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UNITED STATES NUCLEAR REGULATORY COMMISSION
NRC MANUAL

BULLETIN

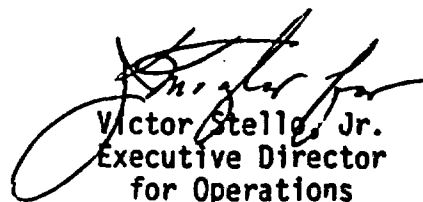
NO. 0101-2

DATE: June 12, 1987

SUBJECT: REVISIONS IN DELEGATIONS OF AUTHORITY

1. Purpose: The Bulletin revises responsibilities and delegations of authority to conform with the NRC reorganization, effective April 12, 1987 and the consolidation of the Office of the General Counsel and Office of the Executive Legal Director, effective July 20, 1986. These changes will be reflected in the next revision of Chapter and Appendix 0101. Substantive changes to the subject matter of this Chapter are not addressed at this time.
2. Generic Changes:
 - a. In 035f. and Part III, A.1.2. and 3., references to the Director, Office of Administration through the Director, Division of Organization and Personnel should be construed as references to the Director, Office of Personnel (OP).
 - b. In 036a. through 036j., 037b. and Part IV, A.1.c., references to the Director, Office of Administration (ADM) should be construed as references to the Director, Office of Personnel (OP).
 - c. In 036c., 036j., and Part III, B.2. and 3., references to the Division of Organization and Personnel (O&P) should be construed as references to the Director, Office of Personnel or Office of Personnel (OP), as applicable.
 - d. In 035g., 0310, 055 and Part IV, A.1.d., references to the Director, Office of Resource Management (RM) should be construed as references to the Director, Office of Administration and Resources Management (ARM).
 - e. In Part III, B.2., Part V, A.2. and 4. and Part V, C.1., 2. and 4., references to the Office of Resource Management (RM) should be construed as references to the Office of Administration and Resources Management (ARM).

| <u>CITATIONS</u> | <u>FUNCTION</u> | <u>FROM</u> | <u>TO</u> |
|------------------------|--|---|---|
| Part II, E.4. Chart | Delete OELD line. With the merger of ELD and OGC, non- standard titles for heads of components shown under OGC. | Office of the Executive Legal Director | Not Applicable |
| Part II, E.4. Chart | Add the title of Deputy General Counsel under the caption, "NON-STANDARD TITLE FOR HEAD OF COMPONENTS." | General Counsel; Assistant General Counsel; Solicitor | General Counsel; Deputy General Counsel; Assistant General Counsel; Solicitor |
| Part II, E.4. Chart | Show Controller functions delegated to the Deputy Director for Financial Manage- ment and Controller. | Office of Resource Management | Deputy Director for Financial Management and Controller |
| Part IV, A.1.b. | Receive copies of delegations of authority. | Executive Legal Director and General Counsel | The General Counsel |
| Part V, C.2. | Review and coordinate with ARM on revised organization charts. | Office of Administration | Office of Personnel |
| Part V, C.2. and 3. | Distribute revised organization charts. | Document Management Branch, Division of Technical Infor- mation and Docu- ment Control, Office of Admini- stration | Document Control Branch, Division of Information Support Services, Office of Admini- stration and Resources Manage- ment |
| Part V, C.2. | Reproduce revised organization charts. | Printing and Graphics Branch, Division of Technical Infor- mation and Document Control, Office of Administration | Printing and Graphics Branch, Division of Publication Services, Office of Administration and Resources Management |


 Victor Stelle, Jr.
 Executive Director
 for Operations

U. S. NUCLEAR REGULATORY COMMISSION
NRC MANUAL
TRANSMITTAL NOTICE

CHAPTER NRC-0101 ORGANIZATION MANAGEMENT

SUPERSEDED:

| | Number | Date |
|----------|-----------------------------|-----------------------------|
| Chapter | <u>NRC-0101</u> | <u>8/6/79</u> |
| Page | <u> </u> | <u> </u> |
| | <u> </u> | <u> </u> |
| Appendix | <u>NRC-0101</u> | <u>8/6/79</u> |

TRANSMITTED:

| | Number | Date |
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| TN | <u>0100-57</u> | <u> </u> |
| Chapter | <u>NRC-0101</u> | <u>3/25/83</u> |
| Page | <u> </u> | <u> </u> |
| | <u> </u> | <u> </u> |
| Appendix | <u>NRC-0101</u> | <u>3/25/83</u> |

REMARKS:

This chapter and appendix have been revised to:

1. reflect the authorities of the President's Reorganization Plan, the expanded role for Regional Offices, and other recent organizational changes.
2. provide that establishment, revision and abolishment of organizations can be approved at the second, rather than the third, organizational level above the affected organization component. (See Chapter 0101-03 and Appendix 0101, Part III, A.)
3. revise the basic documentation required for submission of proposals to the approving official. (See Appendix 0101, Part III, B.) In addition to currently required information, this Appendix now requires functional statements, staffing plans, identification of new SES positions and other positions which may be adversely affected. Revised position descriptions are no longer required concurrent with the organization proposal. The need to notify the Union after approval is stated.
4. modify, editorially, Chapter 0101-03 to include in one place all responsibilities assigned to various officials.

U.S. NUCLEAR REGULATORY COMMISSION
NRC MANUAL

Volume: 0000 General Administration
Part : 0100 Organization

ADM

CHAPTER 0101 ORGANIZATION MANAGEMENT

0101-01 COVERAGE

This chapter and appendix (a) outline basic policies and standards governing NRC organizational structure, functional assignments, and delegations of authority; (b) assign responsibility and provide procedures to establish and abolish organizational components and to revise organizations and delegations of authority; (c) identify the statutory and other organizational elements of NRC; and (d) define and explain organizational nomenclature.

0101-02 OBJECTIVES

021 To assure that NRC organizational structure, assignments of functions, and delegations of authority are consistent with Agency objectives.

