| BOP 10.003 |

Approved: 01-18-12

Site Integrated Assessment Plan (SIAP) Development, Updating, and Reporting

NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of Defense Programs

Site Integrated Assessment Plan (SIAP) Development, Updating, and Reporting

1.   PURPOSE: This BOP establishes a standard process for the annual development, updating, and reporting of SIAPs across the NNSA Nuclear Security Enterprise as described in Chapter 9 of NNSA Policy Letter "Transformational Governance and Oversight" (NAP 21). It also supports Department of Energy (DOE) Order 226.1B, *Implementation of Department of Energy Oversight Policy,* Section 4, Requirements, Subsection b, which requires written plans and schedules for planned assessments.

2.   CANCELLATIONS: None

3.   APPLICABILITY:

       a.   This BOP applies to the NNSA Field Elements that are responsible for oversight of Management and Operating (M&O) and/or prime contractors, and NNSA Deputy and Associate Administrator designated organizations responsible for oversight of Field Element oversight programs. Specific aspects of M&O operations such as financial management or program execution are also included. Attachment 1, *Enterprise Oversight Areas* is a representative, but not all-inclusive list of oversight activities that are within the scope of this BOP.

       b.   This BOP, including attachments, does not establish requirements for performing oversight. Those requirements are dictated by Federal law, DOE directives, and HQ and Field element specific oversight documents. The current version of the NNSA Functions, Responsibilities, and Authorities (FRA) document delineates the specific organizational roles and responsibilities for conducting oversight activities. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 USC Sections 2406 and 2511, and to ensure consistency throughout 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 BOP for activities under the Director's cognizance, as deemed appropriate.

4.   BACKGROUND:

       a.   The objective of this BOP is to establish a standard process for the annual development, updating, and reporting of SIAPs across the NNSA Nuclear Security Enterprise. The integration of organizational elements in the development of the SIAPs is intended to:

              (1)   Facilitate the efficient use of assessment resources by avoiding duplicative assessment efforts. Also facilitate the sharing of assessment information across the NSE

> (2)   Promote the integration of assessments conducted by organizations external to the Site Office with those conducted by the Site Office or site contractors.
>
> (3)   Provide a means for identifying opportunities to gain efficiencies by combining similar assessment activities.
>
> (4)   Provide a means for determining whether the number, type, and or complexity of assessment activities are consistent with the contractor or field element performance in the area being reviewed, the confidence in the implementation of the Contractor Assurance System (CAS), the risk of adverse performance on mission success, and the inherent risk of the area and/or operation being reviewed.
>
> (5)   Provide a tool for the Site Office Manager (SOM) to review the integrated assessment activities across their site and to challenge the basis for any proposed assessment activities that are not consistent with the above, and or do not meet the NNSA oversight principles, included in NAP-21, prior to approving the SIAP.
>
> (6)   Provide a tool for NNSA HQ managers to communicate to DOE oversight organizations and other stakeholders the extent of integrated assessment activities across the NNSA. This communication may influence the selection of oversight activities conducted by these organizations and promote the effective integration of oversight activities planned by these organizations into the related SIAP.

5.   REQUIREMENTS: This BOP outlines the process for SIAP development, update, and reporting for each site. The SIAP subsumes formerly required assessment plans developed external to the Site Offices such as functional management plans required by previous revisions of NNSA SD 226.1.

> a.   Overall Process Description: The overall process sequence for development and updating SIAP, through issuance of the annual report, is depicted in Figure 1 below.
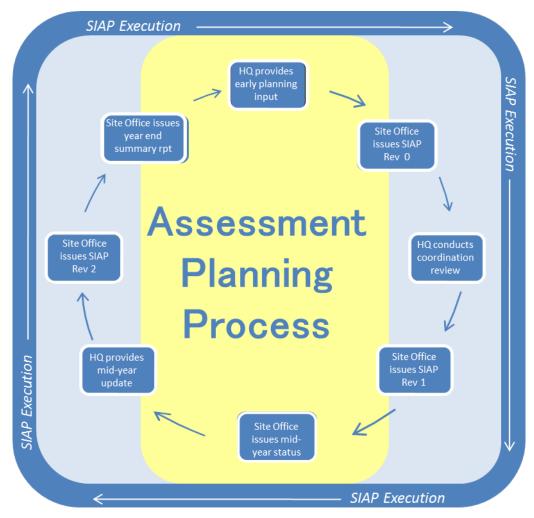
Figure1. – Assessment Planning Process

