

**U.S. DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
NEVADA SITE OFFICE**

ORDER

NSO O 442.1C

Approved: 05-30-08
Review Date: 05-30-12

**NEVADA SITE OFFICE
EMPLOYEE CONCERNS PROGRAM**



INITIATED BY:
Office of the Assistant Manager
for Safeguards and Security

NEVADA SITE OFFICE EMPLOYEE CONCERNS PROGRAM

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1. PURPOSE. This National Nuclear Security Administration Nevada Site Office (NNSA/NSO) Employee Concerns Program (ECP) Order supplements and is to be used in conjunction with DOE O 442.1A, DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PROGRAM, dated 06-06-01, and establishes additional responsibilities for NNSA/NSO.
2. CANCELLATION. NSO O 442.1B, EMPLOYEE CONCERNS PROGRAM, dated 07-25-05.
3. APPLICABILITY. The provisions of this Order apply to all NNSA/NSO organizational elements.
4. REQUIREMENTS.
 - a. ECP Criteria. In addition to the Department of Energy (DOE) requirements, the NNSA/NSO ECP will meet the following criteria:
 - (1) The NNSA/NSO ECP will report to the NNSA/NSO Manager.
 - (2) Interface with other organizations to include, but not limited to:
 - (a) NNSA/NSO Assistant Managers;
 - (b) Heads of NNSA/NSO contractor organizations;
 - (c) Other DOE or NNSA ECP Program Managers; and
 - (d) The NNSA/NSO Chief Counsel, as required;
 - b. Program Awareness/Communications.
 - (1) The NNSA/NSO ECP Program Manager will remind all employees of the availability and purpose of the ECP at least annually.
 - (2) The NNSA/NSO ECP Program Manager will place posters in conspicuous locations to inform employees of the existence of the ECP and the ECP 24-hour hotline number.

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5. RESPONSIBILITIES.

a. NNSA/NSO Manager.

- (1) Designates, in writing, the management position(s) responsible for developing and implementing the ECP.
- (2) Ensures that the ECP is provided adequate program resources and training for effective implementation.
- (3) Ensures implementation of ECP reporting and investigating requirements of all contractors under his/her purview.
- (4) Uses management self-assessment results to verify the adequacy and implementation of the ECP and improves performance, where appropriate.
- (5) Issues an NNSA/NSO policy memorandum that endorses the DOE ECP policy and that specifically addresses the right to raise concerns without fear of harassment, intimidation, retaliation or discrimination.

b. NNSA/NSO ECP Program Manager.

- (1) Develops site-specific procedures and processes for the NNSA/NSO ECP that include contact and communication with all NNSA/NSO contractors as well as investigation and reporting of all concerns by NNSA/NSO contractors.
- (2) Establishes and maintains the NNSA/NSO ECP Tracking Database System.
- (3) Establishes and maintains the NNSA/NSO 24-hour Hotline, also known as the Security Confidential Hotline.
- (4) Implements procedures for gathering and compiling statistical data on all concerns, and when applicable, identifies and reports trends to the NNSA/NSO Manager, and the ECP community as appropriate.

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- (5) Provides oversight of the ECP small business contractor, to include but not limited to, concerns processing, file maintenance, contract funding and invoice approvals, and review of work product.
 - (6) Develop and maintain site-specific ECP awareness items, i.e., use of FEDCAST/CONCAST, federal and contractor web pages, posters, and other items that communicate the NNSA/NSO program to all employees.
- c. NNSA/NSO Assistant Manager for Safeguards and Security (AMSS).
- (1) Nominates ECP Program Manager for NNSA/NSO Manager designation.
 - (2) Ensures ECP Program Manager has sufficient resources to implement ECP requirements.
- d. NNSA/NSO Principal Staff.
- (1) Ensures “special” concerns voiced within their areas of responsibility, while handled separately are reported through the ECP generically for statistical and lessons learned requirements.
 - (2) Supports the investigation of ECP concerns within their areas of expertise.
 - (3) Annually notifies employees of their responsibility to report allegations or incidents of fraud, waste, or abuse; security and environment; safety and health concerns; and mismanagement of the DOE, NNSA, and contractor-managed activities.
6. TRAINING REQUIREMENTS.
- a. General Technical Base.
- (1) The ECP Program Manager.
 - (2) Individuals designated formally to investigate a concern.
 - (3) Individuals serving as subject matter experts in the investigation of a concern in the area of Environmental, Health, and Safety.

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b. Conduct of Inquiry Course.

- (1) The ECP Program Manager.
- (2) Individuals serving as subject matter experts in the investigation of a concern in the area of safeguards and security.

c. Training curriculum developed by DOE relevant to the ECP.

- (1) The ECP Program Manager.
- (2) Individuals whose primary responsibilities involve implementation of the ECP.

7. REFERENCES.

- a. BOP-006.002, NNSA EMPLOYEE CONCERNS PROGRAM, dated 8-12-06.
- b. NSO M 111.X-1F, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 7-17-06.
- c. AMSS Management Plan, dated June 2007.

8. CONTACT. Questions concerning this Order should be addressed to AMSS at (702) 295-0611.

Stephen A. Mellington



Stephen A. Mellington
Acting Manager

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CONTRACTOR REQUIREMENTS DOCUMENT

In support of the effective implementation of the National Nuclear Security Administration Nevada Site Office (NNSA/NSO) Employee Concerns Program (ECP), NNSA/NSO contractors should not duplicate this ECP, but are required to:

1. Assist NNSA/NSO ECP in the resolution of employee concerns in a manner that protects the health and safety of both employees and the public, and ensure effective and efficient operation of NNSA-related activities under their jurisdiction.
2. Ensure employees are advised that they have the right and responsibility to report concerns relating to the environment, safety, health, security or management of NNSA-related activities without fear of harassment, intimidation, retaliation, or discrimination.
3. Cooperate with NNSA/NSO ECP or external investigative assessments used to verify that they have acted to minimize, correct, or prevent recurrence of the situation that precipitated a valid concern.
4. Cooperate with ECP investigators, or persons investigating employee concerns on behalf of the ECP in making employees and all pertinent evidence available, including records, consistent with DOE or NNSA contractual obligations.
5. Participate in resolving concerns reported through the NNSA/NSO ECP.
6. Document employee concerns in sufficient detail to permit thorough investigation or other appropriate level review. Concerns are tracked until closure and are designated as closed when one of the following occurs:
 - a. The concern has been investigated; necessary corrective actions have been identified; the office responsible for taking the corrective action has accepted jurisdiction over the matter; and the resolution has been documented in a formal tracking system.
 - b. The concern has been investigated and no corrective action is deemed necessary.
 - c. The subject matter of the concern is outside the scope of the ECP and the concern has been transferred to another organization with jurisdiction over the subject matter.

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- d. ECP personnel have advised an employee raising a concern that is outside the scope of the ECP of available means to have their concern addressed, if direct transfer of the concern to another organization is not appropriate.
 - e. The ECP determines that the issues are frivolous or too general to investigate, and the concerned employee has been notified that the concern has been closed.
7. Ensure contractor organizations perform periodic self-assessments to measure employee awareness of the ECP.
 8. Ensure personnel responsible for investigating concerns are properly trained to carry out their responsibilities.
 9. Disseminate the DOE/NNSA policy on employee concerns, and protection of employees against retaliation to all contractor and subcontractor employees.
 10. Provide information to employees on how they can access the ECP.
 11. Ensure that subject matter experts are available to the ECP as necessary.