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D/DGSM/CSSE/Sec(Nuc) 5/143

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# DPA

## Defence Procurement Agency

DGSM/CSSE  
Defence Procurement Agency,  
Ministry of Defence  
Rowan 1a, #164  
MOD Abbey Wood  
Bristol, BS34 8JH

Switchboard: 0117 91 3000

16 June 1999

*Dear Mr Evans*

REQUEST FOR DOCUMENTS - PQ 84348

The documents you requested in your letter of 30 May are enclosed. I have had to use two boxes, and have enclosed a copy of this letter in each box. This is Box One of Two.

If you wish to make a complaint that your request for information has not been properly dealt with, you should appeal to The Ministry of Defence, OMD 14, Rm 617, Northumberland House, Northumberland Avenue, London WC2N 5BP. You may at any time register a complaint with the Parliamentary Commissioner for Administration (the Ombudsman) through your Member of Parliament, but the Ombudsman will expect you to have exhausted the internal Ministry of Defence complaints procedure first.

*Yours sincerely  
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## ORGANISATION AND RESPONSIBILITIES

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**1. INTRODUCTION**

- 1.1 This Procedure describes the organisation, functions and overall responsibilities of the Corporate Assurance Team, which comprises the Assurance Directorate.
- 1.2 This Procedure responds to Company Quality Manual, Section 201 and the Company Safety System.

**2. RELATED DOCUMENTS**

Company Quality Manual. Ref: AWE/MAN.Q/01.  
 Company Safety Manual. Ref: AWE/MAN.S/01.  
 Company Security Instructions. Ref: AWE/MAN.Sy/01.

**3. ORGANISATION AND RESPONSIBILITIES****3.1 The Stakeholder Assurance Process**

- 3.1.1 The Assurance Director is responsible for:
- (a) definition and delivery of the Stakeholder Assurance Process (Level 1), illustrated at Annex A. This is a process of continuous improvement and review to provide assurance that our business is being carried out in a well defined and controlled way
  - (b) using the Stakeholder Assurance Process to provide economic and effective Assurance to the Chief Executive of the integrity and effectiveness of Company systems for the specialist areas of security, quality, environment, safety and health
  - (c) defining the organisation the Company needs to deliver the Stakeholder Assurance Process. This includes the corporate assurance team, the Assurance Directorate, Annex B.

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3.1.2 A Technical Authority has been appointed for each of the specialist areas. Their work plans and programmes are being aligned to the Stakeholder Assurance Process.

3.1.3 The Technical Authorities assist the Assurance Director to carry out the following sub-processes:

- (a) Identify risk and opportunities
- (b) Determine Company Policy - reviewing existing and forthcoming legislation, and customer requirements, and developing appropriate Company Policy
- (c) Set Standards - develop and maintain standards for security, quality, environment, safety and health to meet customer and regulatory requirements, (eg to maintain license conditions for the Company's nuclear licensed sites). Standards include the documented Assurance Systems and (for example) standards against which safety cases are written, reviewed and assessed
- (d) Give Guidance - generating guidance to assist people to understand and complement the policies and standards
- (e) Measure and Assess - this includes an activity to plan and conduct an integrated audit and review programme to demonstrate compliance with the Company Management Systems for security, quality, environment, safety and health. It is complemented by the Internal Regulator process and further supported by the Safety Related Incident System, which includes reporting to regulators
- (f) Review and Learn - review of the effectiveness of the assurance systems and lessons learned from monitoring activities, HSE/NII and other regulatory inspections. Manage the acceptance review process for safety cases and provide assurance to the Chief Executive, Directors and Hunting-BRAE Board that the Company has set and achieved satisfactory performance standards
- (g) Stakeholder Management - maintain the interface between the Company, its regulators and its stakeholders (regulators, staff and trades union representatives, managers and process leaders together with the public).

3.1.4 The Operations Manager is responsible for the day to day management of assurance ensuring that the Directorate runs effectively and efficiently and that suitable and sufficient resources are available to deliver the Stakeholder Assurance Process.

3.1.5 The Operations Manager is Deputy Director and acts for and as the Assurance Director when the latter is not available in the required timescale.

### 3.2 Company Security Assurance Manager

3.2.1 The Company Security Assurance Manager (CSyAM) is responsible to the Assurance Director and the Chief Executive for Company security policy and for ensuring that the Company complies with MOD policy on physical, personnel and information aspects including security awareness.

3.2.2 CSyAM is responsible for preparation and publication of the Company Security Procedures, which interpret customer requirements.

3.2.3 **The Company Security Assurance Team** is shown at Annex C.

3.2.4 The manager Security Policy is also the Nuclear Security Officer, and responsible for ensuring that relevant controls meet customer requirements.

3.2.5 The manager Regulations and Performance Indicators is responsible for measuring Company security performance against pre-set Indicators, to provide early detection of possible security problems. The manager is also deputy CSyAM and acts for and as the CSyAM when the latter is absent.

3.2.6 **The Security Operations Manager Team** manages the delivery of security in the Company. The Team ensures the appropriate level of security clearance for people, contracts and documents. This activity includes vetting aftercare and identification of documents to be released in response to parliamentary questions.

3.2.7 The Directorate Security Managers, who are responsible for ensuring implementation of security policy within their respective Directorates, report to the Security Operations Manager.

3.2.8 The Plans and Development Manager ensures that Security Assurance processes meet customer requirements and lead to an improvement in Company Performance.