022 To assure that NRC organization relationships properly reflect program needs and effective staff use in light of operating experience or changing requirements.

023 To provide clearly assigned functional responsibilities and delegations of authority.

024 To promote the use of uniform organizational nomenclature.

025 To assure that approved organization structure, functional assignments, and delegations of authority are recorded and issued in a timely manner (see 054 below).

0101-03 RESPONSIBILITIES AND AUTHORITIES

031 Authority to establish, abolish or reorganize organizational components is normally vested at two management levels above the affected Program, Staff or Regional Office. See Chart 031, below. Exceptions occur when:

- a. this number of management levels does not exist between the component and the approving authority.
- b. the Commission determines to consider any organizational proposal relating to an NRC office within the NRC.
- c. Senior Executive Service or equivalent-level positions are affected, or expected to result.

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d. a reduction-in-force situation will be created.

In the cases described in c. and d., above, the Executive Director for Operations must be informed, whether or not the EDO is the approving authority.

CHART 031

APPROVAL CHAIN TO ESTABLISH, ABOLISH OR REORGANIZE*
(Illustrative, not all inclusive)

| <u>Organizational Component</u> | <u>Next-Higher Level</u> | <u>Approving Authority</u> |
|--|----------------------------|----------------------------|
| <u>Chairman Offices:</u> Public Affairs, Congressional Affairs | Chairman | Chairman |
| <u>Commission Offices:</u> Staff Office, Committee, Panels Branch | Commission Office Director | Commission Commission |
| Branch | Assistant Director** | Office Director** |
| <u>EDO Offices</u> Program Office | EDO | Commission*** |
| Any other major office(s), as determined by the Commission | EDO | Commission |
| Remaining staff office(s), not included above | EDO | EDO |
| Regional Office | EDO | Commission |
| Division: Program and Staff Offices | Office Director | EDO |
| Division: Regional Office | Regional Administrator | EDO |
| Branch: Program Office | Division Director | Office Director |
| Branch: Regional Office | Division Director | Regional Administrator |
| Branch: Program Office | Assistant Director** | Division Director** |
| Branch: Staff Office | Division Director | Office Director |
| Branch: Staff Office | Assistant Director** | Division Director** |
| Section: Program, Staff and Regional Offices | Branch Chief | Division Director |
| Unit: Program, Staff and Regional Offices | Section Chief | Branch Chief |

Note: See NRC Appendix 0101 for procedures to develop and process proposed organizational changes.

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- * Establishment, abolishment, reorganization of any NRC office which, in the Commission's view involves policy formulation, must be approved by the Commission or designee. See Section 1a of President's Reorganization Plan No. 1 of 1980, as amended.
- ** If appropriate, as determined by Office Director, when Assistant Director position exists.
- *** Subject to applicable provisions of law.

032 The Commission, subject to applicable provisions of law, approves establishment, abolishment or reorganization of:

- a. Committees, Panels and Offices reporting to the Commission.
- b. Program Offices which report to the EDO.
- c. Other major Offices within the NRC, as determined by the Commission.

033 The Chairman:

- a. presents to the Commission for its consideration, the establishment, abolishment or reorganization of the offices listed in 032 a., b., and c., above.
- b. directs or approves establishment, abolishment or reorganization of offices reporting directly to the Chairman.

034 The Executive Director for Operations:

- a. approves, or recommends to the approving authority as appropriate, proposals to establish, abolish or reorganize any organization when Senior Executive Service level or equivalent positions are involved and when reductions-in-force will be created.
- b. under the direction and supervision of the Chairman, prepares for Commission consideration proposals for the reorganization of Program Offices, and any other major office(s) within the NRC, as determined by the Commission.
- c. approves establishment, abolishment or reorganizations when he/she is the management official two organizational levels above the component (unless the Commission determines to consider a proposal for the NRC office involved.)
- d. assures that organization proposals which he/she approves or which he/she forwards to the Chairman, for Commission consideration, conform with the general and specific organization standards, or that exceptions are fully justified. See Appendix 0101, Part II, B and C.

035 Directors of Offices and Regional Administrators:

- a. direct or approve proposals for organizational changes which affect positions graded no higher than the GG-15 level when serving two organizational levels above the component. (Note: This authority is also exercised by Division Directors, Branch Chiefs and other supervisory officials when they serve two organizational levels above the component.)
- b. assure that planned reorganizations for their organizations follow prescribed policies and conform with the general and specific organization standards or provide special justifications for EDO or Commission approval.
- c. conduct reviews to identify and initiate changes in organization, functions and delegations of authority, as needed to ensure effectiveness and efficiency of office operations.
- d. recommend changes requiring approval or other action by higher authority.
- e. within the scope of their authority, approve or direct changes in assignments of functions and delegations of authority for their sub-components or recommend changes requiring the approval of the EDO or the Commission.
- f. forward all proposed organizational changes to the Director, Office of Administration, through the Director, Division of Organization and Personnel, for review, prior to approval.
- g. prepare and submit to the Director, Office of Resource Management, for coordination and issuance: (1) organization charts depicting current organization and staffing, and (2) NRC manual chapters prescribing functional assignments and delegations of authority for publication in Part 0100, as required by this chapter.
- h. fulfill reporting requirements listed in 055, below.

036 The Director, Office of Administration:

- a. develops policies, standards and procedures for (1) establishing, revising and abolishing organizational components and functional assignments; and (2) issuing and maintaining appropriate delegations of authority.
- b. conducts or participates in studies of Agency organization and functional assignments and recommends changes, as appropriate.
- c. provides advice and assistance to other Offices and to Regions on organization matters, functional assignments, and delegations of authority. Reviews proposed changes to assure consistency with

applicable policies, standards, and procedures, and through the Division of Organization and Personnel advises on position management and evaluation matters, recruitment and staffing, and position ceiling (FTE) accounting changes. (See also Chapter NRC-4131, Position Management and Employment Ceilings.)