The development of the SIAP normally starts in June with the Site Offices' receipt of HQ initial planning guidance for the upcoming fiscal year. The Site Office completes the development of a draft SIAP by integrating the assessments identified from the site's internal assessment selection process including self assessments, assessments identified by HQ, and any shadow or joint assessments identified based on a review of the contractor's annual assessment plan. The Site Office Manager (SOM) then approves the SIAP (Revision 0) by October 1, for execution in the current fiscal year.

b. A first update of the SIAP is developed based on input from a HQ coordination review of the SIAPs from all Sites and interactions with organizations external to NNSA, which is intended to identify further opportunities for integration of their planned assessment activities. This first update results in Revision 1 of the SIAP, which is approved by the SOM in December. A second update of the SIAP is performed to address changing conditions and to document the actual status of

planned assessments in the SIAPs. The second update results in Revision 2 of the SIAP approved by the SOM in May.

c. The Site Office collects final status of the planned assessments in the SIAP at the end of the fiscal year. This information is used to support a required SOM Overview that outlines the rationale for any significant shifts in assessment activity types and emphasis areas for the new fiscal year, compared to the plan executed in the previous fiscal year.

d. The specific steps in the SIAP development and update process are described below:

   (1) Step 1 – HQ provides initial assessment and oversight planning input to Site Offices: HQ designated points of contact (Integrated Assessment POCs) provide initial assessment and oversight planning input to the Site Offices. The initial HQ planning input includes enterprise-wide or site-specific focus areas and known reoccurring assessments for the upcoming year. The focus areas are intended as early planning aids that are expected to be covered by either the contractor's or Site Office's assessment activities. The responsibility for overall assessment planning remains with the Field and HQ Organizations as described in section 3, a. This input is provided by June 30 to support the development of the SIAP for the next fiscal year.

      (a) The intended content of the initial HQ planning input is described below:

         1 Oversight Focus Areas
            • Enterprise emphasis areas from the Office of the Administrator and other senior leadership or;
            • Function- or site-specific emphasis area based on any known vulnerabilities or performance weaknesses that pose a high risk to mission execution for the upcoming year

         2 Required Reoccurring Assessments
            • Those assessments defined by statute, regulation or DOE directive, and whose execution cannot be delegated to the Site Office or contractor regardless of contractor performance or line oversight effectiveness

(b)   This input is documented using the template provided as Attachment 2, *HQ Initial Assessment and Oversight Planning Input Template.*

(c)   The NNSA Office of Nuclear Safety and Governance, NA-171 collects the inputs from the HQ organizations, and provides a consolidated input to the Site Offices.

(2)   Step 2 -- Site Office develops Revision 0 of the SIAP: The SOM then approves the SIAP (Revision 0) by October 1. The approved SIAP, Revision 0, is provided electronically to NA-171, for distribution to HQ and external stakeholders. Sites have the option of incorporating the contractor's assessment plan in the SIAP or including it as an attachment to the SIAP.

(3)   Step 3 – HQ conducts a SIAP coordination review:

(a)   The SOM provides NA-171 with a copy of the approved SIAP, Revision 0, by October 15. The SOM also provides a SIAP annual summary report that provides status of the previous fiscal year's SIAP and the basis for the level of and selection of Site Office assessment and oversight activities in the current year SIAP. The expectations for the content of this report are described in Step 8.

(b)   NA-171 coordinates a review of the SIAPs and SIAP annual summary reports with the NNSA Integrated Assessment POCs Mission and Mission Support Managers. NA-171 develops the guidance and internal timeline for this review.