### 3.3 **Company Safety Assurance Team**

3.3.1 The Company Safety Assurance Manager is responsible to the Assurance Director for the Safety Management System and for:

- (a) Nuclear Safety
- (b) Safety Assessment
- (c) Independent Safety Review
- (d) Non-nuclear safety (explosives safety, electrical safety, industrial safety)
- (e) Standards and Guidance for the safety management system
- (f) Safety Improvement Programme Management.

3.3.2 **The Company Safety Assurance Team** structure is shown at Annex D.

3.3.3 The Safety Assurance Manager has formed five teams: Workplace Safety, Safety Assessment, Independent Safety Review, Safety Management Systems and Regulatory Inspection. Managers and areas of responsibility are indicated.

### 3.4 **Company Quality Assurance Team**

3.4.1 The Company Quality Assurance Manager is responsible to the Assurance Director and the Chief Executive for the development of the Company Quality Policy and the Quality System, and for maintaining effective and economic implementation throughout the Company.

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- 3.4.2 Responsibilities of the Company Quality Assurance Manager, and the quality Technical Authority, are described in the Company Quality Manual, Section 201. The Company Quality Manager is also responsible for the Technical Secretariat of Assurance.
- 3.4.3 The Company Quality Assurance Manager, in conjunction with other Assurance Technical Authorities, is responsible for the management review of the assurance systems.
- 3.4.4 **The Company Quality Assurance Team** structure is shown at Annex E.
- 3.4.5 Responsibilities of the Company Audit Manager are described in the Company Quality Manual, Section 302.
- 3.4.6 **The Company Audit Manager's Team** provides independent assurance to the Assurance Director and the Chief Executive that the assurance systems are implemented and effective.
- 3.4.7 **The Audit and Review Team** develops and supports the Company level Audit and Review programme.
- 3.4.8 **The Corrective Action Team** is responsible for recording and progressing Corrective Actions arising from Company level activities. These include audit, review, problem reporting, SRI investigations, Tiger Team programmes and interaction with regulators.
- 3.4.9 **The Safety Related Incident (SRI) Office Team** is responsible for collating SRI reports, investigation, analysis and reporting to management and regulators.
- 3.4.10 The Directorate Assurance Manager has Quality and Safety responsibilities as defined in the Company Quality Manual, Section 201 and the Company Safety System. Other responsibilities include publication of procedures, focal point for Assurance Directorate corrective action and review, and approval of electronic forms (delegated by the Company Quality Assurance Manager).
- 3.4.11 **The Document Publication Team** reports to the Directorate Assurance Manager and is responsible for the publication of Company Assurance Procedures, including the Company Quality Manual, Company Safety Instructions and Company Safety Procedures. In each case the appropriate Technical Authority, or process owner, is responsible for content, review and approval.
- 3.4.12 The Technical Secretariat Manager coordinates the production of Assurance reports for management, regulators, staff and the public. Such reports include the Annual Health and Safety Report and the Assurance element of the Self Assessment Report. The Secretariat also manages the Regulatory Interface Coordination Centre (the RICC Office).
- 3.4.13 **The Weapons Quality Assurance Team** provides product assurance by fulfilling the role of Project Quality Assurance Representative for contracts DCP Integration and DCP 'Systems and Engineering', in accordance with Company Quality Manual, Section 2007. The team also provides an interface to organisations responsible for weapon safety.

3.4.14 **The Software Assurance Team** develops Company standards to provide assurance of the Company's ability to meet customer standards and provide software that enables us to underwrite the stockpile and manage the Company's business.

3.4.15 **The Documentum Project Team** manages the implementation of 'Documentum' within the Company, setting appropriate standards and providing guidance. 'Documentum', an Electronic Document Management System, is a key element of the Company response to Licence Condition 5, 6 and 17.

### 3.5 **Company Environment Assurance Team**

3.5.1 The Company Environment Assurance Manager is responsible for developing policy and setting the standards necessary for the Company to meet regulatory, environmental requirements, and for assurance that those standards are met.

3.5.2 **The Company Environment Assurance Team** structure is shown at Annex F.

3.5.3 **The Discharges and Environmental Information Team** manages the Company's environmental information. The team is responsible for managing Airborne Discharge assessment, reporting to regulators and approving new or modified airborne discharge locations and sampling arrangements. The team is also responsible for definition of the Environmental Monitoring Programme.

3.5.4 **The Regulatory Interface Team** provides technical, environmental input to regulatory returns and the Annual Report. The team investigates environmental issues arising from Safety Related Incidents (SRI) and Company Investigations.

3.5.5 **The Land Remediation Team** ensures that projects undertaken by the Company that require land remedial work comply with Best Practicable Environmental Options (BPEO). It is involved in the complete life cycle of environmental, capital projects, which it helps identify and justify.

3.5.6 **The Radioactive Substances Act (RSA) Applications Team** is responsible for managing the Company's applications to the Environment Agency for revised discharge authorisation under RSA 93. The team seeks appropriate authorisations for radioactive waste and provides a focus for support of Company proposals.

3.5.7 **The Environmental Development Team**, also known as the 'Green Team' is responsible for the development of a robust Environmental Management System, compatible with recognised international standards. It is responsible for promotion of environmental awareness and review of management arrangements and performance.

### 3.6 **Company Health Assurance Team**

3.6.1 The Company Health Assurance Manager is responsible for developing policy and setting the standards necessary for the Company to meet regulatory requirements for health, hygiene and radiological dose. The Manager is also responsible for assurance that those standards are met.

3.6.2 **The Company Health Assurance Team** structure is shown at Annex G. The Radiological Protection Advisors are statutory appointments undertaken by the Assurance Director, with the advice of the Company Health Assurance Manager.

