STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENT

FUNCTIONAL AREA 01.0

MANAGEMENT SYSTEMS (U)

January 16, 2020
REVISION 19-08

This document was approved by DOE-SR on the above date.

Savannah River Remediation LLC
Savannah River Site
Aiken, SC 29808

PREPARED FOR THE U.S. DEPARTMENT OF ENERGY UNDER CONTRACT NO. DE-AC09-09SR22505
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## FACILITY SPECIFIC LIST(S)
01.00 MANAGEMENT SYSTEMS

Standards/Requirements Identification Document (S/RID) Functional Area 00, S/RID Purpose and Development, contains general information on the development (including the type of source documents considered), assessment, approval, and maintenance of the Savannah River Remediation LLC (SRR) S/RID that is pertinent to the understanding of this S/RID functional area. The reader should refer to S/RID Functional Area 00 for a complete understanding of this S/RID functional area.

Management systems provide the policy, commitment, accountability, and resources to implement the Environmental, Safety, and Health (ES&H) programs and to ensure consistent and adequate management oversight. The scope of the Management Systems S/RID Functional Area is the collection of those requirements to be followed by site and facility management to develop a program of commitment to ES&H in a formal, controlled manner. Effective management systems are required to develop and maintain ES&H programs, ensure adequate guidance and oversight for the implementation of these programs, and maintain a commitment of resources to perform the required ES&H functions.

01.01 MANAGEMENT AND ADMINISTRATION

The Management and Administration element is comprised of four sub-elements. The four sub-elements are described below.

01.01.01 Policies, Plans and Procedures

An integrated safety management system (ISMS) is essential to performing work safely and efficiently. SRR is committed to implementing an ISMS based on the requirements of DOE Policy 450.4A. Requirements related to ISMS are included in this section.

Requirements related to the preparation, review, and approval of policies and procedures are addressed in Section 01.02, Policy and Procedures. Specific requirements related to Operations Procedures are addressed in S/RID Functional Area 09, Conduct of Operations. Requirements in this section provide an overall policy for implementing ES&H programs.

01.01.02 Organization

Organizational requirements are contained in S/RID Functional Area 09, Conduct of Operations.

When applicable, facility specific organizational requirements are addressed in S/RID Functional Area 09, Conduct of Operations, and are not repeated here.

01.01.03 Staffing

Resource requirements for operations are addressed in S/RID Functional Area 09, Conduct of Operations, and are not repeated here. There are no additional ES&H requirements related to staffing.
01.01.04 Training and Qualification

Training and Qualification requirements are included in S/RID Functional Area 04, Training and Qualification, and are not repeated here.

01.02 POLICY AND PROCEDURES

Fundamental requirements for a Policy and Procedure System are addressed in 10 CFR 830, Subpart A, DOE Order 414.1D, and DOE O 422.1A. These requirements are included in the Quality Assurance and Conduct of Operations S/RID Functional Areas and are not repeated here.

When applicable, facility specific policy and procedures system requirements are included in the Quality Assurance and Conduct of Operations S/RID Functional Areas and not repeated here.

01.02.01 Preparation

No requirements are specified in this element.

01.02.02 Review and Approval

No requirements are specified in this element.

01.02.03 Control and Maintenance

No requirements are specified in this element.

01.03 ISSUE MANAGEMENT

No requirements are specified in this element.

01.03.01 Employee Concerns

This section contains the requirements related to the Employee Concerns Program associated with DOE O 442.1B (including the direction provided in the Contract Administrator Notice dated 3/11/2019), SRR Contract DE-AC09-09SR22505 Clause H.42, 10 CFR 708, and Differing Professional Opinions in accordance with DOE O 442.2-Chg1.

01.03.02 Root Cause and Corrective Action Analysis

Requirements for root cause and corrective action analysis are included in other sections within this functional area (e.g., 01.06.01, 01.06.02 and 01.06.03) and are not repeated here.

