

MANUAL

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NNSA
Safety Management
Functions, Responsibilities and
Authorities Manual (FRAM)



U.S. DEPARTMENT OF ENERGY
National Nuclear Security Administration

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| Revision | Summary | Effective Date |
|----------|---|-------------------|
| 0 | Initial Issue | October 15, 2003 |
| 1 | <p>A. Incorporates Organizational Changes: Central Technical Authority, Chief of Defense Nuclear Safety and Associate Administrator for Defense Nuclear Security.</p> <p>B. Adds Functional Areas of Quality and Software Quality Assurance, Nuclear Explosive Safety, Transportation and Packaging Safety.</p> | February 28, 2005 |
| 2 | <p>A. General update to incorporate revised Orders and format changes to avoid repetition.</p> <p>B. Clearly delineates authorities and responsibilities among all NNSA organizations.</p> <p>C. Revised format, which formerly attempted to show linkage with Integrated Safety Management. Organized responsibilities under functional headings.</p> <p>D. Reduced potential repetition by eliminating lower-level activities associated with implementing assigned responsibilities.</p> | February 15, 2008 |

**SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES,
AND AUTHORITIES MANUAL (FRAM)**

1. PURPOSE AND SCOPE. Define National Nuclear Security Administration (NNSA) safety management functions, responsibilities, and authorities and associated delegations to ensure that work is performed safely and efficiently, as described in DOE M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, in order to hold Federal personnel accountable for their assigned duties. NNSA's mission requires a delicate balance between safety and security. While this document meets DOE requirements to define essential safety management functions, it also provides the functions, responsibilities, and authorities for nuclear security and other major organizations within NNSA that impact our ability to work safely.
2. CANCELLATION. This revision cancels the NNSA Safety Management FRAM Revision 1, dated February 28, 2005.
3. APPLICABILITY. The provisions of this Manual apply to all NNSA Federal organizations, with the exception of the Naval Reactors Program (NA-30).
4. SUMMARY. This Manual contains a description of all of the NNSA senior management, Headquarters, Site Office, and Service Center functions, responsibilities, and authorities related to safety management. The Appendices contain the references, definitions, a flowchart depicting safety management functions and authorities, and acronyms.
5. REQUIREMENTS. This NNSA Safety Management Functions, Responsibilities, and Authorities Manual (NNSA FRAM) defines NNSA expectations regarding organizational accountability for safety management. These expectations are derived from Department of Energy (DOE) directives and NNSA Supplemental Directives (listed in Appendix A), DOE M 411.1C, *Safety Management Functions, Responsibilities, and Authorities Manual* (DOE FRAM), and other assignments and delegations made by the Administrator.

Some of the functions and authorities delineated in the NNSA FRAM may be delegated within respective organizations and to other NNSA organizations where permitted, with the noted exceptions for those of the Administrator and the Principal Deputy Administrator. Delegations to non-NNSA entities or substantive changes to FRAM functions require approval from the Administrator.

DOE M 411.1-1C requires that Under Secretaries and Secretarial Officers develop their own FRAMs. This NNSA FRAM meets that requirement for NA-10 and NA-20. NNSA managers assigned safety management functions, responsibilities, or authorities in the NNSA FRAM must develop implementing processes for their assigned safety management functions. The NNSA FRAM must be maintained and updated as necessary.

6. CONTACT. Questions concerning this revision to the Manual should be addressed to Frank Russo, NA-3.6, at (202) 586-8395, or Sharon Steele, NA-2.1, at (202) 586-9554.



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1.0 INTRODUCTION

The National Nuclear Security Administration's (NNSA's) Functions, Responsibilities, and Authorities Manual (FRAM) assigns responsibilities that are established by the Department of Energy (DOE) Directives System (Policies, Orders, Manuals, Notices), Code of Federal Regulations (CFR), Federal Statutes, Acts, Executive Orders, and other authorities. It complies with the Secretary's direction concerning safety management responsibilities, assigns safety responsibilities and authorities in the DOE FRAM, DOE M 411.1-1C, *Safety Management Functions, Responsibilities and Authorities Manual* to NNSA officials, and documents NNSA's roles and responsibilities in implementing safety management.

Safety is managed through:

- a. promulgating and implementing safety requirements through policy statements, Federal rules, DOE Orders, Manuals, NNSA Supplemental Directives, and lower-tier documents;
- b. ensuring proper implementation of requirements through DOE/NNSA oversight activities;
- c. other supporting activities that establish or maintain safety capabilities, such as training and qualification, lessons learned, and corrective action implementation;
- d. embracing internal and external assessments so that continuous improvement can be realized; and
- e. clearly delineating and maintaining lines of responsibility.

NNSA is responsible and accountable for planning, implementation, and assessment of the nation's nuclear weapons stockpile stewardship program and nuclear nonproliferation activities. To accomplish NNSA's mission, the safety management functions, responsibilities, and authorities for protecting the public and the environment and for ensuring the health, safety, and security of workers are founded upon the Integrated Safety Management (ISM) Guiding Principles and Core Functions. While considering the seven Guiding Principles of ISM, several assumptions were used in developing this FRAM that form the basis of NNSA's safety management approach to its mission, including work to maintain a safe, secure, and reliable nuclear weapons stockpile. These assumptions are:

1. Development of the budget is part of the process that balances priorities among environment, safety, security, and program needs. The budget formulation and execution functions will be integrated at Headquarters (HQ). All NNSA offices will be involved in budget formulation and content.
2. All legal requirements for environment, safety, and health (ES&H) and regulatory compliance must be met.

3. The NNSA Program Offices have the authority, and are accountable, for defining and managing all program work, establishing funding priorities, and setting performance objectives for the complex's weapons programs and nuclear nonproliferation activities.
4. Federal oversight will be accomplished as close to the work as practical and as required by DOE O 226.1A, *Implementation of Department of Energy Oversight Policy*, and the NNSA FRAM.
5. Responsibility is retained by the delegator, and authority may be delegated to the extent feasible, based upon the delegator's discretion that the delegate has the capability to accomplish the task.

Overall safety of NNSA sites and activities comprises two elements: nuclear safety and ES&H, which are defined in Appendix B. The NNSA Administrator has delegated most of the line management responsibility for ES&H to the field and to the Program Offices, but retains accountability and provides management oversight (see Appendix C, *Safety Management Functions and Authorities*). However, in the case of nuclear safety, physical security, and cyber security, the Administrator has retained the line management responsibility for establishing policy and requirements and has delegated the responsibility for implementing standards to the field and programmatic level.

Each organization within NNSA must establish and document how the specific functions and authorities assigned in this FRAM and DOE M 411.1-1C, the DOE FRAM, are properly discharged. These implementing processes or business operating plans must capture the safety management functions and authorities necessary to comply with DOE P 111.1, *Departmental Organization Management System*, and other DOE directives, government agency regulations, and safety management mechanisms. They also describe the organization and its line management and clearly identify any authority that has been transferred to or from another organization. The format of these implementing processes is not prescribed so that each organization may develop a format most suitable and effective for its needs. Finally, when developing implementing processes for FRAM responsibilities, each office should review Section 4.0, *Line Management Responsibilities*, and other sections, such as Section 4.1 on the Administrator, that may impact its work.

2.0 SCOPE

The NNSA Safety Management FRAM applies to all NNSA organizational elements, with the exception of the Naval Reactors Program. For projects subject to external regulations, those regulations take precedence. For example, 10 CFR Part 50, Appendix B, *Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants*, applies to Nuclear Regulatory Commission (NRC)-licensed facilities, while 10 CFR Part 830 Subpart A, *Quality Assurance Requirements*, applies to nuclear facilities that are not licensed by the NRC. This FRAM assigns safety management functions, responsibilities, and authorities that have been established by the DOE FRAM and the Administrator.

3.0 CHANGE CONTROL

This document is a Manual in the NNSA Supplemental Directives System and will be updated when NNSA alters its organizational responsibilities or as otherwise required. The FRAM will be posted on the NNSA website at <http://www.nnsa.doe.gov/docs/reports>.

4.0 NNSA LINE MANAGEMENT RESPONSIBILITIES

NNSA HQ's interface with the field is the Field Element Manager. Within NNSA, the Field Element Managers are usually the Site Office Managers; sometimes this term can also refer to the Service Center Director. This interface for program matters, including nuclear safety and ES&H, operates through the appropriate Deputy Administrator. Additional interfaces exist, as necessary or required, in the Office of the Administrator and, specifically, the Principal Deputy Administrator, Central Technical Authority (CTA), the Senior ES&H Advisor, and the Chief of Defense Nuclear Safety (CDNS).

Safety management responsibility for work done by DOE and other non-NNSA tenants remains with NNSA line management. All work done at a site, therefore, must be performed within the safety envelope approved by the Site Office Manager or Service Center Director. While shutdown authority rests with all Federal personnel if a clear and present danger exists, it resides chiefly with the Site Office Manager or Service Center Director in other situations.

NNSA HQ develops policy with input from the field and provides guidance to the field. NNSA HQ ensures that strategies, plans, and operations for implementing its programs are coordinated, integrated, and consistent with the NNSA Strategic Plan, policies, and priorities. NNSA HQ personnel perform line management functions that provide ongoing and continuous interactions with the Site Office Managers and the Service Center Director regarding mission-related work, commitments, and resource allocations.

Heads of all NNSA HQ Offices and Field Element Managers are assigned the responsibilities listed below.

Staffing and Competency

- Ensure that adequate staff is available and qualified to perform assigned safety functions, including oversight.

Line Oversight

- Perform self-assessments to ensure that work is performed in accordance with the FRAM, DOE P 226.1A, *Department of Energy Oversight Policy*, and the ISM Core Functions and Guiding Principles, and to identify areas in which continuous improvement can be realized in the safety of NNSA operations. Assign responsibility within the element for establishing criteria for such assessments and for conducting them.
- Develop appropriate corrective action plans to implement continuous improvement within the organization.

- Develop or approve an ISM System Description.
- Implement a Federal Employee Occupational Safety and Health (FEOSH) Program in accordance with NNSA Policy Letter (NAP)-6, *Federal Employee Occupational Safety and Health Program for National Nuclear Security Administration Employees*.
- Cooperate with the Defense Nuclear Facilities Safety Board (DNFSB), including providing access to NNSA defense nuclear facilities, personnel, and information; providing responses to DNFSB recommendations and information requests as described in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*, and providing unfettered access to nuclear facilities, personnel, and information as requested.

Performance Improvement

- Examine the findings of internal and external assessments of their element to identify and analyze root causes, trends, and necessary corrective actions.
- Perform an annual ISM effectiveness review and develop an ISM declaration in accordance with DOE M 450.4-1, *Integrated Safety Management System Manual*.
- Implement and participate in the NNSA and DOE operating experience programs prescribed by DOE O 210.2, *DOE Corporate Operating Experience Program*, to enhance complex-wide sharing of lessons learned. Integrate sharing of lessons learned with contractor programs to maximize the exchange of lessons learned.
- Continuously assess the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and lessons learned.

Issues Management

- Ensure that corrective actions are planned, prioritized, and pursued to completion and determine whether corrective actions adequately address the root causes of the conditions that prompted them.
- Ensure that safety-related information from various feedback sources is evaluated in an integrated manner.

Resource Allocation

- Manage safety-related resource allocations and budgets.