- 3.6.3 **The Occupational Health Team** is responsible for providing medical services. Contractors, TMS, provide Doctors, Nurses and a medical practice that recognises risks specific to the Company.
- 3.6.4 **The Dosimetry and Health Effects Group** helps set policy and standards to respond to and anticipate legislation on ionising dose, and on exposure to materials harmful to health. The group is involved in statistical studies of the health of the workforce to correlate cause and effect.
- 3.6.5 **The Radiological Protection Assurance Group** sets policy and standards of the measures necessary to ensure that personal radiological doses are as low as reasonably practicable, and well within the statutory limits. The Group advises areas of the Company on implementation of the standards, and seeks objective evidence to provide assurance that the standards are met.
- 3.6.6 **The Occupational and Hygiene Group** sets policy and standards on the control of non-radiological, chemical hazards. These include beryllium, asbestos and other substances covered by the legislation on Control of Substances Hazardous to Health. The Group advises areas of the Company on implementation of the standards and seeks objective evidence to provide assurance that standards are met.
- 3.7 **Company Assurance Services Team**
- 3.7.1 **The Manager Assurance Services** is responsible for managing those services that Assurance Directorate provides to process operators and Facility Managers. These comprise routine dose measurement and assessment, and provision of effort to meet the requirements for radiological protection.
- 3.7.2 **The Company Assurance Services Team** structure is shown at Annex H.
- 3.7.3 **The Manager Health Physics Team** provides Radiological Protection Advisors and supporting staff to enable facilities to meet their obligations for radiological protection. Such staff are provided in accordance with agreements with the relevant facilities.
- 3.7.4 **The Head of Approved Dosimetry Services Team** provides a range of HSE approved services to meet the Company's obligations to maintain records of personnel dose. The services include air sampling, bio-assay, external dosimetry, whole body monitoring and dose assessment.
- 3.7.5 Dosimetry data is held centrally on IPSIS (Integrated Personal Safety Information System) and is used to compile Company reports and monitor compliance with Company and regulatory targets.

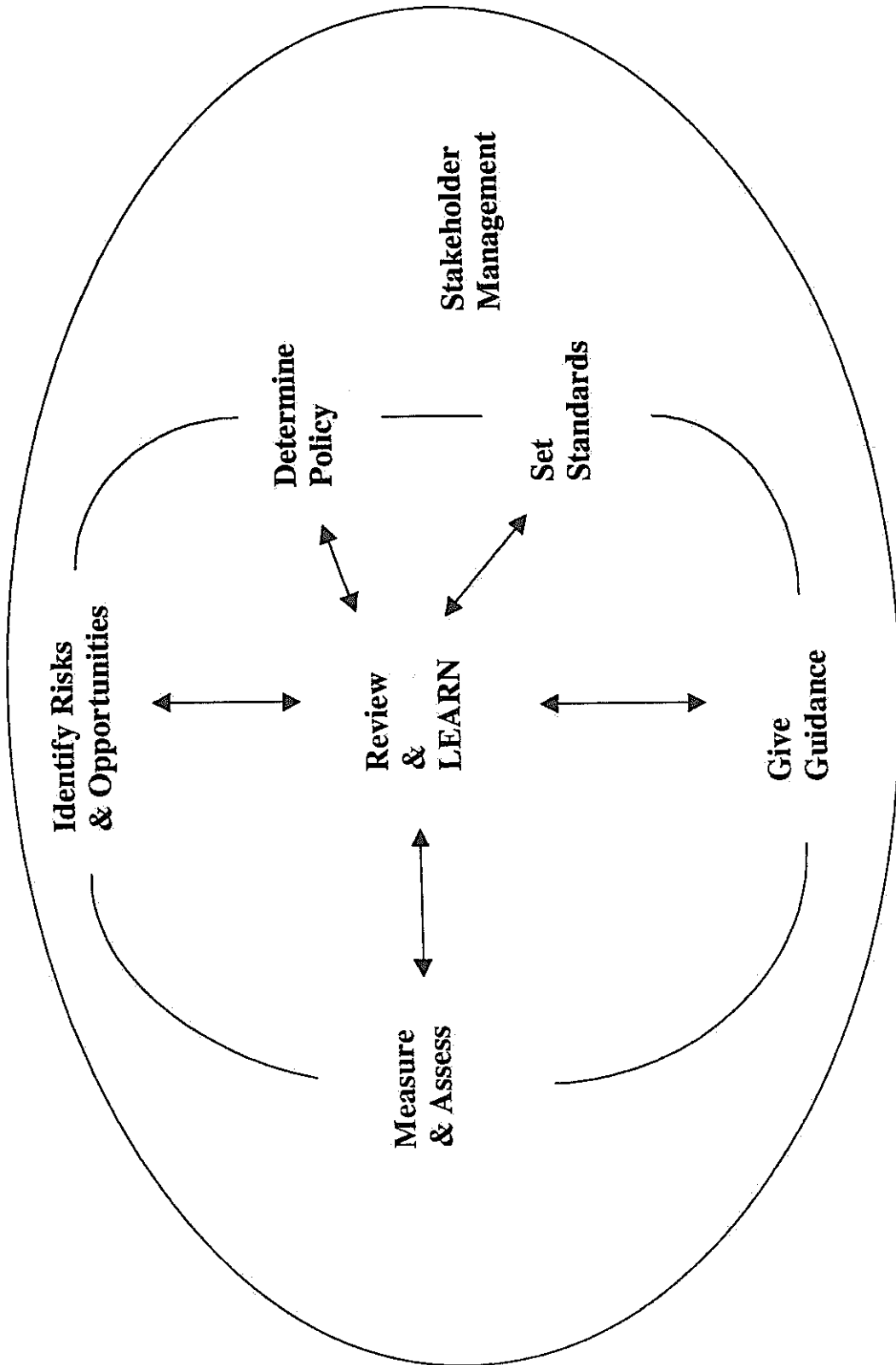
#### 4. OTHER RESPONSIBILITIES

- 4.1 Each Technical Authority shall appoint a Local Area Software Representative (LASR).
- 4.2 LASR shall have responsibilities as defined in Company Software Procedure SW 1901. These include:
- ensuring Software Registers are maintained
  - approving Category B Software Control Plans
  - assurance of Year 2000 (Y2K) compliance.

