

SUPPLEMENTAL DIRECTIVE

NA-1 SD M 452.3

2-05-09

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**MANAGING THE OPERATION OF SHARED NNSA ASSETS
AND SHARED NATIONAL RESOURCES**



**NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of Defense Programs (NA-10)**

AVAILABLE ONLINE AT:
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INITIATED BY:
Office of Defense Programs

MANAGING THE OPERATION OF SHARED NNSA ASSETS AND SHARED NATIONAL RESOURCES

1. OBJECTIVE. The objective of this Supplemental Directive is to provide guidance for establishing facility governance for a subset of research facilities that NNSA designates as Shared NNSA Assets or Shared National Resources. NNSA will generally designate research facilities that are recognized as major Research and Development (R&D) facilities that have specialized or unique capabilities within the Nuclear Weapons Complex.

The NNSA has major, world-class R&D facilities operated in support of NNSA's national security mission. These NNSA assets represent a large and continuing investment of U.S. resources and should be operated to achieve technical excellence and the maximum benefit to NNSA and other national missions. To this end, the NNSA will effectively manage appropriate assets complex-wide as Shared NNSA Assets to ensure that programmatic priorities are addressed using the highest quality science and technical workforce. This will be achieved through complex-wide access to these facilities and a technical review of proposed experiments.

Since many of the NNSA's assets are state-of-the-art and unique national resources, the nation also expects them to support the advancement of science for broader national missions. Therefore, in addition to operating appropriate facilities as Shared NNSA Assets, some of these NNSA facilities will also be operated as Shared National Resources and be made accessible to the U.S. technical and scientific community external to the NNSA. NNSA intends to provide well supported facility access to scientists not only from the NNSA complex but also from universities, private industry, DOE laboratories and other federal agencies. Access to these facilities must balance the needs of the NNSA community for addressing programmatic goals (science and engineering in support of the NNSA's national security mission) and the needs of the broader scientific community for the advancement of science and engineering (science and engineering in support of broader national missions). This must be done in a manner consistent with appropriate directives, guidance, and policies concerning Work for Others, User Facility Agreements, and CRADAs.

2. CANCELLATIONS. None.
3. APPLICABILITY. This program management policy is applicable to:
 - a. NNSA Office of Defense Programs,
 - b. NNSA Field Elements/Site Offices with oversight responsibilities for the safe operation of Shared NNSA Assets and Shared National Resources that are owned by NNSA/DOE, and

- c. All major research facilities that NNSA designates as either “Shared NNSA Assets” or “Shared National Resources.” NNSA will designate a facility as a Shared NNSA Asset in order to support a significant multi-site user community within the NNSA. Furthermore, NNSA will designate a facility as a Shared National Resource in order to support a significant user community external to NNSA. The determination will be made according to the definitions in the following section.
4. DEFINITIONS. For the purpose of this Supplemental Directive, the following definitions will apply:
- a. Shared NNSA Asset: A facility NNSA selects and designates for which access is provided to scientists and engineers across and within the NNSA complex if:
 - (1) An acceptable programmatic requirement or need exists,
 - (2) The work is appropriate for the proposed facility (the facility has the capabilities required and the work falls within the facility’s safety and security envelope), and
 - (3) The impact on the facility is judged to be acceptable.
 - b. Shared National Resource: An NNSA facility that is a state-of-the-art, unique resource, which offers capabilities desired by users external to NNSA that can serve to advance the state of science and engineering for broader national missions. In addition to scientists and engineers within the NNSA, access to a Shared National Resource is provided to the U.S. technical and scientific community if:
 - (1) An acceptable scientific requirement or need exists,
 - (2) The work is appropriate for the proposed facility (the facility has the capabilities required and the work falls within the facility’s safety and security envelope),
 - (3) The impact on the facility is judged to be acceptable,
 - (4) All issues related to non-proliferation, export control, security, Department of Energy, and Department of Defense acquisition rules and cost accounting practices are resolved, and
 - (5) Sufficient funding is available to provide facility resources to support users for the advancement of science and engineering for broader national mission.

