

Appendix A

Delegations of Authority to Perform Safety Management Functions

1. GENERAL REQUIREMENTS. When not prohibited by law or by the Secretary, DOE officials may delegate authority to perform their assigned safety management functions.
 - a. Delegations of authority for safety functions, other than those related to nuclear facilities as described below, may be made to either a position or a person.
 - b. Delegating officials remain fully accountable for the outcome of any actions taken that are associated with the delegated function(s) during the time that the delegation of authority is in effect.
 - c. Delegating officials create and maintain documentation of such delegations that include descriptions of the circumstances under which the delegated authorities take effect, any limitations to the authorities delegated, and the time period for which the delegation is valid.
 - d. A copy of the delegation of authority must be provided to the delegate.
 - e. Unless otherwise stated, delegations of authority must remain in effect until they are modified, rescinded, or they expire.
 - f. Delegating officials may modify or rescind in writing the delegation at any time.
 - g. A copy of the rescission or modification must be provided to the delegate who previously had the delegated authority so that the delegate is aware of the rescission and can document the revised delegation in the appropriate FRA document.
 - h. Delegation of program office authority to individuals in Field Element offices must not preclude the program offices from issuing requirements, expectations, and guidance affecting that authority or from participating in associated interactions with the operating or management contractor.
 - i. Delegations of authority must be reviewed periodically (at least every 2 years).
 - j. If the authority to perform a function listed in a DOE office's FRA document is delegated to another office, the office receiving the delegation must be allowed to review and comment on that aspect of the associated FRA document and have its comments satisfactorily resolved. Both organizations must update their FRA documents to reflect the delegation

2. NUCLEAR FACILITY SAFETY DELEGATION REQUIREMENTS. Delegation of nuclear safety authorities and self-assessment of this delegation process must comply with the process criteria and attributes specified below.
 - a. Process Criteria.
 - (1) Delegations must only be made to individuals who possess the necessary qualifications, experience, and expertise.
 - (a) Approval of documented safety analyses, technical safety requirements, and unreviewed safety question procedures required pursuant to 10 C.F.R. part 830, subpart B, *Safety Basis Requirements*, must not be further delegated below the most senior-level program officer or deputy at a Field Element office unless concurrence is obtained from the applicable Central Technical Authority (CTA).
 - (b) Minimum expectations in terms of individual requirements for the most senior-level program officer at a Field Element office and his or her deputy must include (1) Senior Technical Safety Manager qualifications consistent with DOE Order 426.1, *Federal Technical Capability*, and (2) successful completion of the 1-week *Nuclear Executive Leadership Training* course.
 - (c) The senior-level program officers at Headquarters that are expected to fulfill the responsibilities listed in (a) above are expected to have the same qualification as listed in (b) above.
 - (2) Delegations must only be made where the candidate's organization possesses, or has access to, sufficient staff (for example, a Service Center) with the necessary qualifications, experience, and expertise to support the candidate for the authorities being delegated.
 - (3) Delegation must only be made where the candidate's organization has the proper framework of processes and procedures, as well as adequate resources and funding, to implement the delegated authorities.
 - (4) In those rare cases in which delegation must be made prior to the candidate fully satisfying the established criteria above, compensatory measures must be established.
 - (5) There are field elements supporting more than one program office at a single site; therefore, to be consistent with line management responsibility for safety, the Assistant Managers for Environmental Management or equivalent position at Field Elements may be delegated safety authorities.

These delegations must be made with the approval of the lead program field element manager.

b. Process Attributes for Nuclear Safety Delegations.

- (1) Delegating officials must establish a documented process or procedure to ensure that delegations are made carefully and accurately, consistent with the process criteria and attributes defined in this Appendix.
- (2) Delegating officials must establish their minimum expectations in terms of individual and organizational capabilities and capacities for the various delegations.
- (3) Delegating officials must document their review of these criteria for every delegation made.
- (4) Delegations must only be made to individuals, not to positions. The delegations must clearly identify to the extent to which further delegations are allowed, consistent with this criterion.
- (5) Delegation processes should consider the judgment of at least two senior managers.
- (6) Delegation processes must also address delegations of authority to subordinate Headquarters personnel.
- (7) Compensatory measures related to this process must receive concurrence from the applicable CTA prior to delegation of authority.
- (8) Periodic reviews must be documented with the same criteria and rigor as the original delegations. Using the results of the delegation review, the reviewing officials must recommend to the applicable delegating officials whether to confirm, revise, or rescind the delegations or to institute compensatory measures or corrective actions as needed.
- (9) The CTA support staff must annually review the delegation process to evaluate whether it is adequate and functioning properly and to identify any concerns to the CTA, who will notify the Under Secretary and the Secretarial Office (SO) and recommend action as appropriate.

c. Review of Delegations. An Under Secretary or SO with safety responsibilities related to nuclear facilities must periodically review (at intervals no greater than 2 years) assigned safety responsibilities and delegated safety authorities and verify that the necessary capability and capacity to perform the responsibilities and authorities still exist. Safety responsibilities are documented in the FRA documents developed and approved by the Under Secretaries and SOs. Unless

otherwise prohibited, the authority to take the necessary actions to fulfill the safety functions documented in any Under Secretary's and SOs FRA documents may be delegated to either subordinate Field or Headquarters personnel.

(1) Self-Assessments.

- (a) SOs must establish a documented process or procedure to ensure that self-assessments are conducted consistent with the criteria defined in this Appendix.
- (b) A documented comprehensive self-assessment must be performed periodically (at intervals no greater than 2 years) based on the criteria presented in this Appendix.
- (c) If the necessary capability or capacity to carry out assigned safety responsibilities or delegated safety authorities is found lacking, compensatory measures, corrective actions, or rescissions must be approved by the Under Secretary or SO and instituted as necessary.
- (d) Self-assessments must be performed by qualified, experienced personnel.
- (e) The CTA support staff must independently review the self-assessments for associated offices and identify any concerns to the CTA, who will notify the Under Secretary and SO and recommend actions as appropriate.

(2) Assessment Criteria. The following criteria must be used in assessing individual and organizational capabilities or capacities to execute assigned safety responsibilities or delegated safety authorities:

- (a) Individuals possess the necessary qualifications, experience, and expertise to carry out their responsibilities.
- (b) Organizations have the proper framework of processes and procedures to implement the assigned responsibilities.
- (c) Organizations have adequate resources, including sufficient staff and funding to carry out the assigned responsibilities.
- (d) All assigned safety responsibilities or delegated safety authorities have been identified.
- (e) Each assigned safety responsibility or delegated safety authority has been reviewed and documented.