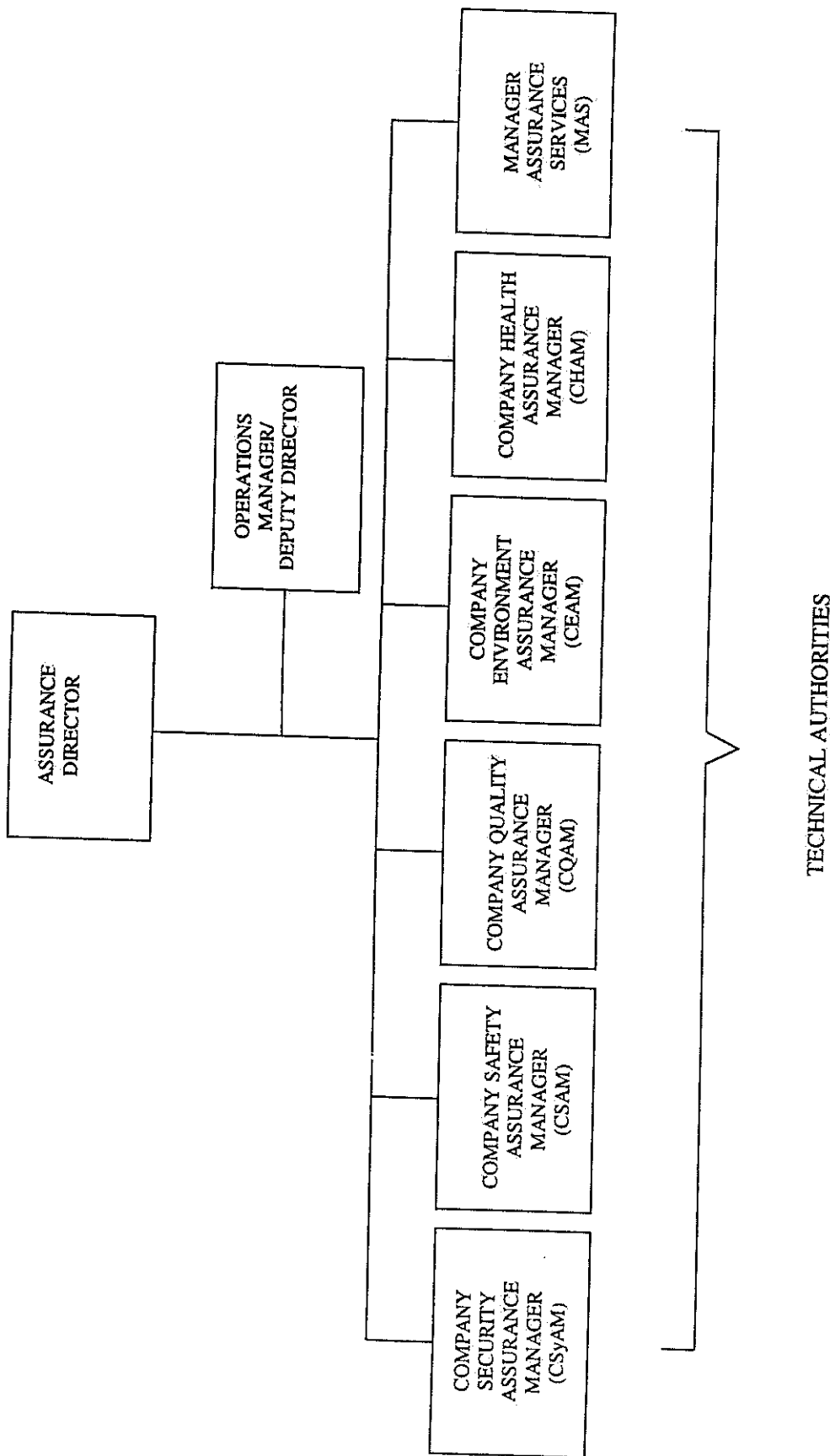


**ANNEX A - STAKEHOLDER ASSURANCE PROCESS (LEVEL 1)**

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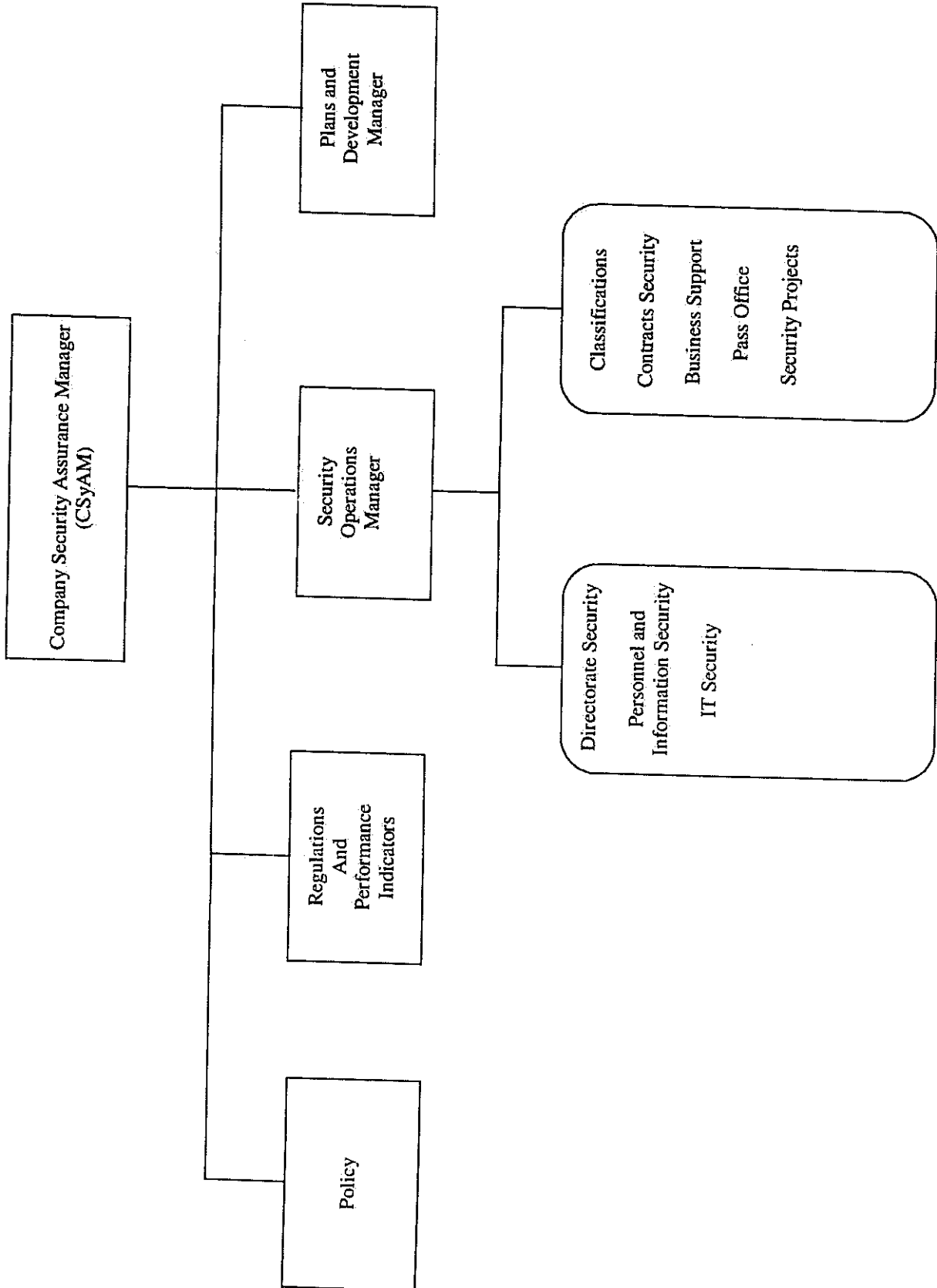