5. REQUIREMENTS:

- a. Designation: This Supplemental Directive covers R&D facilities designated as Shared NNSA Assets or as Shared National Resources.
 - (1) Eligibility. An R&D facility will be designated as a Shared NNSA Asset or Shared National Resource in accordance with the definitions provided in Section 4. Not all NNSA facilities will fall into one of these categories.
 - (2) Review. The list of designated facilities will be reviewed and modified as appropriate on an annual basis.
- b. Stewardship: A Contractor will be delegated the responsibility for stewardship, i.e., sole operating authority of each facility designated as a Shared NNSA Asset or Shared National Resource.
 - (1) NNSA will define the annual scope of work to be performed at a facility considering available budgets and programmatic requirements.
 - (2) NNSA will fund base operations and core capabilities commensurate with the scope of work.
 - (3) The facility steward will publish and execute a governance plan that ensures efficient operation and is consistent with the facility designation, size, and fraction of shared use. Broad public notice of the availability of access to the facility and the appropriate peer review process will be addressed in the governance plan. Access to the facility by the user communities will be consistent with appropriate directives, guidance, and policies concerning Work for Others, User Facility Agreements, and CRADAs.
 - (4) The review and selection process will, as appropriate:
 - (a) Utilize appropriate integrated NNSA program planning documents that include review and prioritization.
 - (b) Include research campaigns/initiatives and review them as integrated, multi-year, multi-experiment proposals.
 - (5) NNSA will assess the governance, operation, and overall performance of each designated facility using well-defined metrics and performance goals/targets established as part of the annual contract performance process (e.g., Performance Evaluation Program, PEP).
 - (6) The use of Shared NNSA Assets or Shared National Resources will be optimized as appropriate to their designation to:

- (a) Address NNSA mission goals,
- (b) Advance science and engineering in support of broader national missions, and
- (c) Train future generations of scientists and engineers in the relevant technical fields.

6. RESPONSIBILITIES.

- a. Assistant Deputy Administrators (ADA) within Defense Programs (NA-10)
 - (1) Select and approve the R&D facilities within his/her jurisdiction to be designated as Shared NNSA Assets or Shared National Resources.
 - (2) Review and concur on the governance plan developed for each designated facility. For facilities for which shared use is only occasional or represents a small share of the overall use of the facility, an ADA may choose to use processes such as Memoranda of Understanding between parties rather than a governance plan to ensure effective use and management of a facility.
 - (3) Review and approve on an annual basis the list of designated facilities.
- b. Directors of Offices/Federal Program Managers within NA-10 at NNSA Headquarters
 - (1) The Director of the NNSA Office that provides funding for a given facility shall recommend to the cognizant Assistant Deputy Administrator which facility under his/her jurisdiction should be designated as Shared NNSA Asset or Shared National Resource
 - .(2) For facilities that are funded by multiple NNSA Offices, the NNSA Office providing the largest portion of the operating funds will make the recommendation in consultation with the other Offices that also provide operating funds.
 - (3) Formally delegate stewardship of a facility approved as a Shared NNSA Asset or Shared National Resource to a Contractor.
 - (4) Working with the Contractor through its Facility Director to:
 - (a) Provide annual guidance on the apportionment of facility time and

resources.

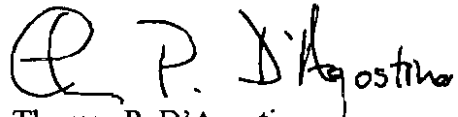
- (b) Provide annual guidance on program priorities.
 - (c) Assure stable funding for the base operations and core capabilities of its designated facilities at a level consistent with programmatic needs and future plans for the facility.
 - (d) Assess the need for facility and/or capability enhancements, realignments and reductions in size, or closures of inefficient, redundant, or unnecessary facilities.
- (5) Assess the governance, operation, and overall performance of their facilities using well-defined metrics and performance goals/targets established as part of the annual contract performance process (e.g., Performance Evaluation Program, PEP). The assessment should also include input directly from the user community both internal and external to NNSA, as appropriate.
 - (6) Review on an annual basis the list of designated facilities and recommend to the cognizant Assistant Deputy Administrator modifications as needed.
 - (7) Advocate in the NNSA planning process, the effective and efficient utilization of Shared NNSA Assets and Shared National Resources to meet NNSA mission needs.
 - (8) For a Shared National Resource, promote interested government and private enterprises, particularly those that provide funding, lead user communities, and advocate excellence and growth in science areas important to NNSA and broader national missions and priorities.