4.1 NNSA Administrator (NA-1)

The NNSA Administrator is responsible for safety management, and monitors delegated authorities and the overall performance of safety management implementation within NNSA. The Administrator is the Senior Procurement Executive for NNSA; this authority has been delegated to the Director of Acquisition and Supply Management (NA-63).

Oversight

- Establishes oversight programs and processes to implement DOE P 226.1A and to hold personnel accountable for implementing these programs and processes.
- Provides overall direction within NNSA and establishes and maintains delegations of Administrator authorities to other NNSA officers.
- Approves the NNSA Strategic Plan and Mission Statements, ensuring that the NNSA Plan is compatible with the DOE Strategic Plan.

Staffing and Competency

- Establishes the NNSA Technical Qualification Program (TQP) to ensure that the Federal technical employees responsible for oversight at NNSA facilities are trained and qualified to perform their duties safely and efficiently. Ensures that NNSA organizations conduct and submit an annual Federal Technical Capability Panel TQP workforce analysis and staffing plan report to the Panel Chair to identify critical technical capabilities and positions that must be maintained to ensure safe operations at defense nuclear facilities.

Resource Allocation

- Approves and promulgates the NNSA budget, ensuring that allocations are appropriately balanced among missions.

Performance Improvement

- Determines the final performance rating and fee for each management and operating (M&O) contractor and other NNSA prime contractors.
- Authorizes Type A Accident Investigations pursuant to a delegation by the Secretary of Energy.
- Issues Price-Anderson Amendments Act (PAAA) Enforcement Actions to NNSA contractors.

Management of Safety Requirements

- Serves as the sole approval authority for variance requests that are submitted under the process established in 10 CFR Part 851, *Worker Safety and Health*.
- Approves NNSA Policy Letters, Supplemental Directives, and other guidance documents, including the NNSA FRAM.
- Establishes a process for development, review, revision, and approval of NNSA safety-related directives and for development of NNSA input to DOE guidance documents, including Orders, Technical Standards, and Rules.

- Reviews appeals of Deputy Administrator decisions on exemption requests or as appropriate, in accordance with the provisions of 10 CFR Part 820, *Procedural Rules for DOE Nuclear Activities*.
- Submits copies of the Administrator's decisions on exemptions to DOE nuclear safety requirements and directives with the DOE Office of the Docketing Clerk to comply with the exemption requirements of 10 CFR Part 820.
- Submits copies of the Administrator's decisions on exemptions to DOE directives with the DOE Office of Information Resources to comply with the exemption requirements of DOE O 251.1B, *Departmental Directives Program*.
- Approves ISM System Descriptions in accordance with DOE M 450.4-1.
- Implements effective aviation operations, airworthiness, and safety programs that meet the requirements of DOE O 440.2B, *Aviation Management and Safety*. Pursuant to DOE O 440.2B, the Office of Management, Budget and Evaluation is responsible for developing and implementing aviation safety policy and for providing independent oversight and recommendations to the Administrator on aviation safety matters.

Defense Nuclear Security

- Oversees the security process in the NNSA complex.
- Is responsible for cyber security risk acceptance within NNSA through the approval of the NNSA Performance-based Cyber Security Program (PCSP).

4.2 NNSA Principal Deputy Administrator (NA-2)/Central Technical Authority

The NNSA Principal Deputy Administrator has authority for oversight of safety management, and is NNSA's Central Technical Authority (CTA). The Principal Deputy Administrator is responsible for NNSA's safety performance, establishing expectations, and implementing guidance for Deputy and Associate Administrators and for field elements.

Staffing and Competency

- Ensures that NNSA maintains adequately trained Federal staff to fulfill NNSA's safety responsibilities. Provides direction to the NNSA HQ Lead Federal Technical Capability Program (FTCP) Agent and oversight of the NNSA TQP.

Performance Expectation

- Ensures timely review of HQ Performance Evaluation Plans (PEPs) and the resolution of HQ comments with the Site Offices. Takes action as required to ensure timely and effective HQ input to the Site Offices for the Assessment Phase.

Operational Awareness

- Oversees operational activities to accomplish safety initiatives. Ensures that resources are adequately and appropriately allocated for this purpose.
- Approves NNSA letters to the DNFSB.

Differing Professional Opinion

- Serves as the final decisionmaker for Differing Professional Opinions concerning nuclear safety issues of a technical nature that have not been otherwise resolved.

Facility Operations/Authorization

- Serves as Authorization Authority for the startup of new NNSA Category 2 or 3 nuclear facilities with a total project cost greater than \$200 million.
- Concurs with Documented Safety Analysis (DSA) methodologies used by contractors that differ from those described in 10 CFR Part 830 for Hazard Category 1, 2, and 3 nuclear facilities.

Nuclear Safety Research

- Reviews and concurs on the identification and prioritization of nuclear safety-related research and development activities as necessary for NNSA weapons activities and DOE complex-wide activities.

Central Technical Authority

The CTA is a line management executive who is responsible for core nuclear safety functions for NNSA's organizations and facilities. The CTA is responsible for the consistent and effective application of nuclear safety requirements and guidance across the NNSA complex, including maintaining the NNSA FRAM up-to-date.

Safety Delegation

- Reviews and concurs on nuclear safety delegations that require CTA concurrence pursuant to the NNSA Delegation Procedure.
- Concurs on all compensatory measures established as part of the decision to delegate safety responsibilities within NNSA.

Management of Nuclear Safety Requirements

- Issues expectations and guidance as necessary for use by NNSA employees and contractors on the implementation of regulations, directives, and standards that affect nuclear safety.
- Provides feedback to the Chief, Office of Health, Safety and Security (HSS) on issues concerning new or existing nuclear safety regulations, directives, and standards.

- Concurs on waivers, exemptions, and other forms of relief from nuclear safety requirements imposed by DOE regulations for NNSA nuclear facilities.

Contracts Management

- Concurs on the selection and incorporation of nuclear safety directives and standards into M&O contracts for NNSA nuclear facilities, pursuant to Department of Energy Acquisition Regulation (DEAR) 970.5204-2(b) or DEAR 970.5204-2(c).
- Evaluates, provides recommendations, and concurs on all changes, waivers, exemptions, and other forms of relief from nuclear safety provisions in M&O contracts for NNSA nuclear facilities, pursuant to DEAR 970.5204-2(b) or DEAR 970.5204-2(c).

Construction Management

- Implements and monitors ongoing performance of the Energy Systems Acquisition Advisory Board (ESAAB) Equivalent Process.

4.3 Chief of Defense Nuclear Safety (NA-2.1)

The CDNS is responsible for evaluating nuclear safety issues and providing technical advice to the Administrator, Principal Deputy Administrator, CTA, and other senior NNSA officials.

Management of Nuclear Safety Requirements

- Evaluates the directives and standards in M&O contracts for NNSA nuclear facilities to ensure that nuclear safety is adequately addressed. Provides recommendations to the CTA to support the CTA's decisionmaking.
- Evaluates requests for waivers, exemptions, or other forms of relief from nuclear safety requirements to support CTA concurrence.
- Technically evaluates DSA methodologies proposed by contractors that differ from those described in 10 CFR Part 830 for Hazard Category 1, 2, and 3 nuclear facilities and provides recommendations on concurrence to the CTA.
- Evaluates directives affecting nuclear safety and makes recommendations regarding them to the CTA.
- Coordinates the preparation of guidance and expectations for the implementation of nuclear safety and weapon surety requirements and guidance, as necessary, for the CTA.
- Coordinates with NA-70 in facilitating the early integration of nuclear safety and security requirements at NNSA's nuclear facilities.

Technical Assistance

- Provides policy guidance, technical advice, and assistance in acquiring technical resources for HQ and Site Office management in implementing the readiness review processes outlined

in DOE O 425.1C, *Startup and Restart of Nuclear Facilities*. Reviews all NNSA Startup Notification Reports on behalf of the CTA to promote safety awareness across the complex.

- Supports NNSA line management in working with the DNFSB and provides advice to line management on DNFSB-related issues.
- Provides technical support and assistance to senior NNSA line managers, including Site Office Managers, as requested.

Nuclear Safety Research

- Forwards to NA-10 for disposition any emerging or unmet nuclear safety research and development needs.
- Raises issues concerning nuclear safety-related research to the CTA or the Administrator.
- Reviews the priority list prepared by NA-10 of nuclear safety-related research needs to be incorporated into the budget.

Nuclear Safety Delegation

- Periodically evaluates effective implementation of delegated nuclear safety responsibilities to ensure that Site Offices maintain adequate capability to accomplish their safety management functions.

Differing Professional Opinion Management

- Develops and monitors implementation of the NNSA Differing Professional Opinion Program.
- Serves as the NNSA Differing Professional Opinions Manager for nuclear safety matters.
- Forwards Differing Professional Opinion records to the Chief HSS Officer every two years.

Operational Awareness

- Conducts the Biennial Reviews and other types of reviews of NNSA sites and activities, as required by DOE directives, or as directed by senior management, to ensure that nuclear safety requirements and guidance are implemented appropriately and effectively.
- Maintains operational awareness of nuclear safety performance of NNSA Site Offices and contractors on behalf of the CTA and Administrator.

Performance Improvement

- Publishes quarterly NNSA Technical Bulletins on behalf of the Administrator to disseminate lessons learned regarding nuclear safety to senior NNSA managers.

Construction Management

- Verifies integration of safety into design and construction for NNSA nuclear projects and the ESAAB. CDNS serves on the ESAAB for nuclear-related projects, and verifies that the Federal personnel assigned to the Integrated Project Team are appropriately qualified.

Staffing and Competency

- On behalf of NA-1 and the CTA, formulates a Safety Basis Professional Program to train adequate numbers of safety basis professionals in the skills needed to develop, review, and maintain safety basis documents.

4.4 Senior Environment, Safety & Health Advisor (NA-3.6)

The Senior ES&H Advisor is responsible for providing technical advice on non-nuclear ES&H issues to the Administrator, the Principal Deputy Administrator, the CTA, and other senior NNSA officials.

Strategic Objectives

The Senior ES&H Advisor works directly with HQ line management, Site Offices, Site Contractors, and the Service Center to identify and resolve emerging ES&H issues and vulnerabilities, to track ES&H performance trends, to monitor and evaluate regulatory requirements, and to share lessons learned and best practices within and outside of DOE. The Senior ES&H Advisor provides technical assistance and oversight as requested by the Administrator and NNSA senior management or as required by Departmental directives. NA-3.6 acts as a primary liaison with internal and external stakeholders on all matters pertaining to non-nuclear ES&H matters.

Management of ES&H Requirements

- Responsible for maintaining and updating the NNSA Headquarters FRAM. Assists NA-2 in implementing the FRAM.
- Evaluates Quality Assurance Program and ES&H management policies and guidance for NNSA HQ, the Service Center, and Site Office Managers.
- Provides feedback to the Chief HSS Officer on issues concerning new or existing ES&H regulations, directives, and standards.
- Administers the process for developing, reviewing, revising, and approving NNSA ES&H directives. Participates in focus groups or technical development teams to ensure that quality products are developed. Serves as the NNSA Technical Standards Manager and coordinates and acts as the NNSA interface with the DOE Technical Standards Program.
- Acts as liaison on all aspects of interagency and intra-agency Rulemaking processes related to ES&H, and serves as the primary point of contact between HSS and NNSA.