ANNEX B – ASSURANCE DIRECTORATE (CORPORATE ASSURANCE TEAM)



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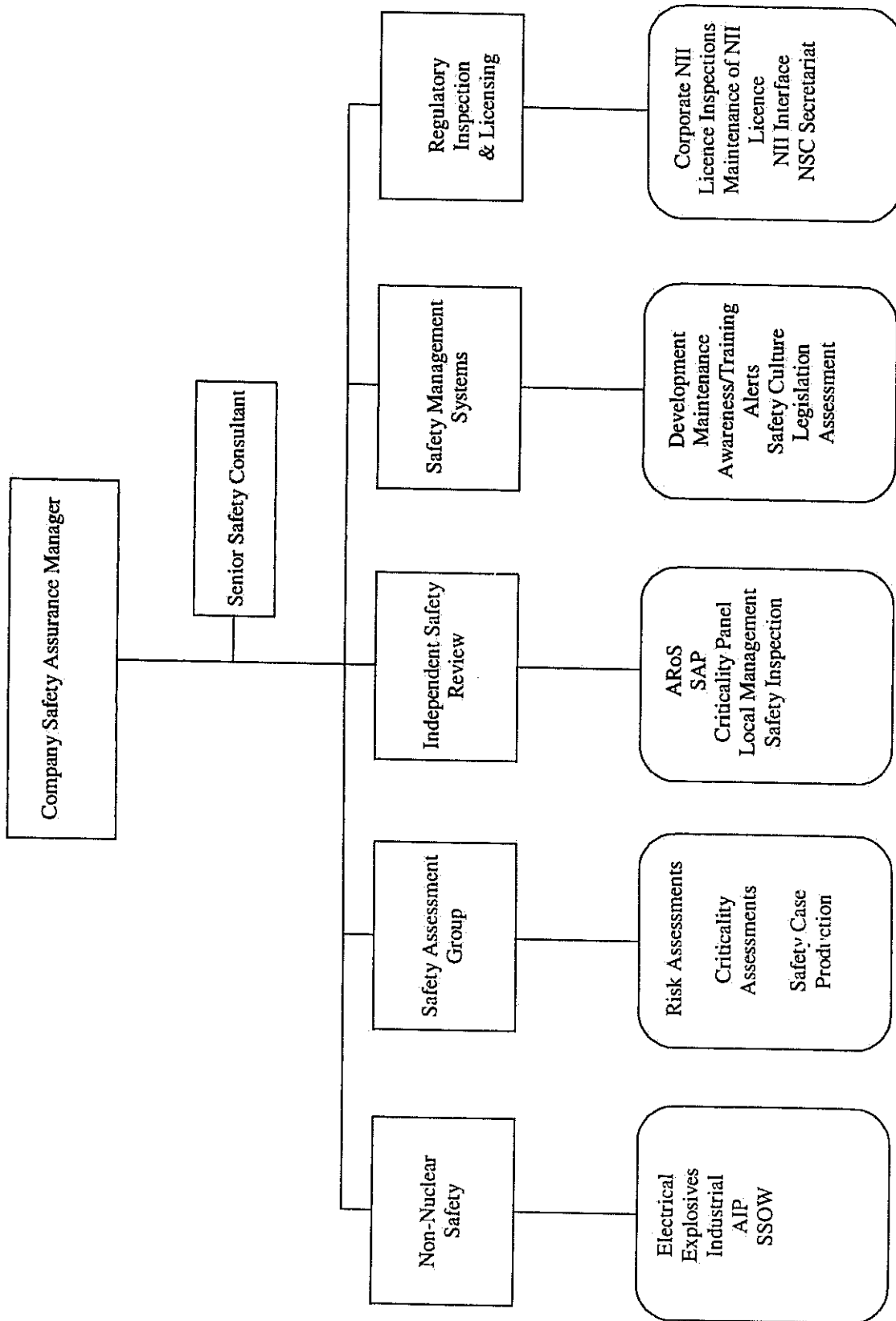
ANNEX C - COMPANY SECURITY ASSURANCE TEAM