01.03.03 Tracking and Trending

Requirements for tracking and trending of ES&H issues are included in other sections within this functional area (e.g., 01.06.03 and 01.06.04) and are not repeated here.
01.04 COMPLIANCE MANAGEMENT

This element defines requirements for a Compliance Management Process that ensures that sufficient and necessary ES&H requirements and commitments are identified and incorporated into management documents and training programs, as appropriate.

Compliance Management ensures that new requirements at the federal, state, and local levels are reviewed for applicability in a timely manner.

Compliance Management ensures that new or revised applicable requirements are formally integrated into the management system through modification or development of the appropriate policies and procedures.

01.05 MANAGEMENT EVALUATIONS

The assessment process evaluates performance and/or compliance with applicable ES&H rules and regulations, policies, procedures, and commitments. Assessments consist of Self-Assessments and Independent Oversight.

Assessment requirements are also specified in other functional area S/RIDs. Requirements associated with Criterion 10 from DOE O 414.1D, as well as from 10 CFR 830, Subpart A, are contained in the Quality Assurance S/RID Functional Area. Requirements applicable to the Defense Waste Processing Facility (DWPF) from DOE/RW-0333P-R20 are also contained in the Quality Assurance S/RID Functional Area.

01.06 OCCURRENCE REPORTING

Occurrence Reporting is a process for identification and reporting of occurrences, including emergencies and "near miss" situations that could be precursors to more serious situations. The Occurrence Reporting requirements are discussed in the following sub-elements.

01.06.01 Identification and Categorization

Requirements are included in this element for the proper identification and categorization of occurrences. Criteria used for categorization are consistent with the emergency response to different types of occurrences.

01.06.02 Notification and Reporting

Requirements for the notifications and follow-up reports of reportable occurrences are included in this element. Requirements for the timely reporting of investigation results, event significance, corrective action, and lessons learned are also included.

01.06.03 Investigation

Requirements are included in this element for the investigation of occurrences in a timely and consistent manner by qualified personnel.

01.06.04 Tracking

Requirements in this section require the review of occurrence reports for good practices and lessons learned.
01.07 OPERATIONAL READINESS REVIEWS

Operational Readiness Reviews (ORRs) provide a structured methodology for determining that a facility, project, process, or activity is ready to be occupied and/or operated in a safe and controlled manner. DOE policy is that no new hazardous or nuclear facilities be started, nor should such existing facilities be restarted, without a documented and approved review of readiness. The process is applied on a graded approach, which addresses all key elements of ORR, ranging from short, simple, low-level efforts to comprehensive efforts covering all hardware, personnel, and procedures depending on the complexity of, and hazards posed by, the subject facility.

01.07.01 Approach and Organization

Requirements for a systematic process to determine the need to perform an ORR and to specify the type of readiness review required are identified in this element.

01.07.02 Plan of Action

The requirements for an ORR Plan of Action are specified in this element. The Plan of Action is the initiating document for an ORR that identifies those actions required for an acceptable and approved startup or restart of a hazardous or nuclear facility.

01.07.03 Tracking and Closure of Findings

Requirements that specify the process for the tracking and closure of review findings, including independent verification of closure, are specified in this element.

01.07.04 Documentation

Requirements for the documentation of the ORR are specified in this element.

01.08 DOCUMENT AND DATABASE CONTROL - RECORDS MANAGEMENT

Document and database control and records management are vital to effective management of any site, facility, or activity. This is how configuration management is implemented, the design and safety bases are maintained, and records are controlled and maintained on a current basis in a consistent manner throughout the site. The Quality Assurance S/RID Functional Area specifies the ES&H requirements applicable to document and database control. Additional requirements are administrative in nature, do not directly relate to ES&H protection, and are not included.

01.08.01 Control

No requirements are specified in this element.

01.08.02 Storage

No requirements are specified in this element.
01.08.03 Retention and Disposal

No requirements are specified in this element. Requirements for records generation and retention are however, included in the Quality Assurance S/RID Functional Area.

01.09 KEY INTERFACES

The Management Systems S/RID Functional Area is a collection of systems and processes that service all other functional areas. As such, there are interfaces and an interdependency between the Management Systems S/RID Functional Area and all other functional areas.