- d. furnishes analyses and makes recommendations on proposed organizational matters, including establishment, revision, or abolishment of organizational units, to the Executive Director for Operations when such matters require the approval or recommendation of the Executive Director for Operations. Such matters include those dealing with SES or equivalent positions or potential RIFs, to assure that all personnel, administrative, and other management implications are identified and addressed.
- e. attempts to minimize any possible adverse impact on employees from any reorganization or reassignments.
- f. assures that positions vacated through attrition, which do not meet the general and specific organization standards (or are not approved exceptions) are not refilled through vacancy announcements or other means.
- g. monitors the actions taken to implement the organization standards in this Chapter and Appendix and keeps the EDO informed.
- h. maintains records of current NRC delegations of authority and organization.
- i. requests that the Executive Legal Director (ELD) determine which organizational information appearing in the NRC Manual is required by law to be published in the Federal Register and 10 CFR Part 1. With the assistance and concurrence of the ELD, prepares appropriate material for publication and provides it to the Secretary for transmittal to the Federal Register.
- j. through the Division of Organization and Personnel assures that the Union is advised appropriately of substantive organizational changes and revised staffing plans.

037 The Executive Legal Director:

- a. provides legal opinions on assignments of functions and responsibilities and delegations of authority proposed for issuance in the NRC Manual.
- b. determines which NRC organization information appearing in the NRC Manual is required by law to be published in the Federal Register (10 CFR Part 1) and so advises the Director, Office of Administration; assists in the preparation of such material for publication.

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- c. advises agency management on the legality of proposed management decisions and actions with regard to consistency with delegated authority.

038 The General Counsel performs those functions described in 037 above as they relate to Commission-level offices.

039 The Secretary signs and transmits to the Federal Register, for publication in 10 CFR Part 1, descriptions of NRC organization and related organization material.

0310 The Director, Office of Resource Management:

- a. develops policies, standards and procedures for (1) issuing management directives in Part 0100 showing functional assignments and delegations of authority, and (2) preparing and maintaining organization charts depicting current organization and staffing of NRC organization components.
- b. arranges for timely preparation and distribution of NRC organization charts and other organizational information appropriate to meet internal and public needs for such information.

0101-04 DEFINITIONS

Terms used in this chapter are defined in NRC Appendix 0101, Part II.

0101-05 BASIC REQUIREMENTS

051 Applicability. This chapter and appendix apply to and shall be followed by all NRC organizational components.

052 Appendix 0101 provides detailed information on developing and processing proposals for revising organizational structure, functional assignments, and delegations of authority.

053 Basic Organization. NRC organizational structure, reflecting both statutory organizations and Offices established by the Commission for major program and staff support, is shown in the organization chart, NRC Appendix 0101, Exhibit A.

054 NRC Manual. Statements of NRC organization, functions and basic delegations of authority are documented formally in the NRC Management Directives System (NRC Manual). Chapters in Part 0100 and other appropriate management directives are used as a means of describing NRC organizational structure, detailing changes in organization, functions, and delegations, and obtaining approvals, where required.

055 Reporting Requirements. Directors of Offices and Regional Administrators shall submit current charts of approved organization effective as of September 30, to the Director, Office of Resource Management, annually by October 15 and at other times when a major reorganization of an office occurs.

056 References.

- a. Public Law 93-438, The Energy Reorganization Act of 1974, as amended.
- b. Chapter NRC 0201, "NRC Management Directives System," including NRC Appendix 0201, Part II, A, "Preparation of Chapters on Organization and Functions."
- c. Federal Register (10 CFR Part 1).
- d. Public Law 83-703 Atomic Energy Act of 1954, as amended.
- e. SECY 79-133, 2/21/79.
- f. Reorganization Plan No. 1 of 1980, as amended, 45 Fed. Reg. 40561 (1980).

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PART IESTABLISHMENT, MISSION, AND FUNCTIONS OF STATUTORY
AND OTHER ORGANIZATIONS AND POSITIONS

A. ESTABLISHMENT

The Nuclear Regulatory Commission (NRC) is an independent regulatory agency established under the provisions of the Energy Reorganization Act of 1974 (Public Law 93-438) and Executive Order 11834, effective January 19, 1975. Transferred to the NRC were all licensing and related regulatory functions formerly assigned to the U.S. Atomic Energy Commission by the Atomic Energy Act of 1946 (60 Stat 755) as amended by the Atomic Energy Act of 1954 (68 Stat 919; 42 U.S.C. 2011 et seq.), as amended.

B. MISSION

The NRC's purpose is to assure that the civilian uses of nuclear materials and facilities are conducted in a manner consistent with the public health and safety, protection of environmental quality, assurance of national security, and adherence to the antitrust laws.

C. MAJOR ORGANIZATION ELEMENTS AND POSITIONS

The Energy Reorganization Act of 1974 specified the creation of certain offices, positions and functions. The President's Reorganization Plan No. 1 of 1980, as amended, specified certain functions and authorities of various components of the Commission. These offices, positions, functions and authorities are described below.

1. The Commission, composed of five members, including a Chairman, all appointed by the President, by and with the advice and consent of the Senate.

Section 2 of the Reorganization Plan of 1980 designates the Chairman as the "...official spokesman for the Commission...(and) ...the principal executive officer of the Commission..."

Section 3 of the Plan "...transferred to the Chairman all of the functions vested in the Commission pertaining to an emergency concerning a particular facility or materials licensed or regulated by the Commission..."

2. The Executive Director for Operations (EDO), performs such functions as the Chairman or Commission shall direct and is governed by policies and decisions of the Commission. (See Chapter 0103 for statement of functions.)
3. An Office of Nuclear Reactor Regulation, an Office of Nuclear Material Safety and Safeguards and an Office of Nuclear Regulatory

Research each under the direction of a Director. The appointment of these directors is initiated by the Chairman, after consultation with the EDO, and is subject to the approval of the Commission. (See Chapters 0123, 0124, and 0125, respectively, for statements of functions.)

