.*

Site's Capabilities / Capacity:

*Adequate site capabilities and capacities exist and were evidenced in the NNSA biennial review conducted in December 2011. The following are the results from the review:*

| Functional Area | Grade                | Comments  |
|-----------------|----------------------|---|
| Safety Basis    | Meets Expectations   | Demonstrates sites capability/capacity for safety basis delegations   |
| Startup/Restart | Needs Improvement    | The review identified that the restart procedure did not meet the requirements of DOE O425.1C. Procedure has been revised to incorporate all requirements of DOE O425.1C. Field office personnel have trained on the changes and successfully executed a facility restart since the procedure change. |
| Rad Protection  | Exceeds Expectations | Demonstrates sites capability/capacity for delegation to approve radiation protection program per 10 CFR 835  |
| QA              | Meets Expectations   | Demonstrates sites capability/capacity for delegation to approve QA program.  |

Other Conditions to Justify Delegation: None

**APPENDIX 3 – NNSA Administrator Memoranda, *Realignment of Nuclear Safety Responsibilities and Authorities Within the National Nuclear Security Administration*,  
November 8, 2013**

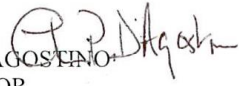


**Department of Energy**  
National Nuclear Security Administration  
Washington DC 20585

November 8, 2012

OFFICE OF THE ADMINISTRATOR

MEMORANDUM FOR DISTRIBUTION

FROM: THOMAS P. D'AGOSTINO   
ADMINISTRATOR

SUBJECT: Realignment of Nuclear Safety Responsibilities and Authorities  
within the National Nuclear Security Administration

I am realigning the National Nuclear Security Administration (NNSA) operations and infrastructure functions, to among other objectives, centralize and elevate the focus on safety for all NNSA operations. In the prior organizational model, the Office of Defense Programs held program responsibilities for its programmatic functions as well as for the infrastructure and operations matters for other programs functioning at NNSA sites. The Office of Defense Nuclear Nonproliferation (NA-20) holds similar responsibilities for two nuclear facilities. I have decided to realign the "landlord" safety functions for NNSA to the centralized Office of Infrastructure and Operations (NA-00). To execute this change, I am designating James J. McConnell, the Deputy Associate Administrator for Infrastructure and Operations, to be the NNSA Cognizant Secretarial Officer (CSO). I will hold him accountable as the single point of focus for operational safety issues at NNSA sites.

Existing safety delegations (see attached) remain in effect to assist Mr. McConnell in the execution of CSO responsibilities. All delegations of safety-related functions will continue to be executed in accordance with Business Operating Procedure (BOP 10.002), *Delegations of Nuclear Safety Authority*.

These newly assigned functions, responsibilities, and authorities will be reflected in an update to NA-1 SD 450.2, *NNSA Functions, Responsibilities and Authorities (FRA) Document for Safety, Security and Operations Management* by November 30, 2012. The Associate Administrator for Safety and Health is responsible for the revision of the NNSA FRA document. Central elements of the changes to this document will include:

1. In accordance with the principles of Integrated Safety Management, all line managers are still responsible for the safety implications of the decisions they make and the programs they manage.
2. The responsibility and accountability for nuclear explosive safety will remain with Defense Programs.
3. For new or major modification to nuclear facilities, the Safety Basis Approval Authority will be designated by the Associate Administrator for Infrastructure and



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Operations or the Deputy; the functions are defined in 10 CFR 830 and DOE Standard 1189.

4. Certification and approval of packaging and containerization will be performed by previously delegated personnel now resident in the Office of Infrastructure and Operations.
5. Startup Approval Authority for Hazard Category 2 nuclear facilities with a total project cost less than \$200 million is delegated to the Associate Administrator for Infrastructure and Operations or the Deputy, but may not be delegated further.
6. Independent safety oversight authorities and responsibilities are not affected by these changes. Specifically, the oversight and policy roles of the NNSA Office of Safety and Health (NA-SH) and the DOE Office of Health, Safety and Security (HSS) do not change.
7. I will retain the role and responsibilities of the Central Technical Authority for NNSA.

If you have questions regarding this matter, please contact James McConnell at (202) 586-4379.