01.10 DOCUMENTS

01.10.01 Reference Documents

- 10 CFR 708 10 CFR 820 10 CFR 830 10 CFR 851: DOE CONTRACTOR EMPLOYEE PROTECTION PROGRAM
- PROCEDURAL RULES FOR DOE NUCLEAR ACTIVITIES
- NUCLEAR SAFETY MANAGEMENT
- WORKER SAFETY AND HEALTH PROGRAM, 2/9/2006
- DOEO225.1B: ACCIDENT INVESTIGATIONS, 3/4/2011
- DOEO226.1B: IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY, 4/25/2011
- DOEO232.2A: OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION, CHANGE 1, 11/4/2019
- DOEO251.1C: DEPARTMENTAL DIRECTIVES PROGRAM, 1/15/2009
- DOEO425.1D: VERIFICATION OF READINESS TO STARTUP OR RESTART NUCLEAR FACILITIES, ADMIN CHANGE 1, 4/2/2013
- DOEO442.1B: DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PROGRAM, 1/31/2019
- DOEO442.2: DIFFERING PROFESSIONAL OPINIONS FOR TECHNICAL ISSUES INVOLVING ENVIRONMENTAL, SAFETY, AND HEALTH TECHNICAL CONCERNS, CHANGE 1, 10/4/2016
- DOEP450.4A: INTEGRATED SAFETY MANAGEMENT POLICY, 4/25/2011
TABLE 1 FORMAT AND CONTENT

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Unique number for each requirement that links the statement to the ES&amp;H Configuration Guide</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source Document Number</td>
<td>Number of the source document</td>
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<tr>
<td>Source Document Requirement Number</td>
<td>Unique reference from the source document.</td>
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<tr>
<td>Requirement Text</td>
<td>Requirement statement</td>
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</tbody>
</table>

**Facility Categories** *

Requirement applicability is shown in relation to the following facility categories:

- **Nuclear HC-1,2,3**: Representing nuclear hazard category 1, 2 and 3 facilities (as defined by DOE Standard 1027-92) and includes any facility(s) required to support a nuclear facility(s).
- **Radiological**: Representing facilities below Hazard Category 3 but still contain quantities of radioactive material at or above the Reportable Quantity value as specified in 40 CFR 302.4, Appendix B.
- **High Hazard Chemical**: Representing facilities with radiological hazards below 40 CFR 302.4 thresholds for radiological materials, but with any chemical hazard at or above threshold quantities listed in 29 CFR 1910.119 or 40 CFR 68. These facilities may also contain nuclear materials exempt from the nuclear facility definition, e.g., check and calibration sources, radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and x-ray machines, as defined by 10 CFR 830.3.
- **Low Hazard Chemical**: Representing facilities with radiological hazards below 40 CFR 302.4 thresholds, but with chemical hazards both below 29 CFR 1910.119 or 40 CFR 68 thresholds and at or above reportable quantities in 40 CFR 302.4. These facilities may also contain nuclear materials exempt from the nuclear facility definition, e.g., check and calibration sources, radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and x-ray machines, as defined by 10 CFR 830.3.
- **Other Industrial**: Representing facilities with all radiological and chemical hazards below 40 CFR 302.4 thresholds. These facilities may also contain nuclear materials exempt from the nuclear facility definition, e.g., check and calibration sources, radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and x-ray machines, as defined by 10 CFR 830.3.
- **Facility Specific**: These are requirements that are applicable to specific facilities. Facility identification is included in this column, when applicable.

**Phase I Compliance Approach**

- **Common**: Implementation of these requirements is covered by common procedures and policies.
- **Facility Specific**: Implementation of these requirements is covered by facility specific procedures.

