

NNSA POLICY

NAP 220.1

Approved: 06-19-18

Expires: 06-19-21

Internal Affairs Program



NATIONAL NUCLEAR SECURITY ADMINISTRATION Management and Budget

CONTROLLED DOCUMENT

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OFFICE OF PRIMARY INTEREST (OPI):

Audits and Internal Affairs

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INTERNAL AFFAIRS PROGRAM

1. **PURPOSE.** To establish and formalize requirements and responsibilities for the performance of Internal Affairs (IA) inquiries within the National Nuclear Security Administration (NNSA).
2. **AUTHORITY.** This NNSA Policy (NAP) is written under the Administrator's authority to set policy under Section 3212(d) of the *NNSA Act*. Department of Energy (DOE) Order 473.3A, *Protection Program Operations*, provides the authority for the federal officer (unarmed) under which Internal Affairs Officers operate.
3. **CANCELLATION.** Delegation Memo, *National Nuclear Security Administration Internal Affairs Function*, March 28, 2013.
4. **APPLICABILITY.**
 - a. **Federal.** This NAP applies to all NNSA federal organizations.
 - b. **Contractors.** The Contractor Requirements Document (CRD) in Attachment 1 sets forth requirements that apply to contractors. The CRD is applicable to all contractors operating under direct contract to NNSA.
 - c. **Equivalency.** In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code 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 Directive for activities under the Director's cognizance, as deemed appropriate.
 - d. **Exemptions.** None.
5. **SUMMARY OF CHANGES.** Not Applicable.
6. **REQUIREMENTS.**
 - a. NNSA must maintain an independent capability to perform inquiries into sensitive issues on behalf of senior leadership and to coordinate the resolution of Management Referrals received from the Office of Inspector General (OIG).
 - b. All employees must cooperate with IA Officer inquiries, including supporting requests for interviews and documents, and must not take action that would impede or hamper the inquiry.
 - c. Employees must not retaliate toward another employee based on that employee's cooperation with, or provision of information leading to, or as part of, an IA inquiry.

- d. All employees must maintain the confidentiality of conversations with IA Officers during an inquiry unless disclosure is specifically authorized by the officer.
- e. Upon furnishing appropriate credentials, IA Officers must be granted unrestricted and unmonitored access to all personnel identified for interview, as well as timely and unfettered access to all systems and documentation necessary to conduct the inquiry, providing the officer holds the appropriate security clearance and accesses. Investigations involving counterintelligence equities or access to counterintelligence information must be coordinated with the DOE Deputy Director for Counterintelligence.
- f. IA Officers are not required to give notice to supervisors, managers, or other personnel regarding the intended inquiry activities. Officers must provide appropriate coordination with site security personnel to obtain access to facilities, where necessary.

7. RESPONSIBILITIES.

- a. Associate Principal Deputy Administrator.
 - (1) Acts as the Senior Internal Affairs Management Official (SIAO).
 - (2) Assigns specific issues to the Director, Internal Affairs, for investigation, monitoring, and overseeing the IA function.
 - (3) Provides advice and counsel to the Director, Internal Affairs, for the handling of OIG Management Referrals, as necessary.
 - (4) Monitors all IA activity and keeps the Administrator and Principal Deputy Administrator informed of issues or concerns.
- b. Associate Administrator for Management and Budget.
 - (1) Maintains a formal IA investigative capability within Management and Budget.
 - (2) Manages resource and workload requirements in support of the IA function.
 - (3) Assigns a Director of Internal Affairs in consultation with the SIAO.
- c. Associate Administrator for Defense Nuclear Security.
 - (1) Establishes minimum training requirements for the issuance of federal officer credentials in support of the IA function.

- (2) Reviews and considers for approval all requests for assignment of federal officer credentials to IA Officers.

d. NNSA General Counsel.

- (1) Provides advice and counsel in support of the IA function.
- (2) Assigns legal counsel to support IA inquiries.
- (3) Reviews and approves requests for computer records in support of IA inquiries.
- (4) Reviews and approves final reports prior to closing out IA inquiries or Management Referrals where requested.

e. Director for Internal Affairs.¹

- (1) Develops and executes IA operational requirements.
- (2) Coordinates and oversees the daily activities of all IA Officers.
- (3) Recruits, selects, and appoints IA Officers.²
- (4) Requests the issuance of federal officer credentials for IA purposes and coordinates the return of credentials as appropriate.
- (5) Provides for the on-going quality and integrity of IA operations.
- (6) Establishes minimum training requirements for IA Officers and maintains training records.
- (7) Assesses IA Officer performance.
- (8) Coordinates the disposition of Management Referrals received from the OIG for internal management action, and prepares responses to the OIG.
- (9) Manages and oversees all inquiries performed by IA Officers.
- (10) Refers to the OIG actual or suspected fraud or other criminal activity.