(c)   During this coordination review, the HQ Integrated Assessment POCs are encouraged to share the NNSA integrated oversight plans with stakeholders outside of NNSA. This would include the independent oversight group in the DOE Office of Health, Safety, and Security (HSS), the Office of Investigations in the DOE Office of Inspector General (IG), and other DOE mission areas such as Project Management within the Office of Engineering and Construction Management - (OECM) and Environmental Management (EM). These organizations could choose to meet their needs by participating in or "shadowing" NNSA assessments identified in the SIAPs, or requesting reports generated by NNSA activities.

(d)   Proposed changes resulting from this coordination review are documented using the template provided as Attachment 3, *HQ SIAP Input Template.*

     (e)   NA-171 reviews the inputs from the NNSA Integrated Assessment POCs to determine if the input is consistent with the NNSA operating principles and NAP-21. NA-171 provides a consolidated set of inputs to each Site Office's Point of Contact (POC) by December 1.

(4)   <u>Step 4 -- SOM issues Revision 1 of the SIAP:</u>

     (a)   The Site Office makes any necessary changes to its SIAP based on the input provided in Step 3. Revision 1 of the SIAP, which includes that input, is provided to the SOM for review and approval by December 20.

     (b)   The approved SIAP, Revision 1, is provided electronically to NA-171 for distribution to HQ and external stakeholders.

     (c)   Note: In the event that a SOM disputes the need or basis for a new assessment activity identified during the coordination review, the SOM notifies NA-171 of the issue. If NA-171 cannot resolve the issue, it will be elevated to the Deputy Administrator for Defense Programs (NA-10) and, if necessary the Principal Deputy Administrator, for resolution. If the issue is not resolved by December 20, the SOM will approve Revision 1 of the SIAP and any outstanding issues will be annotated in the approval.

(5)   <u>Step 5 -- Site Office provides a SIAP mid-year status:</u> By April 15, the Site Office provides NA-171 with the status, as of March 31, of the planned assessment activities in the SIAP for each of the assessment types included in Attachment 4, *Enterprise Assessment Types.* This status includes the number of activities completed, cancelled, and deferred into the next fiscal year, as well as the number of any new assessment activities identified and approved by the SOM in each of the enterprise assessment categories. The status also includes an updated schedule of all the Site Office activities that HQ personnel were planning to participate in or shadowing based on Revision 1 of the SIAP.

(6)   <u>Step 6 -- NA-171 coordinates HQ SIAP mid-year update:</u>

     (a)   NA-171 distributes the SIAP Mid-Year Status for each Site to the functional and topical Integrated Assessment POCs within NA-10 and outside of NA-10. NA-171 is responsible for providing guidance for HQ review requirements and the corresponding schedule.

(b)   The HQ Integrated Assessment POCs review the status of planned HQ and external oversight activities included in the approved Revision 1 of the SIAP. The Integrated Assessment POCs also provide an updated schedule for the remaining planned HQ activities in Revision 1 of the SIAP.

(c)   If an HQ POC identifies a need for a new assessment activity, this is documented separately with a basis for the activity described and a planned schedule identified. Any new HQ-led assessment activity is documented in Attachment 3, *HQ SIAP Input Template*.

(d)   NA-171 reviews the input provided by the HQ Integrated Assessment POCs and provides the Site Offices a consolidated update of planned activities in the SIAP, Revision 1, and any new HQ-led assessments documented on the template provided in Attachment 3. This input is required by May 15.

(7)   Step 7—Site Office issues Revision 2 of the SIAP:

(a)   As in Step 4, the Site Office incorporates changes using the consolidated input from NA-171 and issues Revision 2 of the SIAP, signed by the SOM, by May 30. If necessary, disputes are resolved using the approach outlined in Step 4(c).

(b)   The approved SIAP, Revision 2, is provided electronically to NA-171 for distribution to HQ and external stakeholders.

(8)   Step 8 — Site Office provides a SIAP end of year summary:

(a)   The SOM provides NA-171 with the SIAP end of year summary report by October 20.