D. OTHER ORGANIZATION ELEMENTS

1. Other statutory positions and organizations in the NRC organizational structure include the General Counsel, and the Advisory Committee on Reactor Safeguards. (See Chapters 0115, and 0111, respectively, for functional statements.) The functions of the Atomic Safety Licensing Board Panel and Atomic Safety Licensing Appeal Panel were transferred to the NRC by the Energy Reorganization Act of 1974. (See Chapters 0106 and 0107, respectively.)
2. A major program component created by the Commission is the Office of Inspection and Enforcement, under the direction of a Director. The appointment of the director is initiated by the Chairman, after consultation with the EDO, and is subject to the approval of the Commission. (See Chapter 0127 for functional statement.)
3. Five Regional Offices, created by the Commission, are under the direction of Regional Administrators. (See Chapter 0128 for functional statement.)
4. Other organizational components established by the Commission to carry out its functions are shown in NRC Appendix 0101, Exhibit A, along with those identified above.

E. REQUIRED DELEGATION

As mandated by Section 1(b)4 of the President's Reorganization Plan No. 1 of 1980, as amended, the Commission delegated the function of appointing, removing and supervising the staff of the following offices (or successor offices), panels and committee to the respective heads of such organizational units, as shown below.

| <u>Organization Unit</u> | <u>Head of Organizational Unit</u> |
|--|------------------------------------|
| Office of General Counsel | General Counsel |
| Office of the Secretary | Secretary |
| Office of Policy Evaluation | Director |
| Office of Inspector and Auditor | Director |
| Atomic Safety and Licensing Board Panel | Chairman of the Panel |
| Atomic Safety and Licensing Appeal Panel | Chairman of the Panel |
| Advisory Committee on Reactor Safeguards | Chairman, ACRS |

Appointing and removing authorities shall be exercised in accordance with applicable statutes, regulations, any applicable negotiated agreement with an employee union, and NRC directives published in Part 4100 of the NRC Manual.

ORGANIZATION MANAGEMENT

This delegation of authority does not affect the provisions of Section 1(b) (1) and (3) of the Reorganization Plan regarding the Commission's authority to appoint and remove members of the Advisory Committee on Reactor Safeguards and the Chairman*, Vice Chairman**, Executive Secretary*** and members of the Atomic Safety and Licensing Board Panel and the Chairman, Vice Chairman and members of the Appeal Panel.

- * Head of Unit now titled Chief Administrative Judge
- ** Now titled Deputy Chief Administrative Judge (Executive)
- *** Now titled Deputy Chief Administrative Judge (Technical)

PART IIDEFINITIONS AND ORGANIZATION STANDARDS

A. DEFINITIONS

To assure consistent use and understanding of certain words and terms commonly used in NRC Management Directives, Commission Papers, reports and memoranda dealing with organization policy, standards, and practices, the following definitions are provided:

1. General:

- a. Authority - the power to approve or take other action that commits the NRC as an agency or an organization component thereof.
- b. Contract Administration - the functions performed or responsibilities assumed in representing the NRC in matters relating to performance under a contract, including enforcement of contract provisions and taking those actions which the Contracting Officer is required or permitted to take under the terms of the contract or applicable legal requirements.
- c. Function - as used in NRC, an assigned unit of responsibility. It may encompass either a broad or narrow segment of NRC's activities.
- d. Functional Direction - a function-to-function relationship under which an organization with general responsibility for a functional area or program provides direction over the corresponding function or program assigned to another organization—usually at a lower organization level. Such direction usually includes establishment or approval of objectives and plans, instructions on work to be performed to accomplish the objectives, and evaluation of the results. Functional direction does not necessarily include line supervision over the staff performing the functions.
- e. Reorganization - changing the structural makeup of an organizational component either to reflect a change in functions or to perform assigned duties more effectively and efficiently. The term includes making changes in functional assignments which result in the requirement to change the position description of the head(s) of any affected organizational component(s).
- f. Supervision - line direction by an official over the work of his/her subordinates. Includes the primary authority and responsibility for planning, organizing, coordinating, and controlling of the day-to-day work activities of such subordinate employees.

2. Organization Nomenclature:

- a. The Commission - the body of five Commissioners appointed by the President, by and with the advice and consent of the Senate.
- b. The Nuclear Regulatory Commission or NRC - the Agency as a whole, including the Commissioners and all other employees of the Agency.
- c. NRC Headquarters or Headquarters:
 - (1) When used as a physical location, means the NRC offices located in the Washington, D.C., metropolitan area.
 - (2) When used as an organization title, means the total group of NRC offices, divisions, and other components responsible for NRC-wide functions.
- d. Office - First-level organizational and functional component in NRC identified as program, staff, and regional offices.
- e. Program Offices - in NRC, refers to the Offices of Nuclear Reactor Regulation, Nuclear Material Safety and Safeguards, Nuclear Regulatory Research, and Inspection and Enforcement. These offices report to the Executive Director for Operations. "Program Offices" is used differently as a generic term of convenience in budget programs.
- f. Staff Offices - refers to those organizations created to perform specialized services and operations required to fulfill the functions of the NRC. The Chairman, the Commission and the Executive Director for Operations have Staff Offices reporting to them.
- g. Regional Offices - refers to those organizations created to execute NRC policies and assigned programs relating to licensing, inspection, and enforcement within regional boundaries. Regional Offices report to the Executive Director for Operations.
- h. Division - program or staff subdivision of NRC Offices and Regions. Subdivisions of Divisions are Branches, Sections and Units in descending order. (Where authorized, the first organizational component under a program division is the Assistant Director.)