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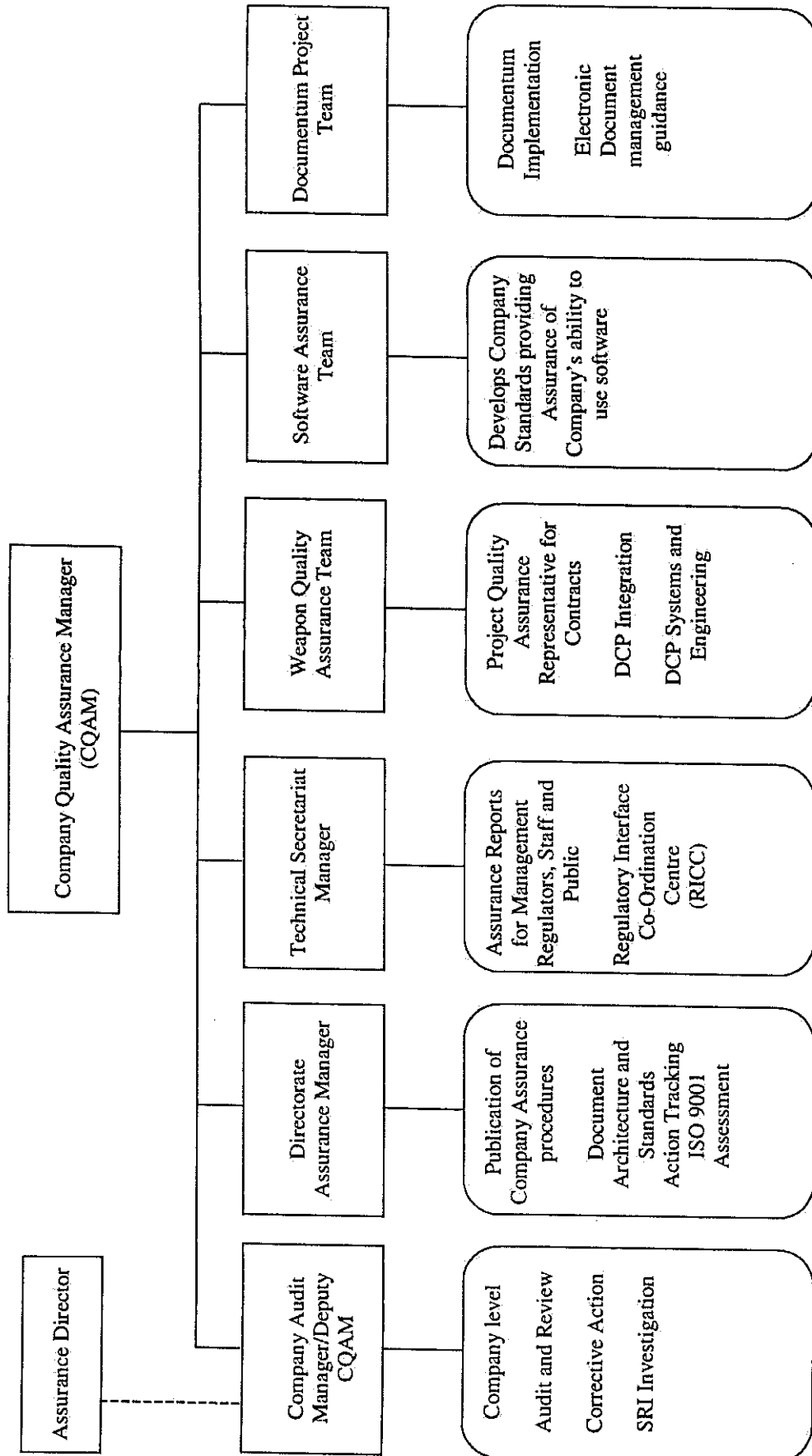