(b)   This report includes the status of the concluded year SIAP for each of the enterprise assessment types. In addition to this summary, each site provides the SOM's overview of how the planned assessment and oversight activities in the SIAP have been adjusted for the upcoming year. This overview should include a high-level assessment of the maturity of the contractor assurance system, contractor performance, and field element oversight for each of the applicable enterprise oversight areas, and the rationale for significant changes in the number, type, and mix of assessment activities in the SIAP compared to the previous year's plan. Examples would be an increase in assessment activity related to a new mission or new vulnerability, or a decrease associated with sustained good performance or a change in risk or requirements.

6.   RESPONSIBILITIES:

    a.   Principal Deputy Administrator: Resolves disputes between SOMs and HQ program areas and oversight areas external to NA-10.

    b.   Deputy Administrator for Defense Programs (NA-10): Evaluates and resolves any disagreements within NA-10 oversight functional / topical areas and SOMs.

    c.   NNSA Deputy and Associate Administrators:

        (1)   Identify Integrated Assessment POCs for each of the Enterprise Oversight Areas in Attachment 1 within their area of responsibility to:

            (a)   Monitor scheduling and performance of HQ assessment activities included in approved SIAPs.

            (b)   Require HQ assessments to be planned and performed using a documented process that is consistent with the NNSA Assessment Planning and Performance Principles.

        (2)   Work through NA-10 and the Principal Deputy Administrator, if required, to resolve any disagreements with Site Offices related to the coordination review or midyear update input.

    d.   Site Office Managers:

        (1)   Designate a Site Integrated Assessment POC to work with NA-171 in executing this BOP.

        (2)   Approve Revision 0, Revision 1, and Revision 2 of the SIAP for their Site.

        (3)   Provide SIAP Mid-Year and End of Year Summary to NA-171.

        (4)   Work through NA-10 to resolve any disagreements with requested assessment activities.

    e.   Site Office Integrated Assessment POCs:

        (1)   Receive and distribute the initial NNSA HQ oversight and assessment planning input within the Site Office to begin the SIAP development process.

        (2)   Provide electronic copies of the approved SIAP (and M&O contractor assessment plan if not included in the SIAP) to NA-171 by October 15 of each year.

(3)   Provide the SIAP End of Year summary with the submittal of the SIAP, Revision 0, to NA-171.

(4)   Provide the SIAP Mid-Year Status to NA-171 by April 15.

(5)   Provide electronic copies of the SIAP, Revision 1 and SIAP, Revision 2 to NA-171 by December 24, and May 15 respectively.

f.   HQ Integrated Assessment POCs:

(1)   Collect HQ Initial Assessment and Oversight Planning Input for responsible oversight area and provide to NA-171 using Attachment 2.

(2)   Receive Revision 0 of the SIAP and facilitate coordination with DOE oversight counterparts to identify any additional NNSA HQ-led assessments, identify any DOE planned assessments (e.g., HSS, IG, OECM, EM, etc.), identify any Site Office assessments in which HQ staff will participate (joint assessments), and identify any site- or contractor-led assessments that HQ plans to shadow.

(3)   Review and update planned activities for their oversight area and document any new required assessment activities during the SIAP mid-year update cycles. Provide input to the NA-171 using Attachment 3.

g.   NNSA Office of Nuclear Safety and Governance (NA-171) Integrated Assessment POC:

(1)   Update and revise this BOP, including all attachments as required.

(2)   Support NA-10 and the Principal Deputy Administrator as required to resolve any SIAP-related issues with HQ Deputy and Associate Administrator organizations and or Site Office Managers.

(3)   Collect and consolidate the HQ assessment and oversight initial planning input and provides to the Site Offices by the end of June.

(4)   Provides guidance and monitors the HQ coordination review process, and the Mid-Year Update Process.

(5)   Consolidate the SIAP review inputs from the HQ oversight areas and the functional/topical areas within NA-10.