c. Heads of NNSA Field Elements

- (1) Ensure Contractor review processes adequately evaluate proposed work to assure it can be conducted within the approved facility safety envelope.
- (2) Develop and apply appropriate contract performance measures in coordination with the cognizant Office Director/Program Manager or Assistant Deputy Administrator.
- (3) Facilitate administrative and/or contractual actions required to allow proposals by non-Federal entities selected by a credible review process to be executed in the facility.

- (3) Facilitate administrative and/or contractual actions required to allow proposals by non-Federal entities selected by a credible review process to be executed in the facility.
 - (4) Assure site planning documents appropriately incorporate NNSA planning for Shared NNSA Assets and Shared National Resources at their sites.
7. CONTACTS. Office of Research, Development, and Simulation (NA-121) and Office of Inertial Confinement Fusion (ICF) and the NIF Project (NA-123).

BY ORDER OF THE ADMINISTRATOR:



Thomas P. D'Agostino
Administrator

ATTACHMENT 1 CONTRACTOR REQUIREMENTS DOCUMENT

NA-1 Supplemental Directive M 452.3, MANAGING THE OPERATION OF SHARED NNSA ASSETS AND SHARED NATIONAL RESOURCES

This Contractor Requirements Document (CRD) establishes requirements for NNSA contractors within the Nuclear Weapons Complex (NWC) for the management of NNSA facilities designated as Shared NNSA Assets or Shared National Resources.

Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor's compliance with the requirements. In doing so, the contractor must not flow down requirements to subcontractors unnecessarily or imprudently. The contractor will ensure that it and its subcontractors comply with the requirements of this CRD and incur only those costs that would be incurred by a prudent person in the conduct of competitive business.

1. Establish an organizational structure that will be accountable for the quality of work and for the management systems required to manage NNSA facilities in a cost effective manner, in order to maximize the scientific and technological return on investment.
2. Provide to NNSA the annual operational budget requirements as well as requests for facility modifications/capability enhancements deemed necessary to maintain the scientific and technical productivity of the facility at a level consistent with programmatic needs and future plans.
3. Develop, approve, and implement a governance plan with NNSA concurrence that is consistent with the facility designation, size, and fraction of shared use. Broad public notice of the availability of access to the facility and the appropriate peer review process will be addressed in the governance plan. The governance plan will be consistent with appropriate directives, guidance, and policies concerning Work for Others, User Facilities Agreements, CRADAs, and use of advisory committees.
4. Develop and coordinate with NNSA and other government agencies as appropriate, a productive and committed user community for that facility that will conduct the basic and applied science needed to achieve programmatic goals, to advance science and engineering in support of broader national missions, and to train future generations of scientists and engineers in relevant technical fields.
5. Execute technology transfer agreements covering roles and responsibilities for facility use and fiscal responsibility for each party consistent with policies and procedures relating to Work for Others, User Facility Agreements, or CRADAs as appropriate. Such agreements

must be consistent with applicable security, non-proliferation/export control, classification, ES&H, and intellectual property policies and procedures. Issues involving facility access to researchers who are foreign nationals should be covered under these negotiations, and be consistent with applicable policies at the site where the facility is located.

6. Provide information on an annual basis to the NNSA describing governance, operation, and overall performance of their facility as required by annual evaluations or other assessment processes.
7. Facilitate interactions within and between the user community, the facility, and NNSA personnel.