- Evaluates the implementation of 10 CFR Part 851 across the NNSA complex. When required, conducts the initial review of variances received from NNSA contractors and forwards them to HSS, in coordination with line management and in accordance with 10 CFR Part 851.31(a).
- Responsible for developing NNSA policy and evaluating the implementation of policy and guidance related to worker safety and health, facility readiness, and oversight.
- Serves as the NNSA senior officer responsible for coordinating, monitoring, and reporting on the implementation of Executive Order 13423, *Strengthening Federal Environmental, Energy, and Transportation Management*.
- Evaluates the implementation of the FEOSH program for NNSA HQ, Site Office, and Service Center employees, pursuant to 29 CFR Part 1960, *Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters*.
- Serves as the NNSA Human Subject Research Program Manager responsible for coordinating, monitoring, and reporting on the implementation of DOE Order 443.1A, *Protection of Human Subjects*.

Technical Assistance

- Provides technical support and assistance to senior NNSA line managers, including Site Office Managers, as requested.
- Supports NNSA line management in interacting with the DNFSB and provides advice to line management on DNFSB-related safety issues.

Integrated Safety Management

- Serves as the NNSA ISM Champion.
- Develops, maintains, and revises the NNSA HQ ISM System Description.
- Annually reviews the effectiveness of NNSA's ISM implementation at HQ.

Differing Professional Opinion Management

- Serves as the NNSA Differing Professional Opinions Manager for non-nuclear safety issues.

Operational Awareness

- Maintains operational awareness of ES&H performance of NNSA Site Offices and Site Contractors on behalf of the CTA and the Administrator.
- Conducts the Quarterly Safety Briefing on NNSA ES&H performance for the Administrator and NNSA senior management.

Performance Improvement

- Responsible for the NNSA Accident Investigation Program.
- Administers the PAAA Program for NNSA. Advises the Administrator on all matters related to the program and proposed enforcement actions. Supports line management and provides consultation and coordination of all matters related to PAAA.
- As the designated NNSA lead for the NNSA Corporate Operating Experience Program, evaluates its implementation and serves as the primary interface to identify and share lessons learned and best practices within and outside of NNSA.
- Evaluates performance and trends that impact safety, health, and the environment (including nuclear safety trends); tracks the resolution of negative trends and administers the process for developing ES&H performance metrics and criteria in coordination with the Site Offices and HQ line management.
- Facilitates line management's use of lessons learned generated from assessments of Site Office and Site Contractor operations.

Staffing and Competency

- Provides the NNSA Lead Agent for the DOE Federal Technical Capability Panel, who oversees the NNSA TQP. Coordinates development of the Annual Workforce Analysis and Staffing Plan for NNSA.

4.5 NNSA Deputy Administrator for Defense Programs (NA-10)

NA-10 is responsible for the execution of nuclear safety, nuclear explosives safety (NES), and ES&H matters. NA-10 is the Lead PSO for all eight NNSA sites, as defined in the DOE FRAM and in a memorandum from the Administrator dated June 25, 2003. NA-10 executes PSO responsibilities and authorities for DOE and NNSA directives listed in Appendix A and those delegated by NA-1.

Strategic Objectives

NA-10 maintains and enhances the safety, reliability, and performance of the U.S. nuclear weapons stockpile, including the ability to design, produce, and test weapons, in order to meet national security requirements. NA-10 directs, manages, and oversees nuclear weapons production facilities, national security laboratories, and assets to respond to incidents involving nuclear weapons and materials.

NA-10 is charged with transforming the nation's nuclear weapons stockpile and supporting infrastructure to be more responsive to the threats of the 21st century. In accordance with the 2001 Nuclear Posture Review, NA-10 must develop a credible, responsive nuclear weapons infrastructure to facilitate a reduction in the size of the stockpile, to support a greater reliance on deterrence by capability, and to change the way we manage risk. Complex transformation must be accomplished while ensuring the safety, security, and reliability of the stockpile.

Execution of Program Management Responsibilities

NA-10 directs and manages the science-based Stockpile Stewardship Program to ensure the safety, security, and reliability of nuclear weapons. NA-10 executes this broad programmatic responsibility through management of Directed Stockpile Work, Campaigns, and the Readiness in Technical Base and Facilities (RTBF) program elements.

- **Directed Stockpile Work:** Directed Stockpile Work ensures that the Nation's stockpile of nuclear warheads and bombs are safe through performing routine maintenance and repairs, dismantling retired weapons, refurbishing warheads through the Life Extension Programs, and maintaining the capability to design, manufacture, and certify new warheads for the foreseeable future.
- **Campaigns:**
 - The Science Campaign develops essential scientific capabilities and infrastructure coupled with advanced radiography and improved understanding of dynamic material properties to assess the safety and reliability of the nuclear weapons stockpile with improving confidence.
 - The Engineering Campaign improves the safety, security, and control of the nuclear weapons stockpile by providing validated models and simulation tools to improve surety technologies, radiation hardening capabilities, microsystems and microtechnologies production, component and material lifetime assessments, and predictive aging models and surveillance diagnostics.
 - The Inertial Confinement Fusion and High Yield Campaign develops laboratory capabilities to create and measure extreme conditions of temperature, pressure, and radiation approaching those in a nuclear explosion, and to conduct weapons-related research in these environments.
 - The Advanced Simulation and Computing Campaign provides leading-edge, high-end computer simulation capabilities to meet weapons assessment and certification requirements.
 - The Pit Certification and Manufacturing Campaign has restored the capability and some limited capacity to manufacture pits required for the enduring nuclear weapons stockpile.
 - The Pit Campaign activities are being reintegrated into Directed Stockpile Work and the Science Campaign in fiscal year 2009.
 - The Readiness Campaign develops new manufacturing processes and technologies for qualifying weapons components for reuse.
- **Readiness in Technical Base and Facilities:** This element of the Readiness Campaign is responsible for the construction, operation, and maintenance of NNSA program facilities and infrastructure to support required mission work. Future-year program facility and infrastructure planning processes at Headquarters and in the field support implementation of

the NNSA Preferred Alternative for Complex Transformation, and will incorporate future Records of Decision as a result of the National Environmental Policy Act (NEPA) process.

- The **Secure Transportation Asset (STA)** organization safely and securely transports nuclear weapons, weapons components, and special nuclear materials and other national security interests to meet DOE, Department of Defense, and other customer requirements. The STA maintains compliance with all applicable laws and regulations for environment, safety, and health and execution of its mission.
- **Planning, Programming, Budgeting, and Execution (PPBE):** NA-10 implements NNSA policy for planning, programming, budgeting, and execution to ensure an appropriate balance of resources to address annual program milestones, nuclear safety and other ES&H requirements, and adequate sustainment of enduring program facilities and infrastructure for continued safe operations. NA-10 program managers work with Site Offices and M&O contractors to plan, prioritize, and execute program work and to set performance expectations. NA-10 program managers designated as Contracting Officer Representatives use the Work Authorization process to provide direction to the contractors for the safe performance of programmatic work through the authority of the Contracting Officers.

Execution of Line Management Safety Responsibilities¹

Work in nuclear weapons involves management of nuclear weapons, hazardous materials, and unique operations. Management of the nuclear weapons program includes managing risk. NA-10 is responsible for Defense Programs (DP) actions and their effect on worker and public health, safety, and security.

Oversight

- Ensures that line oversight assesses implementation of safety programs and reports oversight results, in accordance with DOE O 226.1A.
- Conducts periodic management assessments of NA-10 safety oversight responsibilities for nuclear operations. Evaluates Site Office execution of the responsibilities and authorities assigned in DOE directives and supplemental directives and of other delegated functions.
- Maintains operational awareness of NNSA Site Office and contractor activities, with particular emphasis on the safety of nuclear facilities and other high-hazard activities.
- Maintains operational awareness of emergency management activities performed by the NNSA Office of Emergency Management Implementation (NA-43) in support of NA-10.
- Resolves corrective actions using issues management tools such as the Corrective Action Tracking System (CATS) and Pegasus and holds managers at Headquarters and in the field responsible for corrective action resolution as well as lessons-learned sharing.

¹ Some authorities require the CTA's concurrence, as set forth in Section 4.2

- Implements aviation operations, maintenance, security, and safety policies and procedures to ensure efficiency of flight operations in accordance with DOE O 440.2B. This function is performed by the Assistant Administrator for Secure Transportation (NA-15).

Resource Allocation

- Establishes program missions, budgets, and planning estimates covering a 10-year planning horizon for site infrastructure and Lead PSO-related real property assets, and approves Ten-Year Site Plans related to programmatic responsibilities at related sites.
- Ensures that budget submissions for facilities and activities (including transportation activities) are adequate for the effective implementation and maintenance of emergency management programs.
- Ensures that specialized technical representatives and subject matter experts are provided when a Headquarters Emergency Management Team is convened.

Management of Nuclear Safety Requirements

- Develops and reviews DOE and NNSA directives and Technical Standards, certifies that directives affecting Defense Programs are reviewed for accuracy and continued relevance, and approves exemptions to DOE and NNSA nuclear safety requirements.
- Approves exemptions and exceptions to 10 CFR Part 830, *Nuclear Safety Management*, based on the technical merit of the request and in compliance with 10 CFR Part 820. In coordination with the CTA and the affected Site Office, establishes conditions of approval and other terms for implementing approved exemptions. Files copies of NA-10 decisions with the appropriate docketing systems.
- If warranted, concurs on exemption requests to DOE Directives where the Site Office Manager has approval authority for the exemption. Where NA-10 is the approval authority, files copies of the decisions in accordance with DOE O 251.1B.

Differing Professional Opinion

- Serves as the final decision maker for Differing Professional Opinions concerning non-nuclear safety issues of a technical nature.

Safety Delegations

- Reviews and approves delegated authorities that are consistent with direction from the Deputy Secretary and in accordance with procedures approved by the Administrator. Maintains a current list of delegated safety authorities within NNSA.

Construction Management

- For assigned projects, serves as the ESAAB Equivalent Board Acquisition Executive and makes decisions on the disposition of all requested Critical Decisions and Baseline Change Proposals. Ensures that appropriate measures are taken so that projects meet the

programmatic, safety, environmental, security, legal, procurement, and Departmental requirements.

Facility Operations/Authorization

- Approves DSAs, preliminary DSAs, or related safety basis documentation, and ensures proper development, review, approval, and implementation of DSAs for nuclear facilities.
- Reviews and approves DSA methodologies used by contractors that differ from those in 10 CFR Part 830 for Hazard Category 1, 2, and 3 nuclear facilities.
- Reviews and approves nuclear safety design criteria when contractors use design criteria that differ from those in DOE O 420.1B, *Facility Safety*.
- Ensures that the Site Office Managers maintain the status of safety basis documents for Hazard Category 1, 2, and 3 nuclear facilities and that a status report is available to the public.
- Serves as Authorization Authority for the startup of all new NNSA Hazard Category 2 or 3 nuclear facilities with a total project cost less than or equal to \$200 million.
- Oversees implementation of startup and restart programs at NNSA Site Offices, and approves startup and restart documentation per DOE O 425.1C and Table 1 of DOE-STD-3006-2000, *Planning and Conduct of Operational Readiness Reviews*. Serves as the Authorization Authority for the restart of Hazard Category 2 facilities in accordance with DOE-STD-3006-2000.
- Responsible and accountable for the safety and environmental impacts of work done for others at NA-10 sites unless a specific written agreement is approved by the affected PSOs or their equivalent at other agencies.
- Coordinates oversight assessments to allow reasonable time to address priority corrective actions.