(6)   Provide the Site Office Integrated Assessessment POCs consolidated SIAP input to the Site Offices

(7)   Reviews the SIAP Mid-Year Status and SIAP End of Year Summaries and develops enterprise level assessment implementation status reports.

7.   <u>CONTACT</u>: Questions should be addressed to the Office of Nuclear Safety and Governance Reform, NA-171, 505-845-4313.

BY ORDER OF THE ADMINISTRATOR:

DONALD L. COOK
Deputy Administrator
For Defense Programs

<u>Attachments</u>:
1 -- Enterprise Oversight Areas
2 -- HQ Initial Assessment and Oversight Planning Input Template
3 -- HQ SIAP Input Template
4 -- Enterprise Assessment Types

Attachment 1:   Enterprise Oversight Areas

Note: This list is not intended to be all-inclusive nor applicable in its entirety to specific sites

Functional Areas	Topical Areas
Self Assessment	All Federal Processes
Business Management	Contract Administration
	Contractor Human Resources
	Personal Property Management
	Procurement System
	Small Business
Cyber Security	Federal Information Security Management Act (FISMA)
	NNSA Information Assurance Response Center (NIARC)
	Risk Management Approach (DOE O 205.1)
	Risk Framing
	Risk Assessing
	Risk Response
	Risk Monitoring
Emergency Management	Emergency Planning
	Hazard Surveys
	Emergency Planning Hazards Assessment (EPHA)
	Emergency Preparedness
	Training/Drills
	Exercises
	Readiness Assurance
	Evaluations
	Improvements
	ERAPS
Environment, Safety, and Health (ES&H)	Federal Employee Occupational Safety and Health (FEOSH) Program
	Chronic Beryllium Disease Prevention Program (CBDPP-10 CRF 850)
	Non-Nuclear Quality Assurance (DOE O 414.1D)
	Environmental Management System (EMS)
	Integrated Safety Management (ISM) System
	Activity Level Work Planning and Control
	Worker Safety and Health Program (WSHP-10 CRF 851)
	Construction Safety

Functional Areas	Topical Areas
	Fire Protection Program (Non-Nuclear Facilities and Program)
	Pressure Safety
	Industrial Hygiene
	Motor Vehicle Safety
	Occupational Medicine
	Electrical Safety
	Explosive Safety
	Operational Experience Program
External Oversight	Government Accountability Office (GAO)
	Inspector General (IG)
	Defense Nuclear Facilities Safety Board (DNFSB)
Financial Management	Federal Managers Financial Integrity Act (FMFIA)
	Office of Management and Budget (OMB) Circular A-123
	Biennial Pricing Review
	Financial Law and Regulation Compliance
	Annual Cost Incurred and Claimed Validation
	Overhead Rate and Allocation Review/Approval
	Indirect Cost Rate Submission
	Financial Control System Risk Assessment
	Budget Submission and Validation Review
	Financial Management Systems Review
Infrastructure Management	Readiness in Technical Base and Facilities (RTBF) Program
	Nuclear Facilities
	Non-Nuclear Facilities
	Energy and Utilities
	Non-Nuclear Real Property Maintenance
	Real Estate
	Site Planning
Nuclear Facility Operations Authorization	
	Documented Safety Analysis (DSA) Review and Approval
Nuclear Non Proliferation Program	Program Review
Nuclear Safety	Federal Nuclear Safety Roles & Responsibilities and Delegations
	Federal Nuclear Safety Staffing

Functional Areas	Topical Areas
	Nuclear Safety Requirements Management
	Safety Basis Implementation
	Nuclear Safety / Nuclear Facility Quality Assurance
	Unreviewed Safety Question (USQ) Process Implementation
	Safety Software Quality Assurance
	Nuclear Facility Maintenance
	Nuclear Facility Emergency Response
	Contractor Training and Qualification
	Federal Training and Qualification Program
	Conduct of Operations
	Nuclear Facility Fire Protection Program
	Radioactive Waste Management
	On-Site Nuclear Packaging and Transportation
	Radiation Protection
	Verification of Readiness Program (DOE O 425.1D)
	Conduct of Engineering
	CSE program
	Configuration Management
	System, Structure and Components (SSC) Operability Determination
	Operability Determination
	Criticality Safety
	Facility Representative Program
	Nuclear Explosive Safety
	Feedback and Improvement Systems
Project Management	Project Review
	Independent Project Review (IPR)
	Technical Independent Project Review (TIPR)
	Office of Engineering and Construction Management (OECM) Review
Safeguards and Security	Protection Program Management
	Personnel Security
	Physical Security Systems
	Material Control and Accountability
	Classified Matter Protection and Control
	Protective Force Program
	Force and Force Performance Testing
	Classification and Information Control