* Refer to the “SRR Facilities List” contained in Functional Area 00 for the category for specific SRR facilities/bldgs.
<table>
<thead>
<tr>
<th>Facility</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>830</td>
<td>See FA 00 for list of facilities</td>
</tr>
<tr>
<td>SU(ABC)</td>
<td>Subs -A/B/C (No Phy. Bldg.) See FA 00</td>
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<td>S/RID Requirement Number</td>
<td>Source Document</td>
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<tr>
<td>01.01.01.043</td>
<td>DOEP450.4A</td>
</tr>
<tr>
<td>01.01.01.044</td>
<td>DOEP450.4A</td>
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<tr>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<th>S/RID</th>
<th>Requirement Number</th>
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<th>Phase I Compliance</th>
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<tr>
<td>01.01.054</td>
<td>01.01.054</td>
<td>DOEP450.4A</td>
<td>2.e</td>
<td>CORE FUNCTIONS FOR INTEGRATED SAFETY MANAGEMENT</td>
<td>X</td>
<td>X</td>
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<td>These five core safety management functions provide the necessary structure for any work activity that could potentially affect the workers, the public, and the environment. The functions are applied as a continuous cycle with the degree of rigor appropriate to address the type of work activity and the hazards involved. PROVIDE FEEDBACK AND CONTINUOUS IMPROVEMENT. Feedback information on the adequacy of controls is gathered; opportunities for improving the definition and planning of work are identified and implemented.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.03.081</td>
<td>01.03.081</td>
<td>10 CFR 708</td>
<td>Sub.B.708.16</td>
<td>Employee Complaint Resolution Process</td>
<td>X</td>
<td>X</td>
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<td></td>
<td>Will a contractor or a labor organization that represents an employee be notified of an employee’s complaint and be given an opportunity to respond with information?</td>
<td>X</td>
<td>X</td>
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<td>(a) By the 15th day after receiving your complaint, the Head of Field Element or EC Director (as applicable) will provide your employer a copy of your complaint. Your employer has 10 days from receipt of your complaint to submit any comments it wishes to make regarding the allegations in the complaint.</td>
<td>X</td>
<td>X</td>
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<td>(b) If you are part of a bargaining unit represented for purposes of collective bargaining by a labor organization, the Head of Field Element or EC Director (as applicable) will provide your representative a copy of your complaint by the 15th day after receiving it. The labor organization will be advised that it has 10 days from the receipt of your complaint to submit any comments it wishes to make regarding the allegations in the complaint.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Requirement Number</td>
<td>Source Document</td>
<td>Requirement Text</td>
<td>SRR Applicability</td>
<td>Phase I Compliance</td>
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<td>01.03.01.082</td>
<td>10 CFR 708</td>
<td>Employee Complaint Resolution Process</td>
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<td>Sub.B.708.19</td>
<td>How can a party obtain review by the Secretary of Energy of a decision on appeal of a dismissal? (a) By the 30th day after receiving a decision on an appeal under Section 708.18 from the OHA Director, any party may file a petition for Secretarial review of a dismissal with the Office of Hearings and Appeals. (b) By the 15th day after filing the petition for Secretarial review, a party must file a statement setting forth the arguments in support of its position. A copy of the statement must be served on the other parties, who may file a response by the 20th day after receipt of the statement. Any response must also be served on the other parties. (c) All submissions permitted under this section must be filed with the Office of Hearings and Appeals. (d) After a petition for Secretarial review is filed, the Secretary (or his or her delegate) will issue the final agency decision on jurisdiction over the complaint. The Secretary will reverse or revise an appeal decision by the OHA Director only under extraordinary circumstances. In the event he or she determines that a revision in the appeal decision is appropriate, the Secretary will direct the OHA Director to issue an order either upholding the dismissal by the Head of Field Element or EC Director or ordering further processing of your complaint.</td>
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<tr>
<td>01.03.01.083</td>
<td>10 CFR 708</td>
<td>Employee Complaint Resolution Process</td>