Packaging and Transportation Safety

- Provides overall management and policy direction, including development of standards and directives for NNSA packaging activities and safe conduct of Transportation Safeguards System operations in accordance with 10 CFR Part 830 requirements.
- Oversees NNSA packaging and transportation operations, and ensures that required safety appraisals are conducted for these operations.
- Manages NNSA packaging development activities to ensure availability of compliant Type B packages for nuclear material shipments.
- Approves requests for national security exemptions for Transportation Safeguards System shipments of noncompliant packages containing Type B quantities of radioactive material.

- Integrates packaging and transportation safety into planned shipment decisions. Ensures that packaging and transportation safety basis documents are prepared to support shipments of materials of national security interest.
- Provides resources as needed to support independent confirmatory reviews for packaging and transportation safety documentation.

Nuclear Explosives Operations

- Responsible for effective nuclear explosive safety (NES) and weapons surety programs at NNSA's nuclear explosives facilities and activities. Conducts NES evaluations in accordance with DOE O 452.2C, *Nuclear Explosive Safety*, and DOE-STD-3015-2004, *Nuclear Explosive Safety Evaluation Process*.
- Continuously reviews the nuclear stockpile to identify surety concerns and manages the program to provide for stockpile improvement or controls to address identified concerns.
- Conducts an effective NES Minority Opinion process for divergent views on nuclear explosive safety matters.
- Approves Nuclear Explosive Safety Study (NESS) and Operational Safety Review (OSR) reports and resolves minority opinions.

Integrated Safety Management

- Ensures implementation of the Integrated Safety Management System (ISMS) within NNSA Site Offices through annual reviews of site ISMS declarations and annual site ISMS effectiveness reviews, in accordance with Departmental requirements.
- Approves Site Office ISM System Descriptions and revisions and performs ISMS verifications.

Performance Improvement

- Refers potential nuclear safety violations to the HSS Office of Enforcement for review under 10 CFR Part 820, where appropriate, provides information to the investigators, supports the investigation, and participates in enforcement conferences.
- Evaluates NNSA contractors' performance against nuclear safety and ES&H performance measures and performance indicators.
- Provides input to the Site Office Managers for the Performance Evaluation Plan and Performance Evaluation Report (PER) processes.
- Ensures that Site Offices and Site Contractors are focused on improving performance in known areas of weakness.

Nuclear Safety Research

- Evaluates proposed nuclear safety research and development projects, and prioritizes and integrates funded projects with ongoing program activities within NNSA.
- Identifies and sets priorities for safety research and development needs across DOE/NNSA. Incorporates the prioritized list of projects into the annual budget and planning cycle. Seeks resolution of competing safety-related research initiatives from the Principal Deputy Administrator.

Criticality Safety

- Manages the Department's Nuclear Criticality Safety Program; provides the technical infrastructure necessary to develop, maintain, and disseminate the essential technical tools, training, and data required for safe, efficient fissionable material operations within DOE.

Quality Assurance

- Implements quality assurance requirements for facility operations and line-item construction, including management and independent assessments, software quality assurance, and suspect/counterfeit parts.
- Implements Quality Control Programs to ensure weapons product quality.
- Reviews and approves Site Office Quality Assurance Plans. Delegates approval of the contractor Quality Assurance Program to the Site Offices.
- Periodically reports to senior NNSA and DOE management on quality assurance implementation.

4.6 NNSA Deputy Administrator for Defense Nuclear Nonproliferation (NA-20)

NA-20 is responsible for executing nuclear safety and ES&H matters relating to nonproliferation efforts, and exercises those responsibilities primarily through NA-10, Site Office Managers, and national laboratory and plant contractor assurance systems.

Strategic Objectives

NA-20's program goal is to detect, prevent, and reverse the proliferation of weapons of mass destruction (WMD). NA-20 programs address the threat that hostile nations or terrorist groups may acquire WMD or weapons-usable material, dual-use production or technology, or WMD capabilities, by securing or eliminating vulnerable stockpiles of weapon-usable materials, technology, and expertise in Russia and other countries of concern.

Execution of Program Management Responsibilities

Non-construction programs. Nuclear safety and ES&H requirements for NA-20's bilateral and multilateral nonproliferation programs and projects with other countries and NA-20's domestic nonproliferation efforts are satisfied by M&O contractors and are subject to those contractors'

assurance systems. Most of the work NA-20 accomplishes within the DOE complex is performed at facilities owned and operated by NA-10 or other DOE organizations such as the Office of Science, EM, or NE. NA-20 staff works collaboratively with these organizations to ensure that appropriate oversight of nuclear safety and ES&H efforts is accomplished through the coordinated efforts of the NA-20 staff and those of the owning and operating Federal offices.

Construction projects. In a few limited cases, some nuclear safety and ES&H-related work, such as NA-20's construction of the Mixed Oxide Fuel Fabrication Facility and the design and planned construction of the Pit Disassembly and Conversion Facility and the Waste Solidification Building at the Savannah River Site, has been directly overseen by NA-20 Federal project managers. The fiscal year 2008 Omnibus Appropriations Act moved the construction budgets for these projects to other DOE and NNSA offices, and NA-20 is working with those organizations to ensure continuous oversight of the nuclear safety and ES&H aspects of this work. For these projects, NA-20 serves as the ESAAB Equivalent Board Acquisition Executive for Critical Decisions and Baseline Change Proposals in accordance with the authority specified in DOE O 413.3A, *Program and Project Management for the Acquisition of Capital Assets*.

Integrated Safety Management System. NA-20 has authority for the nuclear safety and ES&H matters relative to its programmatic responsibilities and exercises that authority in coordination with NA-10 per the *Memorandum of Agreement between the Assistant Deputy Administrator for Fissile Materials Disposition (NA-26) and the Savannah River Site Office Manager*, which specifies the respective roles and responsibilities between NA-26 and the Savannah River Site Office Manager in relation to NA-26 activities performed at the Savannah River Site, and per the *Agreement on Safety Management at the Savannah River Site* with EM's Savannah River Operations Office.

Planning, Programming, Budgeting, and Execution. NA-20 implements NNSA policy for PPBE to ensure an appropriate balance of resources to address annual program milestones, nuclear safety and other ES&H requirements, and adequate maintenance of enduring program facilities and infrastructure for continued safe operations. NA-20 program managers work with Site Offices and M&O contractors to plan, prioritize, and execute program work and to set performance expectations. NA-20 program managers designated as Contracting Officer Representatives use the Work Authorization process to provide direction to contractors for the safe performance of programmatic work through the authority of the Contracting Officers.

Execution of Line Management Safety Responsibilities

Work in the nonproliferation nuclear facilities involves management of fissile nuclear materials, hazardous materials, and complex operations. Management of the nonproliferation nuclear program includes managing risk. NA-20 is responsible for nonproliferation program actions and their effect on worker and public health, safety, and security. In the functional areas of *Management of Nuclear Safety Requirements, Performance Improvement, Staffing and Competency*, and *Quality Assurance*, the responsibilities and authorities for NA-20 are identical to those for NA-10 (Section 4.5). The other functional areas where NA-20 has a distinctive role are listed below.

Oversight

- Supervises Assistant Deputy Administrators whose programs and projects at the national laboratories and sites incorporate nuclear safety and ES&H requirements according to industry standards, national law, and Departmental directives. The nuclear safety and ES&H requirements are met by M&O contractors and are overseen by contractor assurance systems, the Site Office Managers, and NNSA or DOE Headquarters Federal personnel.

Technical Assistance

- Provides guidance to Site Office Managers who oversee NA-20 programs in the field.
- Provides technical and policy advice to reduce the proliferation threat.
- Evaluates and promotes technologies to detect the proliferation of WMD.
- Devises and executes strategies to secure inventories of surplus materials and infrastructure usable for nuclear weapons.

4.7 NNSA Associate Administrator for Emergency Operations (NA-40)

NA-40 has responsibility for all aspects of emergency management and response, including allocation of resources related to DOE emergency management systems. NA-40 also provides operational planning assistance and training to counter both domestic and international nuclear terrorism and ensure that DOE and NNSA can carry out their mission-essential functions. NA-40 authorizes and controls DOE and NNSA emergency management systems; radiological emergency response assets; emergency management policy; and emergency preparedness activities.

Strategic Objectives

NA-40 serves as the last line of national defense in the face of a nuclear terrorist incident or other type of radiological accident. NA-40 provides a central point of contact and an integrated response to emergencies, focusing specific attention on providing the appropriate technical response to any nuclear or radiological incident within the Department, the U.S., and abroad. Accordingly, NA-40 works closely with other components of the organization, particularly NA-10, because NA-40 relies heavily on nuclear scientists and other experts under NA-10's purview for such things as staffing the emergency response teams.

NA-40 serves as the DOE/NNSA primary contact for all emergency management activities. NA-40 provides for the comprehensive, integrated emergency planning, preparedness, and response programs throughout the Department.

Execution of Program Management Responsibilities

NA-40 manages the Headquarters emergency management systems, radiological emergency response assets, and related emergency response operational functions and activities. NA-40

ensures the effectiveness of its aviation operations, airworthiness, and safety programs in coordination with NA-15 and the Office of Aviation Management.

Emergency Operations

- Ensures that the appropriate infrastructure is in place to provide command, control, communications, and properly organized, trained, and equipped response personnel to successfully resolve an emergency event. Examples include providing assistance to state, local, or other Federal agencies through the Radiological Assistance Program team, assisting requesting agencies in searching for radiological sources through the Search Response Team, or responding to radiological incidents through the Federal Radiological Monitoring and Assessment Center.
- Allocates appropriately trained technical representatives and subject matter experts to the Headquarters Emergency Management Team.
- Participates in the coordination of emergency public information.
- Coordinates and implements NNSA HQ aspects of emergency management planning, preparedness, and training.

Execution of Line Management Safety Responsibilities

Ensures that emergency management programs are ready to respond at NNSA and DOE facilities and sites. In addition, NA-40 directs and manages programs to ensure safe operation of domestic and international counterterrorism programs.

Assessment

- Executes the PSO Emergency Management Program functions and coordinates emergency management activities with NA-10.
 - integrates emergency management into the Line Oversight and Contractor Assurance System processes;
 - uses the Corporate Performance Evaluation Plan process to improve emergency management performance; and
 - develops emergency management training in support of NNSA Federal TQPs.
- Coordinates both announced and no-notice emergency response exercises at DOE sites to determine response readiness.
- Provides technical assistance to DOE sites for emergency planning, information exchange, and continuous improvement in emergency operations.
- Ensures that ES&H requirements are met to protect the health and welfare of radiological emergency response asset members.

4.8 NNSA Associate Administrator for Infrastructure and Environment (NA-50)

The Associate Administrator for Infrastructure and Environment provides leadership and corporate integration for the development and execution of NNSA's Facilities Management Policies and Programs, Project Management Systems, Environmental Projects and Operations, and Nuclear Materials Disposition and Consolidation.

Strategic Objectives

NA-50, in partnership with the National Laboratories and production plants, executes its responsibilities and authorities for DOE and NNSA directives by effectively executing projects that safely reduce NNSA's Deferred Maintenance to industry standards and dispose of three million gross square feet of facilities that are in excess to NNSA's needs. NA-50 leads the development of responsible and accountable NNSA corporate facilities management policies and practices, including those necessary to meet the requirements of Executive Order 13327, *Federal Real Property Asset Management*.