Functional Areas	Topical Areas
Weapons Program	Weapons Surveillance Program Review
	Off-Site Packaging and Transportation
	Life Extension Program (LEP) Program Review
Weapon Quality Program	NNSA Site Office Survey - Quality Assurance Survey – Level 1, (QAS-1)
	Weapons QA Program Review – Quality Assurance Survey – Level 1 (QAS-1)
	Quality Assurance Survey – Level 2 (QAS-2)
	QAS-2 Stamping Survey
	Quality Assurance Survey – Level 3 (QAS-3)
	Quality Assurance Survey – Level 4 (QAS-4)
	Metrology Survey – PSL
	Vendor Survey
	Weapons Surveillance Program Survey
	Product Realization Team Survey

HQ Initial Assessment and Oversight Planning Input Template

1 **Organizational Element**

2 **Enterprise Level Emphasis Area**

3 **Site-Specific Emphasis Area**

Submitter:

Attachment 3
HQ SIAP Input Template

1 Site Office SIAP

2 Enterprise Functional and Topical Area

> Identify Functional or Topical Area from Enterprise Oversight Areas listed in Attachment 1:

3 HQ Functional/Topical Oversight Area POC

List Name:
Organization:
Phone Number:
Email Address:

4 Current FY Planned Assessments Identified in Site Assessment Plan

		Yes	No
a.	Contractor Assessments (Independent, Management, or 3rd Party)	☐	☐
b.	Site office Formal Assessments	☐	☐
c.	Site office joint contractor or shadow assessments	☐	☐
d.	NNSA HQ Led Assessments	☐	☐
e.	External Assessments (HSS, GAO, IG, DNFSB)	☐	☐

5 Proposed Additional Assessment Activities

a.   Scope of proposed assessment activities:

b.   Basis for proposed assessment activities: ☐ Required   ☐ Risk Informed

c.   List specific requirement and associated reference for required assessments

d.   Describe basis for any proposed risk informed assessments such as an adverse performance trend

6 **Proposed Shadow Assessments and Assessment Information Requests**

a. Identify Site or Contractor Assessments that you would like to shadow

b. Identify any assessment activities you would like access to information such as reports, assessment plans, etc

7 **Site Office Review and Concurrence for Additional Proposed Assessments**

Attachment 4

Enterprise Assessment Types	
External Assessment (E)	**Assessment of Site Office or Site Contractor by organizations external to the Site such as NNSA Mission and Mission Support Managers, IG, HSS, DNFSB.**
Oversight Assessment (O)	**Assessment of Contractor operations, facilities, and programs by Site Office personnel. This would include assessments required by a directive/regulation and assessments identified through a risk informed process.**
Joint Assessment (J)	**Formal participation of Federal Staff (Site/HQ) in a contractor led assessment activity and/or HQ in a Site Office led assessment activity. Participation must be as a working member of team evaluating an area within the scope of the assessment and providing written input in the overall assessment report.**
Shadow Assessment (S)	**Site Office oversight of contractor led assessment activity or HQ oversight of Site Office led assessment of contractor or self assessment. Primary goal of a shadow assessment is to evaluate the credibility and quality of the assessment activity and the secondary objective is to gain insight into performance and effectiveness of the assessed areas. A separate report is provided documenting the conclusions of the shadow assessment.**
Self Assessment (SA)	**Site Office or HQ Self Assessment of internal work and oversight processes.**