B. GENERAL ORGANIZATION STANDARDS

The following organization standards are applicable to all levels of NRC organization:

ORGANIZATION MANAGEMENT

1. Grouping of Functions. Functions are grouped and assigned to units or organizations to combine related functions and separate unrelated functions. Groupings are designed to avoid duplication and overlapping of functions, to prevent unnecessary fragmentation of responsibilities or to offset the effects of limitations on the number of staff personnel to be hired.
2. Number of Organization Components. The number of organization components is kept to a minimum consistent with effective combination and separation of functions. Components are established, abolished, or consolidated consistent with functional substance and workload and changes thereto.
3. Span of Control. The number of individuals or units reporting to one supervisor is limited to the number that can be effectively directed and evaluated but should include the maximum number which can be effectively directed and evaluated. More employees can be supervised (a large span of control) if:
 - .. the functions are similar and routine
 - .. clear procedures are provided
 - .. there is little need for coordination and planning
 - .. there is minimum delegation or commitment authority.

Conversely, fewer employees can be supervised (a small span of control) if:

- .. the functions are diverse and complex
- .. no clear procedures can be provided
- .. there is great need for coordination and planning
- .. there is maximum delegation or commitment authority.

The following criteria can be used to determine and justify whether or not a supervisor warrants a large or small span of control:

- a. Complexity of Function: The degree of difficulty of work performed by subordinates, ranging from routine repetitive to creative and unique; and whether the supervisory position involves merely a review of correspondence or involves managerial and technical review.
- b. Coordination: The degree to which the supervisor must resolve differences between subordinate units, with other NRC offices and with outside agencies; and whether the subordinates are geographically located in close proximity, in separate buildings or in dispersed geographic areas.
- c. Planning: Considering whether or not the workload is predictable, or unpredictable; and whether planning actions are of minimum scope with precise guidance provided or of extensive scope dealing with unchartered policies.

- d. Commitment Authority/Delegation: The degree to which delegations are granted to the supervisor ranging from no delegated commitment authority to complete commitment authority for the assigned functions and the degree of supervision required of subordinates ranging from minimum to constant close supervision.

Staff assistants immediately available on staff: Supervisory burden is reduced if the supervisor has either technical or administrative assistants on his/her immediate staff to offer assistance in reviewing material (in addition to Deputies).

4. Layers or Levels of Supervision. The number of administrative levels is kept to a minimum consistent with the need for management and control of the work involved. Each level tends to increase the time for communicating instructions and for obtaining decisions.

C. SPECIFIC ORGANIZATION STANDARDS

1. Program Divisions: Direction. The preferred NRC supervisory structure for Program Divisions is for positions of Director, Deputy Director and Branch Chiefs. If Assistant Director positions are used, there may be no need for: (a) Deputy Division Director, and (b) more than one senior level professional assistant position on the immediate staff of the Division Director (i.e., special assistant, technical assistant). (Use of Assistant Directors in Staff Offices follow a different pattern, not usually involving Branches. See note "e" under E, "Organization and Position Titles," following, for guidance.)
2. Program Divisions: Assistant Directors: Where Program Division Assistant Director positions exist (a) the position should supervise at least three (3) Branch Chiefs, unless unusual conditions warrant supervising fewer Branch Chiefs, and (b) no senior level professional staff assistant positions (i.e., special assistant, technical assistant) should be on the immediate staff of the AD.
3. Program, Staff and Regional Divisions: Branch Chiefs: Branch Chiefs in Program, Staff and Regional Offices and Divisions should supervise at least 5 professional positions, or a total of 8 professional and clerical positions unless unusual conditions warrant fewer positions. (Note: In some cases Branch Chiefs supervise Section Chiefs each of whom supervises other professionals.)

D. IMPLEMENTATION OF ORGANIZATION STANDARDS

1. For proposed organizations:

The following provisions will apply unless specially excepted by the approving authority:

- a. no new Assistant Director positions will be approved.

- b. no new staff assistant positions on the Director's or Assistant Director's immediate staffs will be approved that exceed the standard.
- c. no new Branch Chief positions will be established, with fewer positions than specified in the standard.

2. For existing organizations:

Unless specifically excepted by the approving authority, normal attrition will be the mechanism to reduce:

- a. the number of Assistant Director positions.
- b. staff assistant positions on immediate staffs of Division Directors and Assistant Directors, which do not meet the standard.
- c. branches which do not meet the standard.

Exceptions from the standards will be based on case-by-case review including consideration of the factors outlined under General Organization Standards. (See B, above.) The approving authority approves such exceptions.

E. ORGANIZATION AND POSITION TITLES

1. Standard Titles. Standard organization and position titles for the levels of NRC organization are shown in the following table:

| <u>COMPONENT</u> | <u>ORGANIZATIONAL TITLE</u> | <u>TITLE OF HEAD OF COMPONENT AND OTHER KEY POSITIONS</u> |
|------------------------------|--|--|
| <u>Commission</u> | The Commission | Chairman; Commissioners |
| <u>Committees and Panels</u> | Advisory Committee on Reactor Safeguards | Chairman; Vice Chairman; Executive Director; Assistant Executive Director; Assistant Executive Director for ... |
| | Atomic Safety and Licensing Appeal Panel | Chairman Vice Chairman |
| | Atomic Safety and Licensing Board Panel | Chief Administrative Judge Deputy Chief Administrative Judge (Executive) Deputy Chief Administrative Judge (Technical) |

| <u>COMPONENT</u> | <u>ORGANIZATIONAL TITLE</u> | <u>TITLE OF HEAD OF COMPONENT AND OTHER KEY POSITIONS</u> |
|--|---|---|
| <u>Office of the Executive Director for Operations (EDO)</u> | Office of the Executive Director for Operations (EDO) | Executive Director for Operations (EDO); Deputy Executive Director for Operations; Deputy Executive Director for Regional Operations and Generic Requirements |
| <u>Program Offices</u> | | |
| Offices | Office of ... | Director, Office of ...; Deputy Director, Office of ... |
| Divisions | Division of ... | Director, Division of ...; Deputy Director, Division of ... Assistant Director for ... (See Note a, below) |
| Branches (See Note b, below) | ... Branch | Chief, ... |
| Sections | ... Section | Chief, ... Section (See Note c, below) |
| Unit | ... Unit | Chief, ... Unit (See Note d, below) |
| <u>Regional Organizations</u> | | |
| Regional Offices | Region (Roman Numeral) | Regional Administrator, Region ...; Deputy Regional Administrator, Region ... |
| Regional Division | ... Division | Director, Division of ... |
| Regional Branch | ... Branch | Chief, ... Branch |
| Regional Sections | ... Section | Chief, ... Section |