¹ The Director, Internal Affairs, is directly accountable to the SIAO for Internal Affairs related activities.

² Matrix officers serve on a voluntary basis, with supervisory approval, and at the discretion of the Director. Federal officer status may be rescinded at any time without cause or prejudice.

f. Program, Functionals, and Field Management Officials.

- (1) Cooperate with all IA inquiries, including making relevant office personnel, information, documents, and data available and accessible for the conduct of IA inquiries.
- (2) Provide review and response to all Management Referrals tasked to the office by the Director, Internal Affairs, including providing all information, documents, and data related to the referral.
- (3) Coordinate with Management and Operating (M&O) contractors in support of IA inquiries or Management Referrals as appropriate, including requesting and making relevant M&O personnel, information, documents, systems, and data available and accessible for the conduct of IA inquiries or Management Referrals.
- (4) Take appropriate corrective action to address issues identified during internal reviews of Management Referrals, or recommendations and issues identified in Internal Affairs reports or by direct communication from IA Officers.

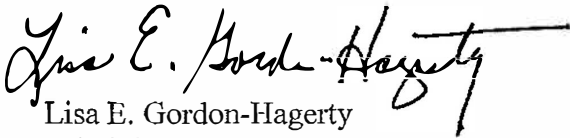
g. Internal Affairs Officers.

- (1) Conduct IA inquiries.
- (2) Maintain the highest levels of integrity and ethical conduct.
- (3) Safeguard and maintain the confidentiality and control of information and documents related to IA inquiries and Management Referrals.
- (4) Follow the operating principles and procedures established by the Director, IA, in conducting IA inquiries and Management Referrals.
- (5) Refer to the Director, IA, suspected fraud or other potential criminal activity uncovered as part of an IA inquiry or Management Referral.
- (6) Complete a minimum of 16 hours of annual training related to the competencies established by the Director, IA, to support proficiency in the conduct of IA inquiries and to maintain federal officer credentials.
- (7) Return IA credentials and badge to the Director, Internal Affairs, upon request or when the officer leaves NNSA or the IA function.

h. Contracting Officers. Incorporate CRDs in contracts without alteration, unless the CRD specifies how alterations are to be determined or approved.8. REFERENCES. See Attachment 2.

9. DEFINITIONS. None.
10. CONTACT. Questions concerning this NAP should be addressed to Audits and Internal Affairs, NA-MB-1.1, 301-903-1341.

BY ORDER OF THE ADMINISTRATOR:


Lisa E. Gordon-Hagerty
Administrator

Attachments:

1. Contractor Requirements Document
2. References

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ATTACHMENT 1: CONTRACTOR REQUIREMENTS DOCUMENT
NAP 220.1, INTERNAL AFFAIRS PROGRAM

1. INTRODUCTION.

Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier, to the extent necessary and appropriate, to certify the contractor's compliance with the requirements.

2. REQUIREMENTS.

- a. Government documents, and government-owned records, and other data created or generated at NNSA's expense, are subject to Internal Affairs (IA) Officer inquiry and inspection and must be provided upon request.
- b. Contractor employees must maintain the confidentiality of conversations with IA Officers during an inquiry unless disclosure is specifically authorized by the officer.
- c. Upon furnishing appropriate credentials, IA Officers must be granted unrestricted and unmonitored access to all personnel identified for interview, as well as timely and unfettered access to all systems and documentation necessary to conduct the inquiry, providing the officer holds the appropriate security clearance and accesses. Investigations involving counterintelligence equities or access to counterintelligence information must be coordinated with the DOE Deputy Director for Counterintelligence.
- d. IA Officers are not required to give notice to supervisors, managers, or other personnel regarding the intended inquiry activities. Officers must provide appropriate coordination with site security personnel to obtain access to facilities, where necessary.

3. RESPONSIBILITIES.

Contractor Employees.

- a. Contractors must cooperate with IA Officers conducting inquiries in a manner consistent with contract requirements and union agreements, where applicable.
- b. Contractors must cooperate with program and field management officials conducting or supporting an inquiry requested by the Office of Internal Affairs, including Inspector General Hotline complaints referred for review and response.

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ATTACHMENT 2. REFERENCES

Note: This attachment applies to NNSA Federal and contractor personnel.

DOE Order 473.3A, *Protection Program Operations*, dated 3-23-16