ANNEX D - COMPANY SAFETY ASSURANCE TEAM



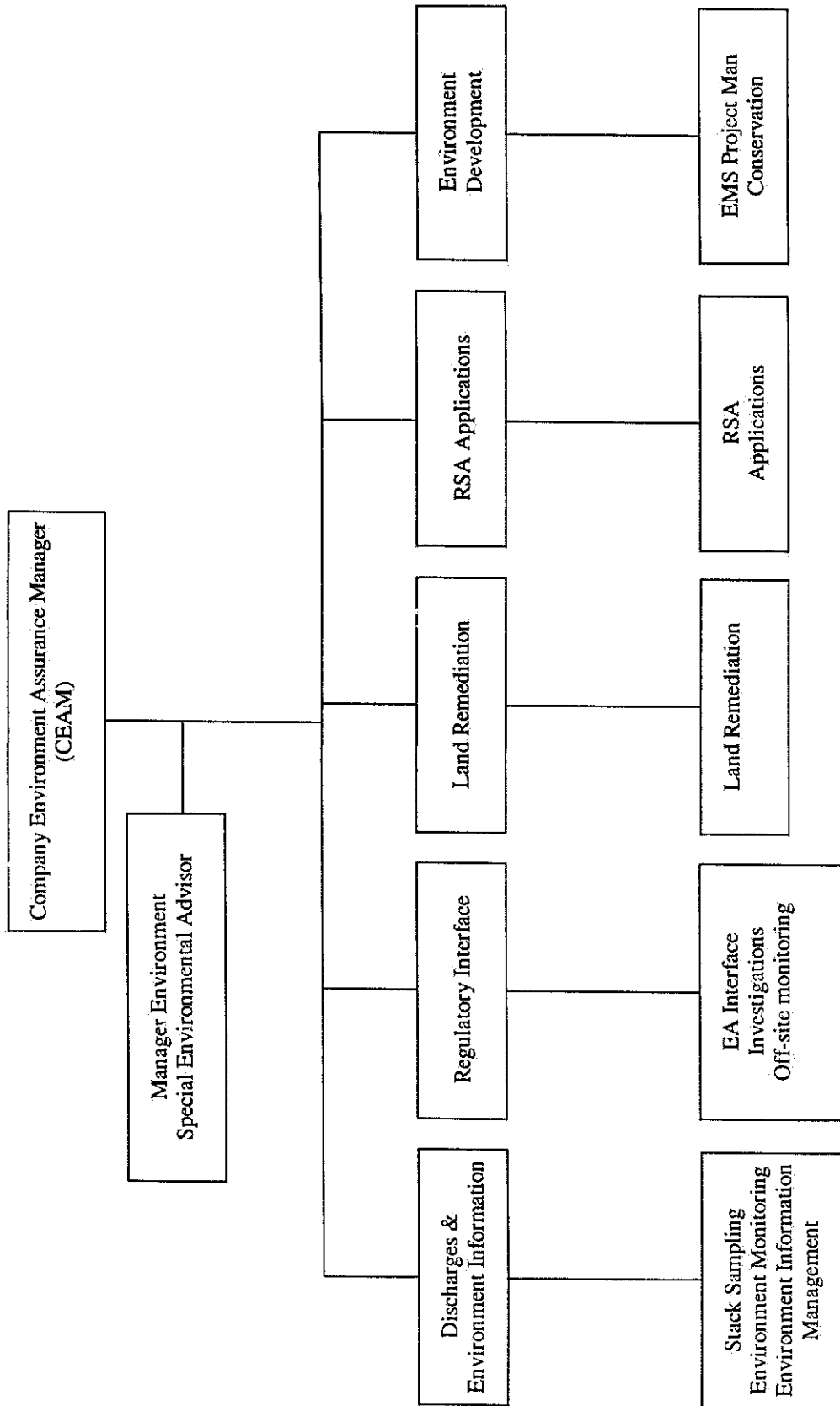
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ANNEX E - COMPANY QUALITY ASSURANCE TEAM