ORGANIZATION MANAGEMENT

| <u>COMPONENT</u> | <u>ORGANIZATIONAL TITLE</u> | <u>TITLE OF HEAD OF COMPONENT AND OTHER KEY POSITIONS</u> |
|------------------------------------|-----------------------------|---|
| <u>Staff Offices</u> | | |
| Offices | Office of ... | Director, Office of ...; Deputy Director, Office of ...; Assistant Director for ... (See Note e, below) |
| Division (See Note f, below) | Division of ... | Director, Division of ... Deputy Director, Division of ... |
| Branches (See Note g, below) | ... Branch | Chief, ... Branch |

NOTES:

- a/ "Assistant Directors for _____" are established when the number of Branches in a Division is so large or the work being performed by Branches is so complex and varied that Division Directors and their Deputies are unable to provide direct, effective supervision of Branch Chiefs.
- b/ Branches may also be established at levels higher than Division level where organizationally justified. For example, a Program Support Branch or an Administrative Branch may be established, reporting to an Office Director at the Office Director's discretion. Generally such organizational entities have few staff members who provide a service or resource clearly identified in the title of the entity, to a large organizational component.
- c/ Sections may be established when the number and/or complexity of functions performed within an individual Branch are so great as to preclude effective direct supervision of operations by the individual Branch Chief.
- d/ Units are generally established in relatively non-technical organizations when the number of non-professional employees is large enough to warrant the assignment of an additional supervisory level.
- e/ Assistant Director for _____ positions are used by some Staff Offices to designate management levels of officials directing major functions when the Office's size and scope do not justify the establishment of Divisions and/or Branches. Such use of the position title, while legitimate, is a deviation from the normal Office-Division-Branch structure, and such officials generally supervise the work of individual specialists instead of Branches.

- f/ Divisions are established in Staff and Regional Offices when the number and diversity of functions performed by the Office are great enough to warrant them. When they are used, the Assistant Director for _____ position at the Office level is not used, but Assistant Director for _____ positions may be established subordinate to Division Directors if required in Staff Offices.
- g/ Branches may be established in Staff Offices when the number of staff specialists involved is so large and duties so complex or varied that the Office Director, Division Director, or Assistant Director for _____ cannot provide adequate direct supervision. Branches may also be established in the absence of either Division Director or Assistant Director for _____, if appropriate.
2. Titles assigned to organization components shall be descriptive of the functions performed.
 3. "Deputy" is a title restricted to those positions which are second in supervisory command in the organizational component subject to the management direction of the head of the component and which automatically assume all responsibilities and authority of the head of the component in his/her absence. Such positions are required when the quantity and/or complexity of the work is as great as to require the assignment of two staff years to manage it.
 4. Exceptions to standard titles will be made by the official authorized to establish an organization component only when a determination is made by the approving official that there is good reason why the organization should be structured in such a way as to make standard titles inappropriate. The following are examples of non-standard titles currently in effect.

| <u>ORGANIZATION TITLE</u> | <u>NON-STANDARD TITLE FOR HEAD OF COMPONENTS</u> |
|--|--|
| Office of the Secretary | Secretary; Asst. Secretary |
| Office of the General Counsel | General Counsel; Asst. General Counsel; Solicitor |
| Office of the Executive Legal Director | Executive Legal Director; Deputy Executive Legal Director; Director and Chief Counsel, Hearing Division, etc. |
| Office of Resource Management | Director also serves as Controller |
| Office of Investigations Field Office, Region _____ | Director, Office of Investigations Field Office, Region _____ |

ORGANIZATION MANAGEMENT

5. The following are examples of non-standard organization units in the NRC:
 - a. "NRC Public Document Room" is used to designate the organization component at the NRC's office where documents of public interest are maintained and made available to members of the public for inspection and copying.
 - b. The title "library" is used for library organization.
 - c. "Group" and "Staff" refer to organizational components serving a central resource function to an entire organizational component or, in some cases, to the whole Agency. Their size may range from a few individuals to several Branches, and their organizational placement may similarly vary from Section to Division equivalence. The head of the component may be a "Director" or a "Chief."

PART IIIDEVELOPING AND PROCESSING PROPOSALS FOR CREATING OR REVISING ORGANIZATIONS

A. PROCESSING PROPOSALS

Generally, proposals for creating or revising organizations are initiated formally at the management level immediately above the component being established, abolished, or changed; reviewed and approved at the management level immediately above the initiator (second level above the affected component).

1. Proposals are submitted to the appropriate approving authority for final action. Those requiring approval of the Commission or the Executive Director for Operations are submitted through the Director, Office of Administration. The Director, Office of Administration, through the Director, Division of Organization and Personnel, should be consulted on other organizational matters as early in the planning cycle as possible so that personnel management implications may be properly addressed.
2. Proposals not requiring the approval of the Commission or the Executive Director for Operations shall be coordinated with the Director, Office of Administration, through the Director, Division of Organization and Personnel.
3. As required by any negotiated agreement between NRC and a Union, the Director, Office of Administration, through the Division of Organization and Personnel, will advise the Union as appropriate of substantive organizational changes, including any reduction-in-force proceedings, sufficiently prior to the changes being put into effect for the Union to consider the impact of such changes.
4. When action is taken by the approving authority, the Office or Division concerned initiates the necessary implementing action, including processing of the directives involved in accordance with the provision of Chapter NRC 0201, "NRC Management Directives System," and the personnel actions (position descriptions, evaluation and approval) in accordance with provisions of Part 4100.