Attachment

#### DISTRIBUTION LIST

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Attachment

| Function   | Reference                  | Existing Delegations                | NA-00 Responsibilities and Authorities   |
|--|----------------------------|-------------------------------------|--|
| Safety Basis Approval  | 10 CFR 830<br>DOE O 413.3B | References 1, 4-15, and 20          | DOE Management Official<br>Safety Basis Approval Authority   |
| Facility Safety  | DOE O 420.1B               | References 1, 4, 6-8, and 20        | Secretarial Officer  |
| Conduct of Operations  | DOE O 422.1                | Reference 17                        | Program Secretarial Officer  |
| Startup and Restart Approval Authority   | DOE O 425.1D               | References 2-4, 7, 8, 10-15, and 19 | Program Secretarial Officer  |
| Packaging and Transportation Safety  | DOE O 460.1C               | References 16 and 18                | NNSA Certifying Official   |
| Packaging and Transportation for Offsite Shipments of National Security Interest | DOE O 461.1B               | References 16 and 18                | NNSA Service Center, Assistant Deputy Administrator for Nuclear Safety and Operations, and Director Office of Technical Services |

**References:**

1. Memorandum from D. Cook to K. Smith, *Approval of Nuclear Safety Delegation for Los Alamos Site Office*, September 8, 2010.
2. Memorandum from D. Cook to K. Smith, *Approval of Nuclear Safety Delegation for Los Alamos Site Office*, September 27, 2010.
3. Memorandum from D. Cook to K. Smith, *Removal of Compensatory Measures Associated with Delegation of Authority for the Startup and Restart of Nuclear and Non-nuclear Facilities*, October 24, 2011.
4. Memorandum from D. Cook to K. Smith, *Approval of Nuclear Safety Delegation for Mr. Juan L. Griego, Deputy Manager, Los Alamos Site Office*, March 15, 2012.
5. Memorandum from D. Cook to T. Sherry, *Approval of Nuclear Safety Delegation for Y-12 Site Office*, September 16, 2011.
6. Memorandum from BGEN G. Harencak to T. Sherry, *Approval of Nuclear Safety Delegation for Y-12 Site Office*, June 7, 2010.
7. Memorandum from R. Smolen to S. Erhart, *Approval of Nuclear Safety Delegations for Steve Erhart at the Pantex Site Office*, February 12, 2008.
8. Memorandum from D. Cook to S. Erhart, *Approval of Nuclear Safety Delegation for Pantex Site Office*, April 19, 2011.
9. Memorandum from T. D'Agostino to D. Glenn, *Approval of Nuclear Safety Delegations*, October 19, 2006.

**Attachment**

10. Memorandum from D. Cook to K. Davis, *Approval of Nuclear Safety Delegation for Kimberly A. Davis, Manager, Livermore Site Office*, March 1, 2012.
11. Memorandum from D. Cook to A. Williams, *Approval of Nuclear Safety Delegation for Livermore Site Office*, June 10, 2011.
12. Memorandum from R. Smolen to S. Mellington, *Approval of Nuclear Safety Delegations*, March 27, 2008.
13. Memorandum from D. Cook to S. Mellington, *Approval of Nuclear Safety Delegation for Mr. Steven Lawrence, Deputy Manager, Nevada Site Office*, March 28, 2012.
14. Memorandum from BGEN J. George to D. Dearolph, *Approval of Nuclear Safety Delegations for Douglas J. Dearolph as Manager, Savannah River Site Office*, February 2, 2009.
15. Memorandum from D. Cook to P. Wagner, *Approval of Nuclear Safety Delegation for Mr. Richard F. Sena, Deputy Manager, Sandia Site Office*, February 28, 2012.
16. Memorandum from D. Cook to J. McConnell, *Approval of Nuclear Safety Delegations for Packaging and Transportation*, July 7, 2011.
17. Memorandum from D. Cook to Site Office Managers, *Delegation of Authority to Determine Applicability of Department of Energy Order 422.1 Conduct of Operations, to Non-nuclear Facilities at your Respective Sites*, April 11, 2011.
18. Memorandum from T. D'Agostino to D. Cook, *Assignment of Packaging and Transportation Responsibility*, June 16, 2011.
19. Memorandum from L. Brooks to Deputy Administrator for Defense Programs, *ACTION: Delegation of Authority for Order 425.1C, Startup and Restart of Nuclear Facilities*, April 20, 2005.
20. Memorandum from K. Baker to D. Dearolph, *Safety Basis Approval Authority(SBAA) for Office of Fissile Materials Disposition Nonproliferation Projects at Savannah River Site (SRS)*, March 31, 2010.