NA-50 provides the Federal leadership for all aspects of the legacy cleanup activities at NNSA Sites funded by EM. This responsibility requires frequent coordination and interaction with DP and EM. In addition, NA-50 oversees the accomplishment of Long-Term Stewardship Program activities following the completion of all EM-sponsored technical efforts for legacy environmental cleanup, including environmental compliance policies.

NA-50 integrates the common elements of DOE Program Offices involved in all aspects of special nuclear materials disposition. This function optimizes the use of Departmental resources and ultimately reduces the operational costs of NNSA and DOE's enterprises.

NA-50 leads the NNSA implementation of Departmental project management policies, processes, and best practices that result in improved project performance at NNSA sites. This includes pre-project planning, Independent Project Reviews (IPRs), project Critical Decisions, value management, independent cost estimating, project reporting systems, and earned-value management systems. NA-50 identifies and promulgates project management lessons learned; leads the NNSA's implementation of the Project Management Career Development Program; and provides expert project management oversight to ensure that NNSA's construction projects are well managed in accordance with DOE O 413.3A. NA-50 serves as program manager and provides oversight for the Facility Infrastructure and Infrastructure and Recapitalization Program (FIRP) line item projects as well as the projects in NA-10, NA-20 and NA-70, when requested. NA-50 leads project recovery efforts for troubled projects throughout the NNSA when requested by the Administrator or Site Office Managers.

Oversight

- Maintains operational awareness of NNSA Site Office and contractor activities, with particular emphasis on the safety of nuclear facilities, construction, and environmental activities.
- Holds responsible managers accountable in Headquarters and the field for the resolution of corrective actions and sharing of lessons learned.

Resource Allocation

- Issues program missions, budgets, and planning estimates covering a 10-year planning horizon for the FIRP, and jointly approves the Ten-Year Site Plans.
- Issues program missions, budgets, and planning estimates for the Long-Term Stewardship Program and the Materials Consolidation Program (beginning in the planning cycle for fiscal year 2010).

Construction Management

- Serves as the ESAAB Equivalent Board Acquisition Executive on FIRP and other assigned NNSA projects to make decisions on the disposition of all requested Critical Decisions and Baseline Change Proposals. Ensures that appropriate measures are taken so that projects meet programmatic, safety, environmental, security, legal, procurement, and Departmental requirements.
- Manages the ESAAB and ESAAB Equivalent processes for the NNSA. Serves as NNSA Secretariat for these functions. Provides liaison with the Office of Engineering and Construction Management for the ESAAB and NNSA ESAAB Equivalent functions. Two components of these processes are nuclear safety and worker safety.
- Manages the Quarterly Progress Review (QPR) process for all NNSA Line Item projects. Integrates nuclear safety and worker safety into the QPR process.
- Performs IPRs and Technical IPRs (T-IPRs) for NNSA. Worker and nuclear safety are components of these project reviews. For T-IPRs, works with CDNS to evaluate the nuclear safety aspects of NNSA nuclear facility construction projects. In this role, NA-50 reviews hazards analyses and DSA documents and evaluates the integration of design into construction in accordance with the Deputy Secretary's direction, DOE-STD-1189, and 10 CFR Part 830.

Performance Improvement

- Evaluates NNSA contractors' performance against nuclear safety and ES&H performance measures and performance indicators.
- Provides input to the Site Office Managers in the PEP and PER processes.

Environmental Stewardship

- Accelerates risk reduction and cleanup of the environmental legacy at NNSA sites in accordance with applicable environmental laws and regulations, and in consultation with affected stakeholders and tribal governments.
- Executes the functions and authorities of the NEPA Compliance Officer and coordinates NEPA-related decisions.

- Oversees the ES&H aspects of the Newly Generated Waste and Unneeded Materials initiatives for NNSA sites.

4.9 NNSA Associate Administrator for Management and Administration (NA-60)

NA-60 is responsible for resource allocation processes as related to safety management, including personnel and funding, with direction from the appropriate Deputy Administrator(s).

NA-60 and the Service Center are responsible for creating and deploying the necessary business systems and practices that allow NNSA to operate efficiently and effectively as an integrated nuclear security enterprise. Consistent with the vision promulgated by the Secretary of Energy and the Administrator, NA-60 and the Service Center undertook an initiative in fiscal year 2007 to assign clear accountability for performance to key functional leaders and managers in the Headquarters and Service Center organizations, regardless of their organizational and geographical locations. This initiative has helped to promote effective communication and cooperation between the HQ policy and functional systems leaders and the Service Center's operational leaders and managers, and has fostered a level of performance in NNSA's functional areas necessary to deliver effective mission support and customer satisfaction.

Strategic Objectives

NA-60 senior leadership is responsible for providing, protecting, and evolving a resource-balanced, expert-based organization that maximizes priorities, leveraged resources, and practices to support effective, timely delivery of products and services throughout the enabling community and to the programs' mission needs. Strategic goals include:

- Enterprise integration and accountability for NNSA business processes;
- Promulgation and implementation of policies and practices that are auditable, repeatable, practical, and transparent to our customers;
- Timely issue identification, followed by rapid and effective conflict resolution;
- Reducing the cost of support for Federal employees throughout the NNSA enterprise; and
- Demonstrating improved customer service with easily understood metrics.

Execution of Program Management Responsibilities

- Coordinates development of the NNSA Strategic Plan and Mission Statement and facilitates reviews to ensure that the NNSA Strategic Plan is compatible with the DOE Strategic Plan.
- Leads activities for preparation and dissemination of the budget for NNSA in accordance with the PPBE process. Coordinates efforts with the Principal Deputy Administrator, Deputy Administrators, Associate Administrators, and the Site Office Managers.
- Leads processes to evaluate programs and allocate resources as specified in the PPBE processes.
- Coordinates with the Service Center to maintain official training and qualification records for the Federal nuclear safety and ES&H personnel.

- In conjunction with the Service Center, provides services such as integrated business management, PPBE, corporate administration, and financial management systems.
- Responsible for the NNSA directives process including managing the coordination process and publication of NNSA Policy Letters, NNSA-wide Supplemental Directives, and other guidance, including the NNSA FRAM.

Issues Management

- Serves as the point of contact for the Pegasus issues management system.
- Serves as the point of contact for requests from the Office of Inspector General, General Accounting Office, and the public under the Freedom of Information Act.
- Serves as the NNSA Directives Point of Contact (DPC) for the NNSA Secretarial Officers (NA-1, NA-10, NA-20, and the Chief of Defense Nuclear Security). Works with the Program Office to resolve comments. Coordinates the review of DOE directives with field-level DPCs.
- Resolves HQ FEOSH issues, program requirements, and actions.

Contracts Management

- The Office of Acquisition and Supply Management serves as the Head of Contracting Activity for contract actions in excess of \$25M.
- Coordinates and supervises HQ aspects of contracts affecting NNSA and serves as the NNSA HQ point of contact with the NNSA Contracting Officers in the field.
- The Senior Procurement Executive provides overall management direction of the Administration's procurement system and ensures that operating elements adhere to the Federal Acquisition Regulation, the DEAR, and NNSA guidance.
- NA-63 coordinates HQ program and functional office input into annual PEPs and fee determination.

4.10 Defense Nuclear Security

The Chief of Defense Nuclear Security (DNS), in partnership with the Associate Administrator for Security Programs and the Chief Information Officer (CIO), is responsible for developing and implementing security programs within NNSA, in accordance with Section 3232 of the National Defense Authorization Act for Fiscal Year 2000. As the Cognizant Security Authority for NNSA, the Chief of DNS ensures the effective and efficient implementation of security while balancing priorities and resources among safety, security, and program needs.

The Chief of Defense Nuclear Security focuses on strategic security challenges facing NNSA. Specific duties assigned to the Chief of DNS include:

- Manage the DNS physical and cyber security oversight and assessment programs through the DNS Performance Assurance Program.
- Serve as the NNSA Design Basis Threat policy coordinator, working with DOE and other Federal agencies.
- Liaison with intelligence, counterintelligence, and external agencies; participates, as required, in the National Security Committee of Principals.
- Lead NNSA participation in enforcement activities pursuant to 10 CFR Part 824, *Procedural Rules for the Assessment of Civil Penalties for Classified Information Security Violations*.
- Member of the Special Access Program Oversight Committee.
- Security functional accountability for Site Office Managers.
- Operational awareness of field element DNS and contractor performance via reviews of self-assessments, special reviews, site assistance visits, and Operational Readiness Reviews.
- Act as the DOE representative for international safeguards and security policy development.

Associate Administrator for Security Programs (NA-70)

The Associate Administrator for Security Programs is the program manager for the DNS programs. NA-70 also provides engineering, technical, operational, and administrative support to line management and field elements to ensure effective security operations at NNSA facilities, to include the physical, personnel, materials control and accounting, classified and sensitive information protections, and technical security programs.

- Prepares a DNS FRAM and implements processes and procedures that detail how the responsibilities and authorities established in the NNSA FRAM for NA-70 are performed.
- Implements the Integrated Safeguards and Security Management Program for NNSA Federal and contractor offices and sites, which relies on line management ownership of security and individual employee commitment to conducting all work in a secure manner.
- Provides assistance to Site Offices and the Service Center on security programs at NNSA facilities, including protective forces, physical security systems, transportation security (for intrasite transfers of special nuclear materials, weapons, and other classified materials not funded through the Office of Secure Transportation), classified matter protection and control, classification and information security, personnel security, materials control and accountability, and program management.
- Establishes a system of controls to ensure that access to classified matter and special nuclear material is limited to authorized persons.
- Reviews proposed directives, Technical Standards, and Rules, and analyzes Site Safeguards and Security Plans and Security Survey Reports.

- Assists in implementation of security management systems and performance measures to ensure adequate protection of workers, the public, and the environment.
- Assists the Program and Site Offices in defining security requirements for new facilities and modifications to current facilities.
- Assists the Office of Defense Nuclear Nonproliferation with security issues, including arms control agreements and international treaties, international physical protection, bilateral visits, nuclear security culture, and best practices affecting NNSA sites.
- Serves as the NNSA lead for the security of Special Access Programs and represents NA-70 on the Special Access Program Oversight Committee.
- Reviews the results of DNS assurance assessments of site security performance to identify means for improving the NNSA security program.
- Appoints NNSA Federal and contractor Classification Officers, Original Classifiers, Top Secret Derivative Classifiers, Derivative Declassifiers, Headquarters Classification Representatives, and Headquarters Derivative Classifiers. Conducts line oversight reviews of the NNSA classification and declassification programs for NNSA Headquarters and field elements.
- Ensures functional security accountability for Site Office Assistant Managers.

Chief Information Officer

The NNSA CIO is responsible for information technology programs and initiatives, as well as for cyber security. In coordination with the Chief of DNS, the CIO develops and issues the NNSA cyber security policies for Headquarters and field elements and ensures that cyber security programs are effectively integrated into program operations. Designated Approving Authorities (DAAs) approve the security associated with specific classified and unclassified cyber-based systems. The NNSA Administrator appoints Site Office Managers as DAAs at Site Offices. The Site Office Manager then appoints a DAA Representative, known as the DAA. The CIO coordinates with the Chief of DNS in performance assurance reviews of Site Offices and the Service Center.

4.11 NNSA Site Office Managers

Site Office Managers ensure that M&O contractors operate facilities safely in support of the NNSA mission. They oversee day-to-day execution of program tasks and activities, including contract and safety management. Site Office Managers execute the responsibilities and authorities for Field Element Managers (or equivalent terminology) of DOE directives and NNSA Supplemental Directives listed in Appendix A, and other delegated functions.