B. PREPARATION OF PROPOSALS FOR CHANGES IN ORGANIZATION OR FOR NEW ORGANIZATIONS

1. Basic Documents. The basic documents used in submitting proposed changes or for new organizations requiring approval outside the originating Office or Division are:

- a. Commission Paper. Proposals requiring the Commission's approval should be prepared in appropriate format. Presentations should include the proposal with the analysis and justification and the information itemized in 2. below and any other appropriate material. The information may be presented in the body of the paper or as appendixes. In the recommendation, provide for the Commission's approval of the substance of the proposal, but not of the specific language of any draft manual chapter or the proposed position descriptions. This will allow for clarifying changes to be made during their final preparation and while concurrences are being obtained. Indicate that draft manual chapter(s) or draft changes to existing chapters (NRC Manual Part 0100) will be submitted to the Office of Resource Management within 30 days of approval of changes in organization and that necessary position descriptions will be submitted to the Division of Organization and Personnel within 30 days of approval.
- b. Memoranda. For changes other than those requiring the Commission's approval, prepare a memorandum to the approving authority, to include or transmit the proposal, the analysis and justification and the information itemized in 2. below and any other appropriate material.

2. Analysis and Justification should contain:

- a. A Summary of the Reasons Indicating a Need for Change or New Organization. Include such items as adaptation to program change, need for changes in control based on operating experience, potential increase in efficiency and effectiveness. Provide special support and rationale for proposed changes involving increased costs, including benefits and advantages to the NRC, such as positive results, improved services and estimates of savings at a later date. Proposals should comply with general and specific organization standards or provide justification for noncompliance.
- b. A List of Specific Changes and Functions. Include organization components to be established or abolished; proposed relocation of functions with functional statements for all major components down through Branch level.
- c. Staffing Plan. Provide a new or revised staffing plan listing numbers of employees per component, professional and clerical positions involved, showing new organizational alignment.
- d. SES Positions. Identify any affected or new proposed Senior Executive Service or equivalent positions.
- e. Justification of Changes in Staffing Levels. Include appropriate estimates of changes in workload and any other data on which proposed increases or reductions in staff are based.

- f. Personnel Impact. Identify any encumbered positions which are adversely affected in terms of prospective grade level. Identify any present supervisors proposed for assignment to non supervisory positions in the new organization.
 - g. Proposed Revisions in Delegations of Authority where appropriate, should be included.
 - h. Organization Charts. Include organization charts of present and/or proposed organization if such charts will help clarify the proposal.
 - i. Indicate that Draft Manual Chapter(s) or draft changes to existing organizational chapters (NRC Manual Part 0100) will be submitted to the Office of Resource Management within 30 days of approval of changes in organization and that any necessary position descriptions will be submitted to the Division of Organization and Personnel within 30 days of approval.
 - j. Approval. Include a statement that approval of the proposed organization is recommended and provide a place for the concurring and approving officials to indicate approval or disapproval.
3. Union Comment. The Union is advised as appropriate of approved substantive organizational changes and revised staffing plans by the Division of Organization and Personnel.
 4. Reassignments of Functions Without Significant Change in Organization Structure should state advantages, such as reductions in work-years, more logical combinations of functions, centralization of functions to make maximum use of available facilities such as data processing facilities, and realignment to perform any new work resulting from Executive Orders, OMB Circulars, court decisions, or other authorities.
4. Organization Charts. Formal revision of the functional organization charts submitted annually under Part V of this Appendix is not required until the proposal is approved.

PART IVSTANDARDS FOR DELEGATION OF AUTHORITY**A. GENERAL STANDARDS REGARDING DELEGATION OF AUTHORITY**

Appropriate delegations of authority are made to enable the heads of organizational components to make commitments or take other action to carry out their assignments. (See paragraph C., below, for documentation information.) Determining authority to be delegated is a line supervisory action. The scope of the authority is determined by the delegating official (subject to the limitations on the official's authority). For example, the Chairman, Commission or the Executive Director for Operations, as appropriate, determine or approve delegations of authority to Directors of Offices and Regional Administrators and they in turn determine or approve delegations of their authority to officials at the next lower organization level. The following principles apply to delegations of authority:

1. Delegations shall be made in writing. Delegations of authority for performing major agency functions shall be incorporated as rapidly as possible into appropriate NRC Manual Chapters so that they are readily available to all persons who need to know current authorizations. A copy of all such delegations shall be furnished to:
 - a. the Secretary of the Commission (for Offices reporting to the Commission), and the Executive Director for Operations.
 - b. the Executive Legal Director and General Counsel for reference in legal determinations.
 - c. the Director, Office of Administration, for reference in organizational analysis and position evaluation matters and in executive and management development analyses and projections.
 - d. the Director, Office of Resource Management, for coordination and incorporation into the NRC Manual.
2. Delegations of authority must contain limitations consistent with those imposed on the source of the authority. For example, all redelegations of authority stemming from the Executive Director for Operation's delegation must contain, as a minimum, the limitations placed on the authority delegated to the EDO by the Chairman or Commission.
3. Delegations shall specify any limitations on further redelegations, since authority is assumed to be redelegable, unless the delegation itself or an applicable law or regulation specifically prohibits or limits such redelegation.

4. Delegations shall provide for expiration dates, when appropriate, or for continuing applicability until cancelled or superseded. If no expiration date is stated, the delegation is presumed to remain in effect until superseded.
5. Delegations should be made to positions, and not to individuals by name, except in unusual circumstances or when required by statute, regulation or directive. In general, this may be accomplished, even though correspondence delegating authority is addressed to an individual in accordance with NRC correspondence procedures, through the use of such phrases as "The Director, Office of _____, is hereby delegated authority to ..." instead of "you are hereby delegated"
6. Continuing designations or delegations of authority to officials to "act for" the heads of organizations in their absence should be incorporated in appropriate sections of the chapters in Part 0100.
7. When an employee is serving in an "acting" capacity, he/she is vested with the full authority delegated to the position, unless the designation specifically limits the authority. Designations to "act" shall be made in writing where the designee will exercise delegated authority and may be in the form of (a) written instructions providing for a succession of command, or (b) individual designations for specific occasions.

