

ES&H RESPONSIBILITIES

DATE: 10/29/2008

SUBJECT: AUTHORIZATION AGREEMENTS

1. PURPOSE. This document addresses responsibility and accountability to the Oak Ridge Office (ORO) on the development, approval, and maintenance of authorization agreements (AAs).
2. APPLICABILITY. The provisions of this document apply to ORO Management and Principal Staff involved in the preparation, approval, and maintenance of DOE-approved AAs.
3. RESPONSIBILITIES.

- a. Manager, ORO.

- (1) Establishes the expectations/requirements for the content of the AAs.
- (2) Ensures that AAs are developed for facilities where they are required.
- (3) Concurs with and forwards AAs to the appropriate Cognizant Secretarial Officer(s) (CSO) at DOE Headquarters (HQ) for approval, if approval authority has not been delegated to the ORO Manager for non-Category 1 facilities.

NOTE: The CSO cannot delegate approval authority for Category 1 nuclear facility AAs.

- (4) Approves (signs) AAs and revisions, if approval authority has been delegated in writing by the appropriate CSO(s).
- (5) Delegates approval authority to a subordinate level, as appropriate. However, any further delegations to Assistant Managers shall be in accordance with direction provided by the CSO(s) and/or DOE Directives.
- (6) Returns AAs that need further clarification to the originator with an explanation of the barriers to approval/concurrence. Notification to the originator that the AA will not be approved/concurred, including explanations, should be made as soon as possible.

- b. Assistant Managers (AMs) and Contracting Officer's Representatives (CORs).

- (1) Concurs with and forwards AAs to the Manager, ORO, for approval/concurrence if approval authority has not been delegated to the AM/COR.
- (2) Approves (signs) AAs and any revisions, if approval authority has been delegated in writing by the appropriate CSO or the Manager, ORO.
- (3) Returns AAs that need further clarification to the originator with an explanation of the barriers to approval/concurrence. Notification to the originator that the AA will not be approved/concurred, including explanations, should be made as soon as possible.
- (4) Directs the contractor as to which facilities/operations/activities require AAs.

ES&H RESPONSIBILITIES

DATE: 10/29/2008

- (5) Develops implementing command media for AA development, review, approval, maintenance, and utilization.
- (6) Forwards the approved AA to the contractor via a letter signed by the COR, with distribution to the Contracting Officer, and the Directives Management Group (DMG).
- (7) Provides oversight to assure that the contractor operates the facility/activity in accordance with the approved AA.
- (8) Ensures that change control of the AA is performed and the document remains current.
- (9) Determines if a letter to the contractor to stop/suspend work at a facility should include a statement that the AA (or the specified portion thereof) is also suspended. If the AA is suspended by the stop/suspend work, the letter to the contractor restarting operations must state that the AA (or the relevant portion thereof) is reinstated.

c. Team Leader, Directives Management Group.

- (1) Maintains copies of all approved AAs for ORO contractors, as provided by Line Management/COR(s).

4. REFERENCES.

- a. DOE M 411.1-1C, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES (FRAM) MANUAL, dated December 31, 2003.
- b. DOE G 450.4-1B, INTEGRATED SAFETY MANAGEMENT SYSTEMS GUIDE, Volumes I and II, FOR USE WITH SAFETY MANAGEMENT SYSTEM POLICIES (DOE P 450.4; DOE P 450.5; AND DOE P 450.6); THE FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL; AND THE DOE ACQUISITION REGULATION, dated March 1, 2001.
- c. DOE-STD-1027-92, Change Notice No. 1, HAZARD CATEGORIZATION AND ACCIDENT ANALYSIS TECHNIQUES FOR COMPLIANCE WITH DOE ORDER 5480.23, NUCLEAR SAFETY ANALYSIS REPORTS, dated September 1997.

5. DEFINITIONS.

- a. **AUTHORIZATION AGREEMENT.** A documented agreement between DOE and the contractor for high-hazard facilities (Categories 1 and 2), incorporating the results of DOE's review of the contractor's proposed authorization basis for a defined scope of work. The AA contains key terms and conditions (controls and commitments) under which the contractor is authorized to perform work. Any changes to these terms and conditions would require DOE approval.
- b. **AUTHORIZATION BASIS.** Safety documentation supporting the decision to allow a process or facility to operate. Included are corporate operational and environmental requirements as found in regulations and specific permits, and, for specific activities, work packages or job safety analyses. For nuclear facilities, the basis includes hazard classification

ES&H RESPONSIBILITIES

DATE: 10/29/2008

documents, Documented Safety Analyses, Technical Safety Requirements, DOE-issued safety evaluation reports, and facility-specific commitments made to comply with DOE nuclear safety requirements.

c. **HAZARD CLASSIFICATION.** Evaluation of the consequences of unmitigated releases, performed to classify facilities or operations into the following hazard categories:

- (1) Category 1 -- The hazard analysis shows the potential for significant offsite consequences.
- (2) Category 2 -- The hazard analysis shows the potential for significant onsite consequences.

NOTE: DOE-STD-1027-92, Change Notice 1, (Reference 6c) provides guidance and radiological threshold values for determining the nuclear hazard category of a facility. DOE-STD-1027-92, Change Notice 1, interprets Hazard Category 1 facilities as Category A reactors and other facilities designated as such by the Program Secretarial Officer.