Oversight

- Prepare a Site Office FRAM, submit it to NA-10 for approval, and implement processes and procedures that delineate how the applicable responsibilities and authorities in the NNSA

FRAM are performed. Revise the Site Office FRAM as delegation, authorities, and responsibilities change within the Site Office or as the NNSA FRAM is revised.

Assessment

- Approve contractor Radiation Protection Plans per 10 CFR Part 835, *Occupational Radiation Protection*.
- Concur with the contractor Quality Assurance Program per DOE O 414.1C.
- Approve Maintenance Implementation Plans per DOE O 433.1A, *Maintenance Management Program for DOE Nuclear Facilities*.
- Approve and oversee contractor worker safety and health programs in accordance with 10 CFR Part 851.
- Approve and oversee the contractor Chronic Beryllium Disease Prevention Program.
- Approve Conduct of Operations Implementation Matrices in accordance with the requirements in DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*.
- Approve Training Implementation Matrices in accordance with the requirements in DOE Order 5480.20A, *Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities*.

Facility Operation/Authorization

- Review DSAs, preliminary DSAs, or related safety basis documentation; prepare Safety Evaluation Reports (SERs); approve SERs, when delegated.
- Maintain the status of safety basis documents for Hazard Category 1, 2, and 3 nuclear facilities.
- Serve as Authorization Authority for the restart of Hazard Category 3 nuclear facilities.
- Implement the Defense Nuclear Security Program on behalf of NA-70 for Site Office activities.

Differing Professional Opinions

- Develop local processes for resolving Differing Professional Opinions.

Integrated Safety Management

- Establish annual safety performance objectives, measures, and commitments per DOE M 450.4-1, *Integrated Safety Management System Manual*.

Staffing and Competency

- Approve the site's FTCP Annual Action Plan.

Performance Improvement

- Prepare the annual contractor PEPs and PERs based on input from program and functional offices that has been coordinated by NA-63 and transmitted through NA-10.
- Define objectives for comprehensive fee items and performance-based incentives. Assess contractor performance against established program milestones, nuclear safety, and ES&H performance measures and performance indicators.
- Ensure that applicable site-level actions in Departmental recommendations, Implementation Plans, and issues raised by the Board are resolved satisfactorily.
- Evaluate Site Contractor performance against nuclear safety and ES&H performance measures and performance indicators and submit the results to NA-10.
- Review, approve, and monitor 10 CFR Part 851 noncompliance reports.
- Monitor contractor reporting of potential nuclear safety violations and noncompliances with nuclear safety rules to the HSS Office of Enforcement for review under the provisions of 10 CFR Part 820. Provide information, support investigations, and participate in enforcement conferences with the Office of Enforcement.

Management of Safety Requirements

- Assist in the development and review of DOE directives.
- Files copies of Site Office decisions on exemptions to DOE nuclear safety requirements and directives with the DOE Office of the Docketing Clerk to comply with the exemption requirements of 10 CFR Part 820.
- Files copies of Site Office decisions on exemptions to DOE directives with the DOE Office of Information Resources to comply with the exemption requirements of DOE O 251.1B.

4.12 NNSA Service Center Director

The NNSA Service Center is an integrated support organization that ensures that technical, business, legal, and financial services are successfully accomplished in support of NNSA Site Offices, NNSA and other Departmental missions, as assigned. The NNSA Service Center Director provides safety management support to other NNSA organizations and is responsible for all aspects of safety and emergency management at the NNSA Service Center facility in Albuquerque. The Service Center provides technical ES&H services to NNSA HQ and sites for the planning and conduct of work.

Oversight

- Prepares a Service Center FRAM and implement processes and procedures that delineate how the applicable responsibilities and authorities in the NNSA FRAM are performed.

Assessment

- Performs day-to-day safety observations and weekly documented inspections of ongoing projects; plans and performs emergency management tabletops, drills, and exercises.
- Performs annual assessments of the emergency management program.
- Reviews and approves contractor safety plans and project hazard analyses in accordance with 10 CFR Part 851 for work to be performed onsite.

Facility Operation/Authorization

- Ensures that all Federal and contractor work is addressed within a 10 CFR Part 851-compliant safety plan.
- Ensures that all Federal work is addressed within the DOE O 440.1B worker safety and health program.
- Immediately stops work when unsafe situations arise.
- Provides site safety requirement training and employee indoctrination annually.
- Evaluates all pending facility and construction projects for safety implications. Prioritizes and funds the projects as soon as practical.
- Implements the Defense Nuclear Security Program on behalf of NA-70 for Service Center activities.

Differing Professional Opinions

- Develops local processes for handling Differing Professional Opinions.

Staffing and Competency

- Coordinates with NA-60 and DOE HQ Office of Human Capital Management Enterprise Training Services to maintain records for the Federal nuclear safety and ES&H personnel training and qualification programs, as required by DOE/NNSA Federal Technical Training directives.
- Coordinates with NA-40 regarding training and qualification of Federal staff in the area of emergency management, in accordance with DOE directives and NNSA Service Center implementing plans and procedures.

Performance Improvement

- Based on results of observations, assessments, and analysis and trending of issues, identifies targets for improvement. Develops and implements associated actions to institute enhanced site safety.

Packaging and Transportation Safety

- Approves and issues Offsite Transportation Certificates and Offsite Transportation Authorizations for packages used to ship materials of national security interest in the Transportation Safeguards System.
- Issues safety guides for field organizations and contractors to use in their development of safety analysis reports and risk assessments or hazards analyses for proposed transport configurations.
- Authorizes users of NNSA certified Type B packages, and revokes authorized user status when users fail to comply with OTC requirements.
- Conducts appraisals of packaging and transportation operations for DOE and NNSA organizations.
- Reviews Transportation System Risk Assessments for proposed exemptions to DOE O 461.1, prepares SERs that identify the offsite shipment risks, and provides the SERs to NA-10 and CDNS.

Departmental Materials and Packaging Management

- In accordance with DOE O 462.2A, reviews and approves requests for the classification of new explosives, makes preliminary classification determinations of requests for tentative classification of new explosives in accordance with 49 CFR Parts 100-185, *Pipeline and Hazardous Materials Safety Administration, Department of Transportation*, and transmits appropriate documentation to the Department of Transportation in support of DOE and NNSA activities.

Contracts and Business Management

- The Associate Director of the Office of Business Services serves as the Head of Contracting Authority for contract actions below \$25M. Prepares, awards, and administers contracts that establish clear expectations and performance measures with requirements for annual updates. Monitors contractor performance to assess whether performance expectations have been met.
- In conjunction with NA-60, provides services such as integrated business management, PPBE, corporate administration, and financial management systems.

Management of Safety Requirements

- Assists in the development and review of DOE directives.

APPENDIX A REFERENCES

Federal Statutes, Acts, Executive Orders, and other Authorities

| Reference Number | Title |
|--|--|
| Title 5, United States Code (U.S.C.) | <i>Administrative Procedure Act (APA)</i> |
| 42 U.S.C | <i>Atomic Energy Act of 1954 (AEA)</i> |
| 42 U.S.C. (Public Law (P.L.) 91-190) | <i>National Environmental Policy Act</i> |
| 42 U.S.C. 7274d | <i>National Defense Authorization Act for fiscal years 1992 and 1993</i> |
| 42 U.S.C. 2011 (P.L. 100-408) | <i>Price-Anderson Amendments Act of 1988</i> |
| P.L. 91-596 | <i>Occupational Safety and Health Act of 1970</i> |
| P.L. 93-438 | <i>Energy Reorganization Act of 1974</i> |
| P.L. 95-91 | <i>DOE Organization Act</i> |
| P.L. 97-425, as amended by Title V, Subtitle A of P.L. 100-203 | <i>Nuclear Waste Policy Act of 1982 (NWSA)</i> |
| P.L. 102-386 | <i>Federal Facility Compliance Act</i> |
| P.L. 104-113 | <i>National Technology Transfer and Advancement Act of 1995</i> |
| P.L. 104-303 | <i>Water Resources Development Act of 1996</i> |
| P.L. 106-65 | <i>National Defense Authorization Act for Fiscal Year 2000</i> |
| P.L. 106-377 | <i>National Nuclear Security Administration Act (NNSA) Act in the National Defense Authorization Act for 2000</i> |
| Executive Order (E.O.) 12196 | <i>Occupational Safety and Health Programs for Federal Employees</i> |
| E.O. 12564 | <i>Drug-Free Federal Workplace</i> |
| E.O. 12699 | <i>Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction</i> |
| E.O. 12941 | <i>Seismic Safety of Existing Federally Owned or Leased Building</i> |
| E.O. 13101 | <i>Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition</i> |
| E.O. 13148 | <i>Greening the Government Through Leadership in Environmental Management</i> |
| PD/NSC/25 | <i>Large-Scale Adverse Environmental Affects and Launch of Nuclear Systems Into Space</i> |
| National Security Decision Directive 282 | <i>Continuing Authority to Deliver Nuclear Materials and to Acquire Utilization Facilities</i> |
| Office of Management and Budget (OMB) Circular A-11 | <i>Preparation, Submission and Execution of the Budget</i> |
| OMB Circular A-119 | <i>Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities</i> |

Code of Federal Regulations

| Reference Number | Title |
|-------------------------|--|
| 10 CFR Part 820 | <i>Procedural Rules for DOE Nuclear Activities</i> |
| 10 CFR Part 824 | <i>Procedural Rules for the Assessment of Civil Penalties for Classified Information Security Violations</i> |
| 10 CFR Part 830 | <i>Nuclear Safety Management</i> |
| 10 CFR Part 835 | <i>Occupational Radiation Protection</i> |
| 10 CFR Part 850 | <i>Chronic Beryllium Disease Prevention Program</i> |
| 10 CFR Part 851 | <i>Worker Safety and Health</i> |
| 10 CFR Part 1021 | <i>National Environmental Policy Act Implementing Procedures</i> |
| 29 CFR Part 1910 | <i>Occupational Safety and Health Standards</i> |
| 29 CFR Part 1960 | <i>Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters</i> |
| 40 CFR Part 61 | <i>National Emission Standards for Hazardous Air Pollutants</i> |

| Reference Number | Title |
|------------------------|--|
| 40 CFR Part 191 | <i>Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High-Level and Transuranic Radioactive Wastes</i> |
| 48 CFR Part 970.5204-2 | <i>Laws, Regulations, and DOE Directives</i> |
| 48 CFR Part 5215-3 | <i>Conditional Payment of Fee, Profit, and Other Incentives—Facility Management Contracts</i> |
| 48 CFR Part 970.5223-1 | <i>Integration of Environment, Safety and Health into Work Planning and Execution</i> |
| 49 CFR Part 100-185 | <i>Pipeline and Hazardous Materials Safety Administration, Department of Transportation</i> |