Designation of an employee to "act" in a supervisory position during the temporary absence of the regular incumbent for a period normally lasting no more than a few days (e.g., on annual or sick leave; official travel, etc.) shall be made by the regular incumbent with a copy to his immediate supervisor for information.

If a series of delegations is necessary, e.g., for executing and administering a number of contracts, a control system shall be established to assure accurate information on outstanding delegations.

8. Delegations by Other than Line Supervisors. In some cases, authority is delegated by one individual to another who is not in a subordinate position to the delegating official. The most common occurrence of this nature is a delegation by a contracting officer to an individual outside the contracting officer's organization to represent the contracting officer in the administration of a contract. For example, when the Director, Division of Contracts, as contracting officer executes a contract for services to be rendered for another division, he/she usually issues a delegation authorizing the director of the other division to represent the contracting officer in administering the contract.

B. STANDARDS PERTAINING SPECIFICALLY TO DELEGATION OF CONTRACTUAL AUTHORITY.

1. Limitations on authority stated in the delegations of contract authority generally affect the validity of contract actions, while other limitations on exercise of delegated authority are generally NRC administrative controls and limitations. Therefore, limitations on contract authority must be stated clearly in the delegation of authority.
2. Contracting authority in the NRC is delegated to the Director, Division of Contracts, for negotiation, execution, administration, and close-out of contracts. In the exercise of this authority, the Director, Division of Contracts, may provide for further limited redelegations to other individuals to act. Such redelegations have been made to individuals in the four operating contract branches in the Division of Contracts and to the Regional Administrators for the purchase of routine housekeeping equipment, supplies, and materials.

C. DOCUMENTATION IN THE NRC MANUAL OF DELEGATIONS OF AUTHORITY

1. NRC chapters in Part 0100 describing organization and functions contain (a) specific delegations of authority to Directors of Offices to take action necessary to carry out assigned functions, and (b) delegations which may be required to carry out assigned functions and which are not within the scope of other manual chapters.
2. Appendixes to NRC chapters in Part 0100 may contain redelegations by Directors of Offices of their authority contained in chapters in Part 0100.
3. NRC chapters in parts of the Manual other than Part 0100 state responsibilities reflecting delegations of authority pertaining to specific functional areas, e.g., security, personnel, budget, and management information.

D. PREPARATION OF PROPOSALS FOR CHANGES IN DELEGATIONS OF AUTHORITY

The instructions given below apply to proposals for changes in delegations of authority submitted apart from proposed organization changes.

- a. If the delegation is required to be published in the NRC Manual, prepare the basic documents of (1) a draft manual chapter or other directive for publication in the NRC Manual, and (2) a memorandum (or other appropriate document if the authority of the Chairman is involved) containing or transmitting the analysis or justification for the proposed change. If publication in the NRC Manual is not required, prepare (1) a proposed memorandum containing the delegation for signature by the delegating authority, and (2) an appropriate transmittal explaining the basis for the change.

- b. Include in the analysis and justification the need for the changes and any benefits to be gained.

PART VORGANIZATION CHARTS

A. REQUIREMENTS

1. Organization and staffing charts are required for a number of NRC management purposes, including consideration of proposed organization and functional realignment actions by the Commission and the Executive Director for Operations, and dissemination of information in convenient form for official purposes within and outside the NRC. These functional organization charts are published each year as revisions of NUREG-0325.
2. Annually, in September, the Office of Resource Management forwards copies of current organization charts to Office Directors and Regional Administrators for updating as appropriate, and return.
3. Office representatives revise their charts to reflect changes in functional statements and/or organizational alignments which have been approved and implemented. Upon completion, the revised charts will show each Office's organizational structure as of September 30. The procedure will not be used to initiate proposed changes.
4. In addition to the annual revision described in 2 and 3 above, Office representatives, in conjunction with Office of Resource Management representatives, assure that revised charts or appropriate individual pages of their charts are revised when a major reorganization of an office occurs during the year.

B. PROCEDURES

1. Format to be Used. Charts should be prepared in a clean, legible form on white bond paper.
2. Information to be Shown on Charts:
 - a. Structure of the Organization and Titles:
 - (1) Each organization component is shown in a separate block with the title at the top of the block.
 - (2) The same size blocks are used for organization units at the same level. If space permits, the width of blocks is decreased at each succeeding lower level of the organization.
 - (3) A solid black line is used to show direct supervision over organization components; broken lines are used to show advisory relationships; the use of any other types of lines is explained by footnotes or legends.

- (4) For charts of Offices, each component equivalent to and above the branch level is shown. Lower levels of components are shown where needed to adequately depict the organization structure.
- (5) Advisory boards and committees established by statute.
- (6) If more than one page is required to depict the organization, a covering summary chart showing the structure of the entire organization is included as a first page. Subsequent detail sheets are used as required to depict the details of the organization.

b. Functional Statements:

A summary functional statement is included in each block.

Functional statements are kept as brief as possible and may consist of a simple listing of items. Detailed descriptions of functions and relationships are contained in chapters in Part 0100 and need not be repeated in organization charts.

C. DISTRIBUTION

1. Directors of Offices and Regional Administrators forward revised charts of approved organization to the Office of Resource Management.
2. The Office of Resource Management, after review and coordination with the Office of Administration, forwards the chart to the Printing and Graphics Branch, and later to the Document Management Branch, Division of Technical Information and Document Control, Office of Administration, for reproduction and distribution.
3. The Document Management Branch distributes copies of charts as required.
4. The Office of Resource Management will maintain a complete set of charts generally available for reference.

U.S. NUCLEAR REGULATORY COMMISSION ORGANIZATION CHART