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<td>Sub.B.708.20</td>
<td>Will DOE encourage the parties to resolve the complaint informally? (a) Yes. The Head of Field Element or EC Director (as applicable) may recommend that the parties attempt to resolve the complaint informally, for example, through mediation. (b) The period for attempting informal resolution of the complaint may not exceed 30 days from the date you filed your complaint, unless the parties agree to extend the time. (c) The 30-day period permitted for informal resolution of the complaint stops running when a request to dismiss your complaint on jurisdictional grounds is filed with the Head of Field Element or EC Director, and begins to run again on the date the OHA Director returns the complaint to the Head of Field Element or EC Director for further processing. (d) If the parties resolve the complaint informally, the Head of Field Element or EC Director (as applicable) must be given a copy of the settlement agreement or a written statement from you withdrawing the complaint.</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<tr>
<td>01.03.01.084</td>
<td>10 CFR 708</td>
<td>Sub.C.708.22</td>
<td>Investigation, Hearing and Decision Process</td>
<td>X X X X X X</td>
<td>X</td>
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<td>What process does the Office of Hearings and Appeals use to conduct an investigation of the complaint?</td>
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<td>(a) If you request a hearing without an investigation, the OHA Director will not initiate an investigation even if another party requests one.</td>
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<td>(b) If you request an investigation followed by a hearing, the OHA Director will appoint a person from the Office of Hearings and Appeals to conduct the investigation. The investigator may not participate or advise in the initial or final agency decision on your complaint.</td>
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<td>(c) The investigator will determine the appropriate scope of investigation based on the circumstances of the complaint. The investigator may enter and inspect places and records; make copies of records; interview persons alleged to have been involved in retaliation and other employees of the charged contractor who may have relevant information; take sworn statements; and require the production of any documents or other evidence.</td>
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<td>(d) A contractor must cooperate fully with the investigator by making employees and all pertinent evidence available upon request.</td>
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<td>(e) A person being interviewed in an investigation has the right to be represented by a person of his or her choosing.</td>
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<td>(f) Parties to the complaint are not entitled to be present at interviews conducted by an investigator.</td>
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<td>(g) If a person other than the complainant requests that his or her identity be kept confidential, the investigator may grant confidentiality, but must advise such person that confidentiality means that the Office of Hearings and Appeals will not identify the person as a source of information to anyone outside the Office of Hearings and Appeals, except as required by statute or other law, or as determined by the OHA Director to be unavoidable.</td>
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<tr>
<td>01.03.01.085</td>
<td>10 CFR 708</td>
<td>Sub.C.708.24</td>
<td>Investigation, Hearing and Decision Process</td>
<td>X X X X X X</td>
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</tr>
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<td>Will there always be a hearing after a report of investigation is issued?</td>
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<td>(a) No. An employee may withdraw a hearing request after the report of investigation is issued. However, the hearing may be canceled only if all parties agree that they do not want a hearing.</td>
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<td>(b) If the hearing is canceled, the Hearing Officer will issue an initial agency decision pursuant to Section 708.31 of this subpart.</td>
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<td>S/RID Requirement Number</td>
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<td>SRR Applicability</td>
<td>Phase I Compliance</td>
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<td>01.03.01.086</td>
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<td>Sub.C.708.28</td>
<td>Investigation, Hearing and Decision Process</td>
<td>X X X X</td>
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</tbody>
</table>