DOE Orders, Manuals, Notices, Policies

| Directive Number | Title | Office of Primary Interest (OPI) |
|----------------------|---|----------------------------------|
| DOE O 100.1D | <i>Secretarial Succession, Threat Level Notification, and Successor Tracking</i> | NA |
| DOE P 111.1 | <i>Departmental Organization Management System</i> | S |
| DOE O 130.1 | <i>Budget Formulation</i> | CF |
| DOE O 135.1A | <i>Budget Execution—Funds Distribution and Control</i> | CF |
| DOE M 135.1-1A | <i>Department of Energy Budget Execution—Funds Distribution and Control Manual</i> | CF |
| DOE M 140.1-1B | <i>Interface With The Defense Nuclear Facilities Safety Board</i> | OS |
| DOE P 141.2 | <i>Department of Energy Management of Cultural Resources</i> | CI |
| DOE O 151.1C | <i>Comprehensive Emergency Management System</i> | NA |
| DOE O 153.1 | <i>Departmental Radiological Emergency Response Assets</i> | NA |
| DOE O 210.2 | <i>DOE Corporate Operating Experience Program</i> | HS |
| DOE O 225.1A | <i>Accident Investigations</i> | HS |
| DOE O 226.1A | <i>Implementation of Department of Energy Oversight Policy</i> | HS |
| DOE P 226.1A | <i>Department of Energy Oversight Policy</i> | HS |
| DOE M 231.1A Chg 1 | <i>Environment, Safety, and Health Reporting Manual</i> | HS |
| DOE M 231.1-2 | <i>Occurrence Reporting and Processing of Operations Information</i> | HS |
| DOE N 231.1 | <i>Environment, Safety, and Health Reporting Notice</i> | HS |
| DOE O 231.1-1A Chg 2 | <i>Environment, Safety, and Health Reporting</i> | HS |
| DOE HQ O 250.1 | <i>Civilian Radioactive Waste Management Facilities – Exemption from Departmental Directives</i> | RW |
| DOE M 251.1-1B | <i>Departmental Directives Program Manual</i> | MA |
| DOE O 251.1B | <i>Departmental Directives Program</i> | MA |
| DOE P 251.1A | <i>Directives System Policy</i> | MA |
| DOE O 252.1 | <i>Technical Standards Program</i> | HS |
| DOE O 350.1 Chg 1 | <i>Contractor Human Resource Management Programs</i> | MA |
| DOE M 361.1-1B | <i>Federal Employee Training Manual</i> | HC |
| DOE O 360.1B | <i>Federal Employee Training</i> | HC |
| DOE O 410.1 | <i>Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements</i> | US |
| DOE P 410.1A | <i>Promulgating Nuclear Safety Requirements</i> | HS/GC |
| DOE P 411.1 | <i>Safety Management Functions, Responsibilities, and Authorities Policy</i> | HS |
| DOE M 411.1-1C | <i>Safety Management Functions, Responsibilities, and Authorities Manual</i> | HS |
| DOE N 411.1 | <i>Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities</i> | HS |
| DOE M 413.3-1 | <i>Project Management for the Acquisition of Capital Assets</i> | MA |
| DOE O 413.3A | <i>Program and Project Management for the Acquisition of Capital Assets</i> | MA |

| Directive Number | Title | Office of Primary Interest (OPI) |
|-------------------------|---|---|
| DOE O 414.1C | <i>Quality Assurance</i> | HS |
| DOE O 420.1B | <i>Facility Safety</i> | HS |
| DOE O 420.2B | <i>Safety of Accelerator Facilities</i> | SC |
| DOE O 425.1C | <i>Startup and Restart of Nuclear Facilities</i> | HS |
| DOE M 426.1-1A | <i>Federal Technical Capability Manual</i> | HC |
| DOE O 430.1B | <i>Real Property Asset Management</i> | MA/CFO |
| DOE O 433.1A | <i>Maintenance Management Program for DOE Nuclear Facilities</i> | HS |
| DOE M 435.1-1 Chg 1 | <i>Radioactive Waste Management Manual</i> | EM |
| DOE O 435.1 Chg 1 | <i>Radioactive Waste Management</i> | EM |
| DOE M 440.1-1A | <i>DOE Explosives Safety Manual</i> | HS |
| DOE O 440.1B | <i>Worker Safety and Health Management for DOE Federal Employees</i> | HS |
| DOE O 440.2B | <i>Aviation Management and Safety</i> | MA |
| DOE P 442.1 | <i>Differing Professional Opinions on Technical Issues Related to Environment, Safety and Health</i> | HS |
| DOE M 442.1-1 | <i>Differing Professional Opinions Manual for Technical Issues Involving Environment, Safety and Health</i> | HS |
| DOE O 442.1A | <i>Department of Energy Employee Concerns Program</i> | HS |
| DOE O 443.1A | <i>Protection of Human Subjects</i> | SC |
| DOE O 450.1 Admin Chg 1 | <i>Environmental Protection Program</i> | HS |
| DOE P 450.2A | <i>Identifying, Implementing and Complying with Environment, Safety and Health Requirements</i> | HS/GC |
| DOE M 450.3-1 | <i>DOE Closure Process for Necessary and Sufficient Sets of Standards</i> | HS |
| DOE M 450.4-1 | <i>Integrated Safety Management Manual</i> | EM |
| DOE P 450.4 | <i>Safety Management System Policy</i> | HS |
| DOE P 450.7 | <i>Department of Energy Environment, Safety and Health Goals</i> | HS |
| DOE O 451.1B Chg 1 | <i>National Environmental Policy Act Compliance Program</i> | HS |
| DOE O 452.1C | <i>Nuclear Explosive and Weapons Surety Program</i> | NA |
| DOE M 452.2-1 | <i>Nuclear Explosive Safety Manual</i> | NA |
| DOE O 452.2C | <i>Safety of Nuclear Explosives Operations</i> | NA |
| DOE O 460.1B | <i>Packaging and Transportation Safety</i> | EM |
| DOE M 460.2-1 | <i>Radioactive Material Transportation Practices</i> | EM |
| DOE O 460.2A | <i>Departmental Materials Transportation and Packaging Management</i> | HS |
| DOE M 461.1-1 Chg 1 | <i>Packaging and Transfer of Materials of National Security Interest Manual</i> | NA |
| DOE O 461.1A | <i>Packaging and Transfer or Transportation of Materials of National Security Interest</i> | NA |
| DOE O 470.2B | <i>Independent Oversight and Performance Assurance Program</i> | HS |
| DOE M 470.4-2 Chg 1 | <i>Physical Protection</i> | HS |
| DOE M 470.4-5 | <i>Personnel Security</i> | HS |
| DOE M 470.4-6 Chg 1 | <i>Nuclear Material Control and Accountability</i> | HS |
| DOE O 470.4A | <i>Safeguards and Security Program</i> | HS |
| DOE O 470.4-7 | <i>Safeguards and Security Program References</i> | HS |
| DOE O 541.1B | <i>Appointment of Contracting Officers and Contracting Officer Representatives</i> | MA |
| DOE Order 5400.5 Chg 2 | <i>Radiation Protection of the Public and the Environment</i> | HS |
| DOE Order 5480.4 Chg 4 | <i>Environmental Protection, Safety, and Health Protection Standards</i> | HS |
| DOE Order 5480.19 Chg 2 | <i>Conduct of Operations Requirements for DOE Facilities</i> | HS |

| Directive Number | Title | Office of Primary Interest (OPI) |
|--|---|----------------------------------|
| DOE Order 5480.20A Chg 1 | <i>Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities</i> | HS |
| DOE Order 5480.30 Chg 1 | <i>Nuclear Reactor Safety Design Criteria</i> | HS |
| DOE Order 5660.1B | <i>Management of Nuclear Materials</i> | NA |
| DOE-STD-3006-2000 | <i>Planning and Conduct of Operational Readiness Reviews (ORR)</i> | HS |
| DOE-STD-3015-2004 | <i>Nuclear Explosive Safety Evaluation Process</i> | NA |
| DOE-STD-7501-99 | <i>The DOE Corporate Lessons Learned Program</i> | HS |
| DOE/NA-0010 | <i>The National Nuclear Security Administration Strategic Plan</i> | NA |
| Secretary of Energy Notice (SEN) 35-91 | <i>Nuclear Safety Policy</i> | HS |

DOE and NNSA Administrator Memoranda, Policies, etc.

| Document Number | Title |
|-----------------|---|
| 00-001.00C | Department of Energy Delegation Order No. 00-001.00C to the Deputy Secretary, effective January 31, 2007 |
| 00-003.01 | Memorandum to the Director, Office of Procurement and Assistance Management, <i>Department of Energy National Nuclear Security Administration Designation of Authority and (Re)Delegation of Authority Order No. 00-003.01</i> , effective October 28, 2002 |
| 01-001.00 | <i>National Nuclear Security Administration Delegation Order No. 01-001.00 to the Principal Deputy Administrator of the National Nuclear Security Administration</i> |
| | Memorandum from Secretary Abraham, <i>Clarification of Roles and Responsibilities</i> , May 12, 2003 |
| | Memorandum for the Deputy Administrator for Defense Programs: <i>Delegation of Authority Regarding Environment, Safety and Health at NNSA Facilities</i> , June 25, 2003 |
| | Memorandum for the Deputy Administrator for Defense Programs: <i>Delegation of Authority Regarding Safeguards and Security at NNSA Facilities</i> , June 25, 2003 |
| | Memorandum from Administrator Linton Brooks to Associate Administrator for Management and Administration, <i>Request to Approve Establishment of the Office of the Associate Administrator for Defense Nuclear Security...</i> , June 14, 2004 |
| | Memorandum from Secretary Bodman to the NNSA Principal Deputy Administrator and the Assistant Secretary for Environment, Safety and Health, <i>Revised Safety Functions, Responsibilities and Authorities</i> , April 26, 2005 |
| | Memorandum from Deputy Secretary Clay Sell to the Under Secretary for Nuclear Security, <i>Delegations of Safety Authorities</i> , December 27, 2005 |
| | Memorandum from the NNSA Administrator to the Deputy Secretary, <i>Delegation of Safety Authorities</i> , February 13, 2006 |
| | Memorandum from the Associate Administrator for Defense Nuclear Security to the Administrator, <i>Realignment of the Office of the Associate Administrator of Defense Nuclear Security (NA-70)</i> , December 7, 2006 |
| | <i>Memorandum of Agreement on Safety Management at the Savannah River Site</i> , October 14, 2005 |
| | <i>Memorandum of Agreement between the Assistant Deputy Administrator for Fissile Materials Disposition (NA-26) and the Savannah River Site Office Manager</i> , October 2, 2006 |
| | <i>NNSA Delegation Procedure</i> , promulgated by memorandum from NA-1 to the Site Office Managers, August 22, 2006 |

| Document Number | Title |
|------------------------|--|
| | <i>Realignment of Select Security Functions in the National Nuclear Security Administration (NNSA), September 24, 2007</i> |
| | <i>NNSA Strategic Plan, November 2004</i> |
| NAP-6 | <i>Federal Employee Occupational Safety and Health Program for National Nuclear Security Administration Employees</i> |
| NAP-7 | <i>NNSA's Acquisition and Assistance Policy Guidance</i> |
| BOP-50.001 | <i>Business and Operating Policy Letter, NNSA ESAAB Equivalent Process</i> |
| NA-1 M 411.1-1 | <i>Headquarters Biennial Review of Site Office Nuclear Safety Performance</i> |
| NA-1 SD 442.1-1 | <i>NNSA Differing Professional Opinions Manual for Technical Issues Involving Environment, Safety and Health</i> |
| NA-1 SD 450.4-1 | <i>Integrated Safety Management System Description</i> |

APPENDIX B DEFINITIONS

Accountability. The state of being liable for explanation to a superior NNSA official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specified actions. The person receiving the authority is accountable to the delegator for the proper and diligent exercise of that authority. Responsibility differs from accountability in that a responsible official "owns" the function for which he or she is responsible; it is an integral part of his or her duties to see that the function is properly executed, to establish criteria for the judgment of excellence in its execution, and to strive for continuous improvement in that execution. A responsible official is associated with the outcomes of the exercise of authority, whether it was delegated or whether the delegate properly followed guidance. Accountability, on the other hand, involves the acceptance of the authority for execution (or for further delegation of components of execution) by using guidance and criteria established by the responsible authority.

