

APPENDIX C

SAFETY DOCUMENTS FORMATS

A. NWSSG REPORT

NWSSG reports shall be written with the following sections: "Executive Summary," "Study Overview," "Findings and Recommendations," "Draft Safety Rules," and "Addendum of Minority Opinions." The NWSSG report title shall be descriptive and shall include the name of the weapon system under study.

1. "Executive Summary." The "Executive Summary" shall summarize the study results. It will include an appraisal statement that assesses whether or not the weapon system, when operated, in accordance with prescribed technical and operational procedures, in the system concept of operations, and with proposed or existing safety rules and other positive measures, meets DoD nuclear weapon system safety policy and standards. The "Executive Summary" will also include a synopsis of the findings and recommendations and minority opinions (if any), and will comment on limitations that affected the conduct of that study.

2. Study Overview.

a. That subsection shall summarize the study's scope, background, and purpose; describe the assessments conducted by the NWSSG; list any assumptions that were necessary to complete the study and include the system's concept of operations, current safety rules (if any), a system functional description including the safety technologies incorporated in the system; and the safety feature description provided in the Military Department data package. Those documents may be attached as "appendices." That subsection is not intended to be a technical or engineering source document.

b. In the "Study Overview," the members shall provide comments on the impact of safety on the system concept of operations and the different implications for safety inherent in unique operational locations; reiterate recommendations from previous studies or reviews that remain open pending completion of corrective action, and provide the status of each; and note any limitations that affected the study or review (e.g., scope, implementation, and instructions).

3. "Findings and Recommendations." That section contains NWSSG findings and recommendations.

a. Findings. Findings are statements of fact or conclusions of the NWSSG on the nuclear safety of the weapon system.

(1) The first finding will include an appraisal statement that assesses whether the weapon system, when operated in accordance with prescribed technical and operational procedures, in the system concept of operations, and with proposed or existing safety rules and other positive measures, meets DoD nuclear weapon system safety policy and standards.

(a) If the system meets the standards, recommend actions; e.g., propose safety rules and other positive measures, if applicable, that will enhance safety consistent with operational requirements.

(b) If the system is not verified to meet the standards by the NWSSG, identify

system limitations and constraints that preclude the system from meeting the standards,

(c) [f the system does not meet the standards, identify system limitations and constraints that do not allow safe operation of the system, or any other factors that preclude conformance with the standards.

(2) Remaining findings will address system-specific enhancements or deficiencies related to hardware, firmware, software, and procedures.

b. Recommendations. Each finding shall be followed by a recommendation. If a finding is a positive statement of nuclear weapon safety, the recommendation may be “none.” Recommendations shall be, as follows:

(1) For weapon systems that meet the four DoD Nuclear Weapon System safety Standards, if applicable, recommend actions; e.g., new safety rules or changes to current safety rules or other positive measures, to further ensure maximum safety consistent with operational requirements.

(2) For weapon systems that are not verified to meet the four DoD Nuclear Weapon System Safety Standards, recommend positive measures and safety rules in consideration of the requirements identified in subparagraph D.2. b.(2) of Chapter 5, including those that may permit continued operations while maximizing safety consistent with operational requirements.

(3) For weapon systems that do not meet the four DoD Nuclear Weapon System Safety Standards, recommend positive measures and safety rules permitting continued operations or recommending cessation of operations.

(4) Recommend positive measures that address system-specific enhancements or deficiencies regarding hardware, firmware, software, and procedures.

c. Reiterate applicable recommendations for the weapon system made during previous studies or reviews for which corrective actions have not been completed.

4. “Draft Safety Rules.” That section provides a separate listing of the draft safety rules or recommended changes to current safety rules as identified in the “Findings and Recommendations.” That section provides the basis for Part C of the Military Department safety rules package. Members may recommend processing changes as an administrative change, if applicable.

5. “Addendum of Minority Opinions.” An addendum of minority opinions will be included if agreement is not reached by the NWSSG through discussion and deliberation. Minority opinions shall be presented in the same format as the other findings and recommendations of the basic report, and shall be signed by each member supporting the minority opinion.

B. MILITARY DEPARTMENT NWSSR

A Military Department NWSSR shall include an “Executive Summary,” “Assessment,” “Findings,” “Recommendations and Corrective Actions,” and, as an enclosure, the NWSSG report.

1. Executive Summary. The “Executive Summary” shall summarize the Military Department position on the study results. It will include an appraisal statement that assesses whether or not

the weapon system, when operated in accordance with prescribed technical and operational procedures, in the system concept of operations, and with proposed or existing safety rules and other positive measures, meets DoD nuclear weapon system safety policy and standards. If the NWSSR assessment of compliance with the DoD safety standards differs from that of the NWSSG (majority or minority), that difference shall be noted in the Executive Summary, along with the rationale for the disagreement. The "Executive Summary" will also include a synopsis of the most significant NWSSG report recommendations and the corresponding Military Department action. The "Executive Summary" shall also comment on limitations that affected the conduct of the study.

2. Assessments. The assessment section shall include evaluations and analyses to support the Military Department appraisal statement in the "Executive Summary."

3. 'Findings,' 'Recommendations,' and 'Corrective Actions.' Each finding and recommendation of the NWSSG report shall be associated with a corrective action. That section shall do the following:

a. List NWSSG findings and recommendations and minority opinions, and indicate "approval" or "disapproval" of each recommendation (with rationale).

b. List corrective actions that the Military Department will implement for approved recommendations.

c. Provide recommendations on the retention, modification, or retirement of the system, as applicable.

4. The NWSSG report shall be included as an enclosure to the Military Department NWSSR.

C. SAFETY RULES PACKAGE

The safety rules package shall consist of an "Executive Summary," "Technical Description and Concept of Operations" (Part A), "Safety Features" (Part B), and "Proposed Safety Rules" (Part C). Each part is factual and will stand alone, without subjective or qualifying data.

1. "Executive Summary." The "Executive Summary" shall summarize the Military Department position on the results of the study or review. It will include an appraisal statement that assesses whether or not the weapon system, when operated in accordance with prescribed technical and operational procedures, in the system concept of operations, and with proposed or existing safety rules and other positive measures, meets DoD nuclear weapon system safety policy and standards. If the NWSSR assessment of compliance with the DoD safety standards differs from that of the NWSSG (majority or minority), that difference shall be noted in the "Executive Summary," along with the rationale for the disagreement. The "Executive Summary" shall include a synopsis of the proposed safety rules or changes to current rules. It shall also provide a descriptive title and study date.

2. "Technical Description and Concept of Operations." Part A shall contain a brief functional description and the concept of operations for the nuclear weapon system. That information shall be consistent with that provided in the Military Department data package.

3. "Safety Features." Part B shall describe the safety features incorporated in the nuclear weapon system. That information shall be consistent with that provided the Military Department data package. That part shall include a summary description of specific positive measures that

support DoD nuclear weapon system safety policy and standards.

4. **“ProPosed Safety Rules.”** Part C shall list all general and specific system safety rules that apply to the nuclear weapon system. The proposed safety rules or changes to current rules shall be clearly identified.

D. “ANNUAL SAFETY STATUS REPORT”

The “Safety Status Report” shall describe the status of corrective actions for each of the approved NWSSG findings and recommendations from completed studies and reviews until closed.