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ANNEX F - COMPANY ENVIRONMENT ASSURANCE TEAM

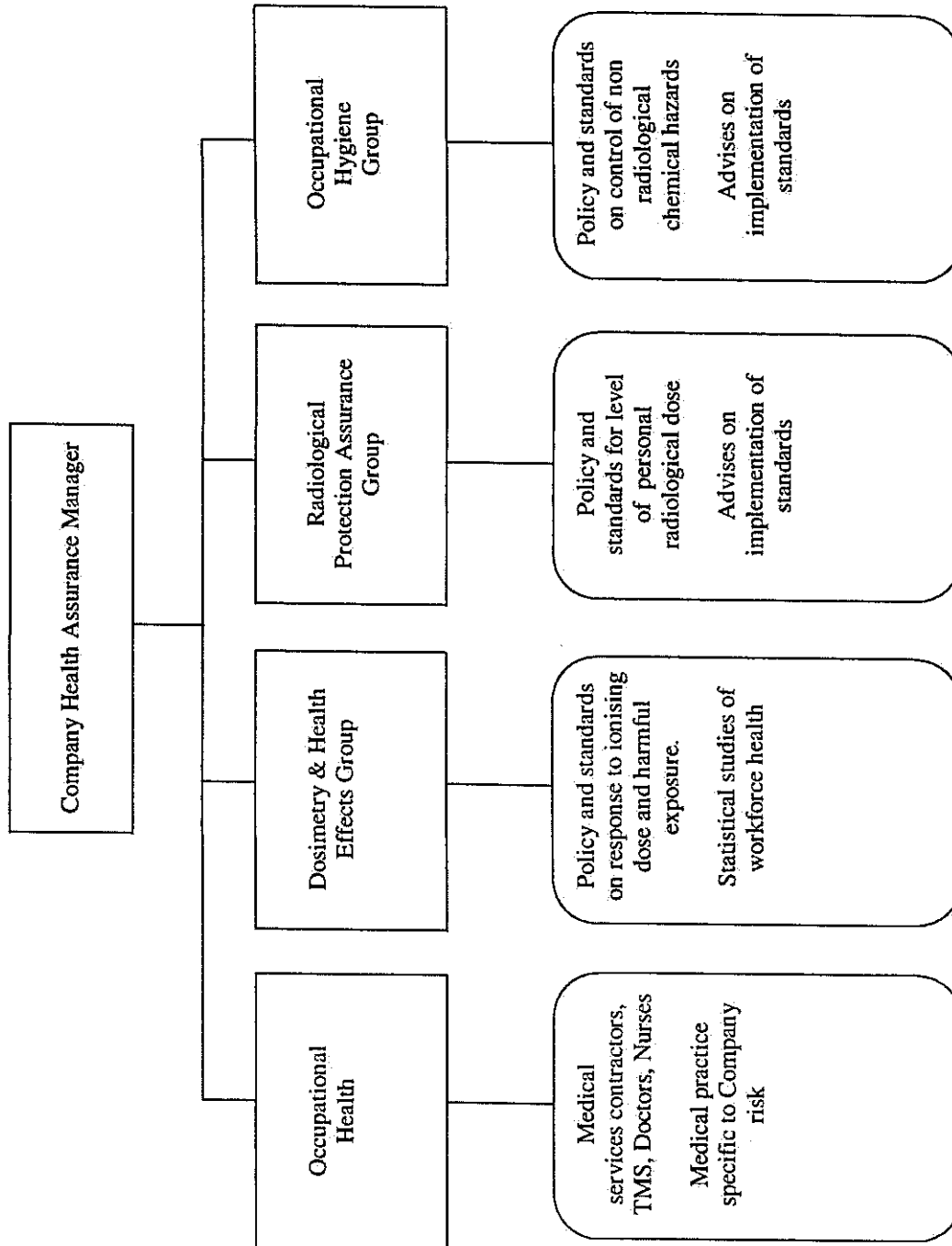


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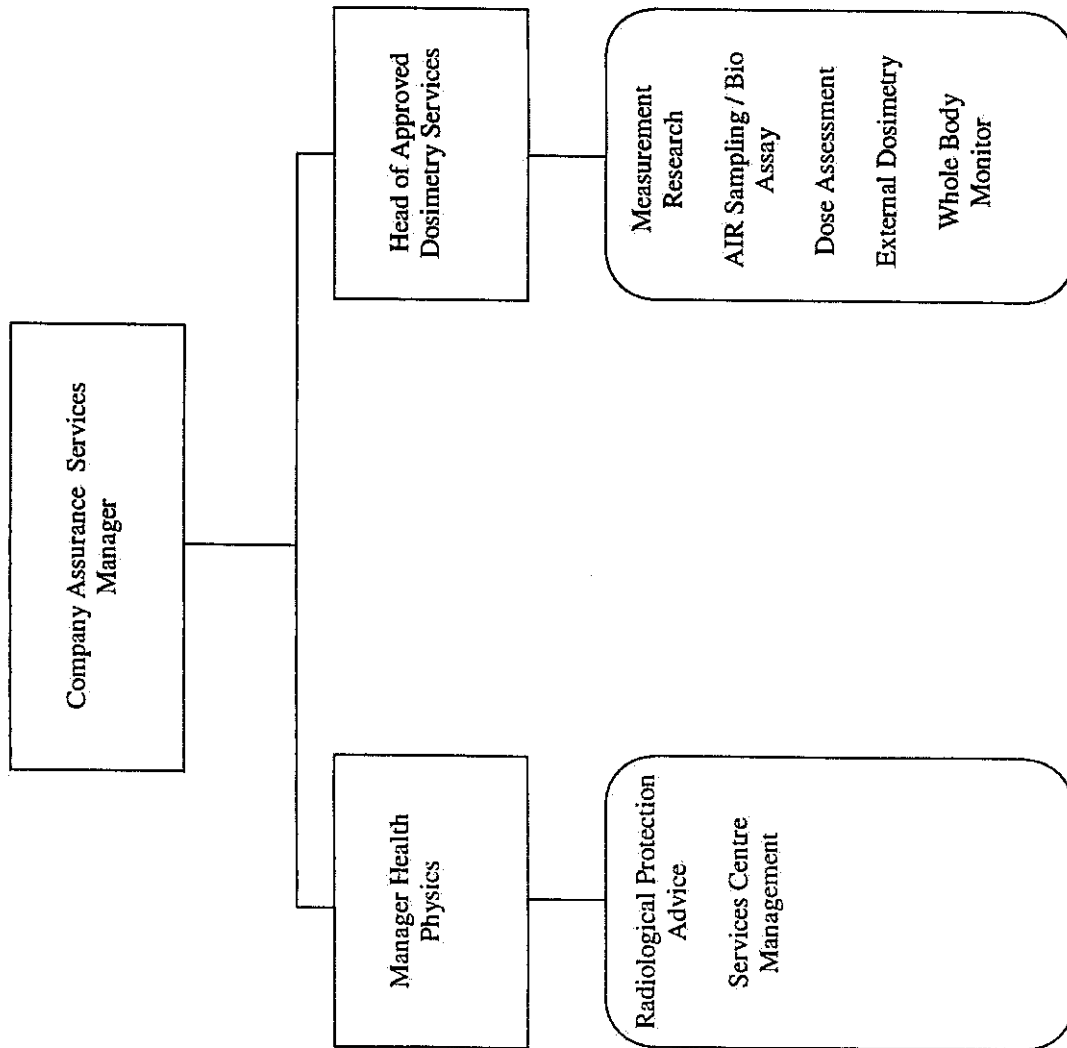


ANNEX G - COMPANY HEALTH ASSURANCE TEAM



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**ANNEX H – COMPANY ASSURANCE SERVICES TEAM**



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