Authority. The permission afforded by law, regulation, directive, or delegated by NNSA Senior Management enabling an NNSA employee to perform a function or reach and implement a decision.

Contracting Officer. A DOE official holding the authority to make purchases or contract for goods and services in excess of \$25,000. Contracting officers are appointed using Standard Form 1402, following procedures in DOE O 541.1B, *Appointment of Contracting Officers and Contracting Officer Representatives*.

Delegation. Written permission, granted by a responsible authority to another NNSA employee, to perform a specific function on behalf of that responsible authority, usually containing guidance on the manner in which the authority is to be used. By delegation, the responsible authority cannot diminish his or her responsibility for the consequences of the exercise of the authority.

ES&H. See definition under "Safety" below.

Function. An action or activity undertaken by an NNSA employee in performing or contributing to the performance of work in compliance with component 3 of DOE P 450.4, *Safety Management Policy*. This component defines five core functions for integrated safety management, each of which includes several derivative functions that are to be applied with a degree of rigor appropriate to the type of activity and hazards involved.

Line Management. DOE line management refers to the management chain with responsibility for the site. This chain typically extends from the responsible site organization (e.g., site office or field office) to the responsible program office through the Under Secretary and ultimately to the Deputy Secretary and Secretary of Energy. It pertains to the NNSA Site Office or Headquarters element manager who has direct responsibilities for protection of employees, the public, and the environment at the NNSA facility or operation. The line manager is directly responsible for developing, approving (when delegated such authority by NA-1 or the CTA), planning, implementing, tracking, and reporting corrective actions. The cognizant line manager

is also responsible for initiating action to elevate issues to a higher authority for resolution when necessary.

Nuclear Safety. For the purposes of this Manual, nuclear safety is defined broadly to include facilities and activities, nuclear explosive safety, and programs that require controls to ensure adequate protection of workers, the public, and the environment from exposure to ionizing radiation or radiological materials. These facilities, activities, and programs are subject to the nuclear safety management rule (10 CFR Part 830).

Responsibility. The state of being liable for the outcome of the exercise of an authority granted by law, regulation, or directive.

Safety. The term “safety” is used synonymously with environment, safety, and health (ES&H) to encompass protection of the public, the workers, and the environment. Safety is a dynamic non-event; a stable outcome produced by constant adjustments to system parameters. To achieve stability, change in one system parameter must be compensated for by changes in other parameters, through a process of continuous mutual adjustment.

Safety Management Function. An activity that may affect the safety and health of workers, the public, or protection of the environment [DOE P 450.4].

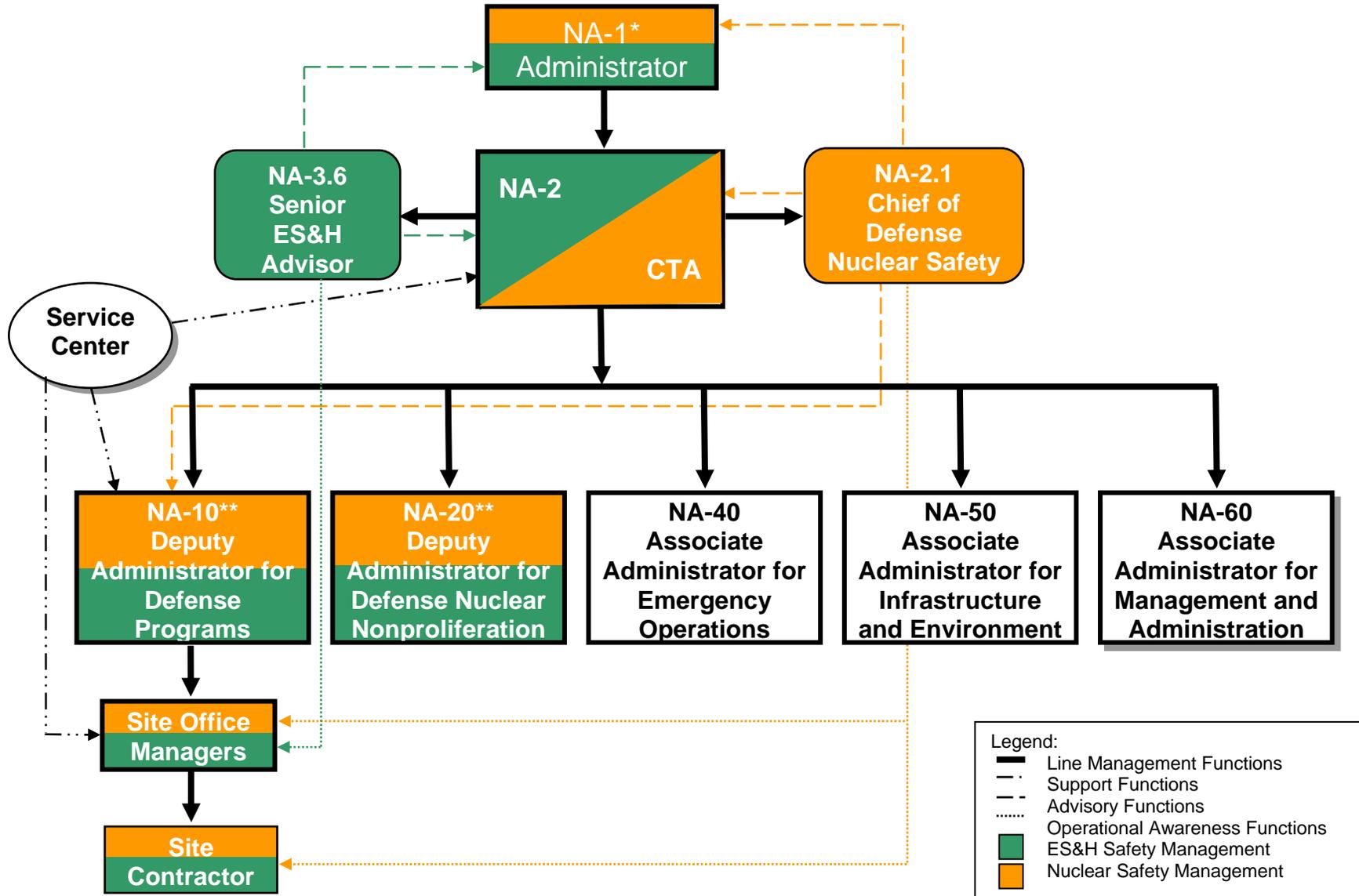
Safety Management Systems. Provide a formal, organized process whereby employees plan, perform, assess, and improve the safe conduct of work. The Safety Management System is institutionalized through DOE directives and contracts to establish the Department-wide safety management objectives, guiding principles, and core functions. The Safety Management System consists of six components: (1) objectives, (2) guiding principles, (3) core functions, (4) mechanisms, (5) responsibilities, and (6) implementation. These are explained in detail in DOE P 450.4, *Safety Management Systems*, and their implementations are outlined in the associated Guides.

Senior Procurement Executive. The Director of Acquisition and Supply Management is responsible for ensuring that each member of the acquisition workforce is certified to the career level appropriate to the grade they occupy or to their responsibilities, in accordance with DOE O 361.1A.

Site Office. The NNSA organization, located at a given site, having responsibility for directing and conducting oversight of contractor operations associated with that site.

Site Office Manager. The NNSA employee who has overall responsibility for a Site Office. The Site Office Manager usually serves as the formal contracting officer for the contracts at the site.

APPENDIX C SAFETY MANAGEMENT FUNCTIONS* AND AUTHORITIES



* The Chief DNS and NA-70 have limited safety functions.

APPENDIX D

ACRONYMS

| | |
|-------|---|
| AEA | Atomic Energy Act |
| APA | Administrative Procedure Act |
| CATS | Corrective Action Tracking System |
| CDNS | Chief of Defense Nuclear Safety |
| CFR | Code of Federal Regulations |
| CIO | Chief Information Officer |
| CSO | Cognizant Secretarial Officer |
| CTA | Central Technical Authority |
| DAA | Designated Approving Authority |
| DEAR | Department of Energy Acquisition Regulation |
| DNFSB | Defense Nuclear Facilities Safety Board |
| DNS | Defense Nuclear Security |
| DOE | Department of Energy |
| DP | Defense Programs |
| DPC | Directives Point of Contact |
| DSA | Documented Safety Analysis |
| EM | Office of Environmental Management |
| E.O. | Executive Order |
| ES&H | Environment, Safety and Health |
| ESAAB | Energy Systems Acquisition Advisory Board |
| FEOSH | Federal Employee Occupational Safety and Health |
| FRAM | Functions, Responsibilities, and Authorities Manual |
| FTCP | Federal Technical Capability Program |
| HSS | Office of Health, Safety and Security |
| HQ | Headquarters |
| IPR | Independent Project Review |
| ISM | Integrated Safety Management |
| ISMS | Integrated Safety Management System |
| M&O | Management and Operating |
| NA-1 | NNSA Administrator |
| NA-10 | Office of Defense Programs |

| | |
|--------|--|
| NA-15 | Assistant Deputy Administrator for Secure Transportation |
| NA-20 | Office of Defense Nuclear Nonproliferation |
| NA-2 | Principal Deputy Administrator |
| NA-2.1 | Chief of Defense Nuclear Safety |
| NA-3.6 | Senior Environment, Safety and Health Advisor |
| NA-26 | Assistant Deputy Administrator for Fissile Materials Disposition |
| NA-30 | Naval Reactors Program |
| NA-40 | Associate Administrator for Emergency Operations |
| NA-43 | Associate Administrator for Emergency Management Implementation |
| NA-50 | Associate Administrator for Infrastructure and Environment |
| NA-60 | Associate Administrator for Management and Administration |
| NA-63 | Office of Acquisition and Supply Management |
| NA-70 | Associate Administrator for Security Programs |
| NAP | NNSA Policy Letter |
| NE | Office of Nuclear Energy |
| NEPA | National Environmental Policy Act |
| NES | Nuclear Explosives Safety |
| NESS | Nuclear Explosives Safety Study |
| NRC | Nuclear Regulatory Commission |
| NNSA | National Nuclear Security Administration |
| NWPA | Nuclear Waste Policy Act |
| OMB | Office of Management and Budget |
| OPI | Office of Primary Interest |
| OSR | Operational Safety Review |
| PAAA | Price-Anderson Amendments Act |
| PCSP | Performance-based Cyber Security Program |
| PD | Presidential Directive |
| PEP | Performance Evaluation Plan |
| PER | Performance Evaluation Report |
| P.L. | Public Law |
| PPBE | Planning, Programming, Budgeting, and Execution |
| PSO | Program Secretarial Officer |

| | |
|--------|--|
| QPR | Quarterly Progress Review |
| RTBF | Readiness in Technical Base and Facilities |
| SEN | Secretary of Energy Notice |
| STA | Secure Transportation Asset |
| T-IPR | Technical Independent Project Review |
| TQP | Technical Qualification Program |
| U.S.C. | United States Code |
| WMD | Weapons of Mass Destruction |