What procedures govern a hearing conducted by the Office of Hearings and Appeals?

(a) In all hearings under this part:
1. The parties have the right to be represented by a person of their choosing or to proceed without representation. The parties are responsible for producing witnesses in their behalf, including requesting the issuance of subpoenas, if necessary;
2. Testimony of witnesses is given under oath or affirmation, and witnesses must be advised of the applicability of 18 U.S.C. 1001 and 1621, dealing with the criminal penalties associated with false statements and perjury;
3. Witnesses are subject to cross-examination;
4. Formal rules of evidence do not apply, but OHA may use the Federal Rules of Evidence as a guide; and
5. A court reporter will make a transcript of the hearing.

(b) The Hearing Officer has all powers necessary to regulate the conduct of proceedings:
1. The Hearing Officer may order discovery at the request of a party, based on a showing that the requested discovery is designed to produce evidence regarding a matter, not privileged, that is relevant to the subject matter of the complaint;
2. The Hearing Officer may permit parties to obtain discovery by any appropriate method, including deposition upon oral examination or written questions; written interrogatories; production of documents or things; permission to enter upon land or other property for inspection and other purposes; and requests for admission;
3. The Hearing Officer may issue subpoenas for the appearance of witnesses on behalf of either party, or for the production of specific documents or other physical evidence;
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<th>Requirement Text</th>
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<tr>
<td>Investigation, Hearing and Decision Process</td>
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The employee who files a complaint has the burden of establishing by a preponderance of the evidence that he or she made a disclosure, participated in a proceeding, or refused to participate, as described under Section 708.5, and that such act was a contributing factor in one or more alleged acts of retaliation against the employee by the contractor. Once the employee has met this burden, the burden shifts to the contractor to prove by clear and convincing evidence that it would have taken the same action without the employee’s disclosure, participation, or refusal.
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<th>Requirement Number</th>
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<th>Requirement Text</th>
<th>SRR Applicability Codes</th>
<th>Phase I Compliance</th>
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<td>01.03.01.088</td>
<td>10 CFR 708</td>
<td>Sub.C.708.32</td>
<td>Investigation, Hearing and Decision Process</td>
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<td>Can a dissatisfied party appeal an initial agency decision?</td>
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<td>(a) Yes. By the 15th day after receiving an initial agency decision from the Hearing Officer, any party may file a notice of appeal with the OHA Director requesting review of the initial agency decision.</td>
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<td>(b) A party who appeals an initial agency decision (the appellant) must serve a copy of the notice of appeal on all other parties.</td>
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<td>(c) A party who receives an initial agency decision by a Hearing Officer has not exhausted its administrative remedies until an appeal has been filed with the OHA Director and a decision granting or denying the appeal has been issued.</td>
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<td>01.03.01.089</td>
<td>10 CFR 708</td>
<td>Sub.C.708.33</td>
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<td>What is the procedure for an appeal?</td>
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<td>(a) By the 15th day after filing a notice of appeal under Section 708.32, the appellant must file a statement identifying the issues that it wishes the OHA Director to review. A copy of the statement must be served on the other parties, who may file a response by the 20th day after receipt of the statement. Any response must also be served on the other parties.</td>
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<td>(b) In considering the appeal, the OHA Director:</td>
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<td>(1) May initiate an investigation of any statement contained in the request for review and utilize any relevant facts obtained by such investigation in conducting the review of the initial agency decision;</td>
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<td>(2) May solicit and accept submissions from any party that are relevant to the review. The OHA Director may establish appropriate times to allow for such submissions;</td>
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<td>(3) May consider any other source of information that will advance the evaluation, provided that all parties are given an opportunity to respond to all third person submissions; and</td>
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<td>(4) Will close the record on appeal after receiving the last submission permitted under this section.</td>
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<td>Note:</td>
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<td>Section 708.32 is provided as S/RID requirement number 01.03.01.088 in this Functional Area.</td>
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<td>01.03.01.090</td>
<td>10 CFR 708</td>
<td>Sub.C.708.35</td>
<td>Investigation, Hearing and Decision Process</td>
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<td>How can a party obtain review by the Secretary of Energy of an appeal decision?</td>
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<td>(a) By the 30th day after receiving an appeal decision from the OHA Director, any party may file a petition for Secretarial review with the Office of Hearings and Appeals.</td>
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<td>(b) By the 15th day after filing a petition for Secretarial review, the petitioner must file a statement identifying the issues that it wishes the Secretary to consider. A copy of the statement must be served on the other parties, who may file a response by the 20th day after receipt of the statement. Any response must also be served on the other parties.</td>
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<td>(c) All submissions permitted under this section must be filed with the Office of Hearings and Appeals.</td>
