

# Transportation Safety & Operations Compliance Assurance Program Self-Assessment Review Document

## 4. Transportation Management Operations

**Standard:** All Transportation Management Operations are conducted in a consistent and accountable manner, following approved procedures, in compliance with all requirements of applicable international, federal, state, tribal, and local laws, rules, and regulations and DOE Orders and policy.

**References:** 41 CFR 109-40; 48 CFR Part 47; 49 CFR Parts 100-180 and 390-397; 470.1 Change 1, and 534.1B; DOE Order Implementation Guide 460.2-1; CRDs 460.1A Change 1 and 460.2 Change 1; and Best Business Practices (\*)

Self-Assessment/Evaluation Actions	Response			Comments  (Specify where found in Site procedures)
	Y	N	N/A	
<b>A. GENERAL QUESTION SECTION</b>				
1. Do the following DOE Orders apply to your contract?				
a. DOE Order 460.1B, "Packaging and Transportation Safety"				
b. DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management"				
c. DOE M 460.2-1, Radioactive Material Transportation Practices Manual				
d. DOE Order 470.1, Change 1, "Safeguards and Security Program"				
e. DOE Order 534.1B, "Accounting"				
<i>If you answered "Yes" to any of the questions above, please complete the appropriate questions in the sections below.</i>				
<b>B. SHIPMENT PROCEDURES – OUTBOUND PREPARATION</b>				
1. Are all shipments of DOE materials properly prepared to indicate the following?				
a. Proper material identification/classification (National Motor Freight Classification)				
b. Package identification and number of packages				
c. Consignee name and address				
d. Special information (e.g., handling requirements, priority, urgency)				
2. For freight payment purposes, are proper classifications of DOE materials for each shipment described on the bill of lading, waste manifest, or other shipping documents as specified in the governing freight classification, carrier's tariff, or rate tender [DOE G 460.2, Section 3.1.2(c)* and				

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41 CFR 109-40.5005]?				
3. Are carriers (highway, rail, or water) being selected based on requirements to provide safe, expeditious, and economical transportation to the destination [DOE G 460.2, Section 3.1.3* and 41 CFR 109-40.103-17]?				
4. Does the contractor have a written policy addressing the government’s self-insurance policy [48 CFR 47.102]?				
5. Are shipments properly loaded, blocked, braced, and secured by the carrier according to DOT requirements [49 CFR 177.834 and 393.100-106]?				
6. Are procedures in place to preclude unnecessary detention and demurrage charges by carriers loading or unloading at the contractor’s facility [DOE G 460.2, Section 3.1.10*]?				
7. Is a system in place to ensure that all commercial bills of lading, air bills, and other commercial documents covering shipments made by or to the contractor on DOE’s behalf provide for consignment of the shipments to or from the: a. United States Department of Energy “in care of”(contractor) or, b. Contractor “for the United States Department of Energy” [DOE O 460.2, Att. 1, CDR, Section 4(c); and DOE Accounting Handbook, Chapter 17, 2(b)]				
8. Does the contractor utilize the Transportation Tracking and Communications (TRANSCOM) system when required? [DOE M 460.2-1, Att. 1, CRD Para. 2f]				
9. For shipments of fissile material or more than a Type A quantity of radioactive material is there a system in place to notify a shipper by the end of the first working day after the estimated arrival date if the shipment has not been received? [DOE 460.2A, Att. 1, CRD, Para.3(b)]				
10. Is there a system in place to ensure that shipments are routed using the mode of transportation or individual carriers within a mode of transportation that can provide the required service at the lowest overall delivered cost to the government [DOE 460.2A, Att. 1, CRD, Para.4; 41CFR 109-40.302]?				

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11. Are commercial transport conveyances surveyed prior to loading radioactive material [DOE-STD-1098-99, Article 423 para. 9*]?				
<b>C. SHPMENT PROCEDURES – INBOUND PROCEDURES</b>				
1. Are systems in place to inspect all packages upon receipt for damage, loss, or evidence of possible leakage and/or breakage of the contents? [DOE 460.2, Att. 1, CRD, Para.5(a)]				
2. Does the contractor have a policy to stop or detain any transport vehicle that contains a leaking package of regulated material on the site? [DOE 460.2, Att. 1, CRD, Para. 5(b)]				
<b>D. AUTOMATED TRANSPORTATION MANAGEMENT SYSTEMS</b>				
1. Does the contractor utilize an automated transportation management system (ATMS) to perform transportation tasks? [DOE 460.2A, Att. 2, CRD, Para.2a.]				
<b>E. TRANSPORTATION RATES AND SERVICES</b>				
1. Is a system in place to ensure that only carriers with rates on file with EM-1, EM Office of Transportation, or DOE Field Offices are used for shipments by common carriage? [41 CFR 109-40.304, DOE 460.2A, Att. 2, CRD, Para.4.c.]				
2. Is a system in place to provide written justification or management approval when other than the low-cost carrier or mode is used [DOE 460.2A, Att. 2, CRD, Para.4.d.; 41 CFR 109-40.103-1, 109-40.302, and 109-40.303-3]?				
3. Is a system in place to ensure the contractor does not expend Government funds to insure property against loss, damage, or destruction while in transit, unless qualifying as a “special circumstance” under the procurement regulations? [DOE 460.2A, Att. 2, CRD, Para.2.b.]				
4. Do you properly document justifications for request of exclusive use vehicles to meet shipment or programmatic needs [DOE G 460.2-1, 5.5.b.]?				
5. Is there a system in place to ensure that signed copies of rate tenders are provided to the appropriate parties in the General Services Administration, and other DOE Field Offices [41 CFR 109-40.306-3]				
<b>F. ACCIDENT/INCIDENT REPORTING</b>				

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1. Has the DOE or contractor traffic manager requested a copy of the report when the carrier is required to provide a report (in writing and within 30 days, using DOT Form F 5800.1) detailing each unintentional release of hazardous material from a package [49 CFR 171.16(a)]?				