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<td>(d) After a petition for Secretarial review is filed, the Secretary (or his or her delegate) will issue the final agency decision on the complaint. The Secretary will reverse or revise an appeal decision by the OHA Director only under extraordinary circumstances. In the event the Secretary determines that a revision in the appeal decision is appropriate, the Secretary will direct the OHA Director to issue a revised decision which is the final agency action on the complaint.</td>
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<td>Sub.C.708.36</td>
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<td>What remedies for retaliation may be ordered in initial and final agency decisions?</td>
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<td>(a) General remedies. If the initial or final agency decision determines that an act of retaliation has occurred, it may order:</td>
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<td>(1) Reinstatement;</td>
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<td>(2) Transfer preference;</td>
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<td>(3) Back pay;</td>
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<td>(4) Reimbursement of your reasonable costs and expenses, including attorney and expert-witness fees reasonably incurred to prepare for and participate in proceedings leading to the initial or final agency decision; or</td>
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<td>(5) Such other remedies as are deemed necessary to abate the violation and provide you with relief.</td>
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<td>(b) Interim relief. If an initial agency decision contains a determination that an act of retaliation occurred, the decision may order the contractor to provide you with appropriate interim relief (including reinstatement) pending the outcome of any request for review of the decision by the OHA Director. Such interim relief will not include payment of any money.</td>
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<td>01.03.01.092</td>
<td>10 CFR 708</td>
<td>Investigation, Hearing and Decision Process</td>
<td>Facility Specific</td>
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<td>Sub.C.708.38</td>
<td>How is a final agency decision implemented?</td>
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<td>(a) The Head of Field Element having jurisdiction over the contract under which you were employed when the alleged retaliation occurred, or EC Director, will implement a final agency decision by forwarding the decision and order to the contractor, or subcontractor, involved.</td>
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<td>(b) A contractor’s failure or refusal to comply with a final agency decision and order under this regulation may result in a contracting officer’s decision to disallow certain costs or terminate the contract for default. In the event of a contracting officer’s decision to disallow costs or terminate a contract for default, the contractor may file a claim under the disputes procedures of the contract.</td>
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<td>01.03.01.093</td>
<td>10 CFR 708</td>
<td>Investigation, Hearing and Decision Process</td>
<td>Facility Specific</td>
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<td>Sub.C.708.39</td>
<td>Is a decision and order implemented under this regulation considered a claim by the government against a contractor or a decision by the contracting officer under sections 6 and 7 of the Contract Disputes Act?</td>
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<td>No. A final agency decision and order issued pursuant to this regulation is not considered a claim by the government against a contractor or “a decision by the contracting officer” under sections 6 and 7 of the Contract Disputes Act (41 U.S.C. 605 and 606).</td>
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<td>01.03.01.094</td>
<td>10 CFR 708</td>
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<td>Facility Specific</td>
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<td>Sub.C.708.40</td>
<td>Are contractors required to inform their employees about this program?</td>
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<td>Yes. Contractors who are covered by this part must inform their employees about these regulations by posting notices in conspicuous places at the work site. These notices must include the name and address of the DOE office where you can file a complaint under this part.</td>
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<td>01.03.01.095</td>
<td>10 CFR 708</td>
<td>Investigation, Hearing and Decision Process</td>
<td>Facility Specific</td>
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<td>Sub.C.708.43</td>
<td>Does this rule impose an affirmative duty on DOE contractors not to retaliate?</td>
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<td>Yes. DOE contractors may not retaliate against any employee because the employee (or any person acting at the request of the employee) has taken an action listed in Sections 708.5(a)–(c).</td>
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<td>01.03.01.106</td>
<td>DOE0442.2-Chg1</td>
<td>Att.1.[1]</td>
<td>Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor’s compliance with the requirements.</td>
<td>X X X X X X</td>
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| 01.03.01.107             | DOE0442.2-Chg1  | Att.1.1                    | The contractor must:  
1. Ensure that all employees and subcontractor employees are notified annually that they have the right to report environment, safety, and health technical concerns that have not been resolved through routine work processes through the Department of Energy Differing Professional Opinion (DPO) process [the DOE DPO process can be found in Attachment 2 to DOE O 442.2 (found at https://www.directives.doe.gov/directives-documents/400-series/0442.2-BOderW) and at http://energy.gov/ehss/doe-differing-professional-opinions]. The notification must provide points of contact (name, phone number and email addresses of DPO Managers) as listed on the DOE DPO web page, as well as the DOE DPO web page address. | X X X X X X      | X                |
| 01.03.01.108             | DOE0442.2-Chg1  | Att.1.2                    | The contractor must:  
2. Protect employees from reprisal or retaliation for reporting a DPO. | X X X X X X      | X                |
| 01.03.01.109             | DOE0442.2-Chg1  | Att.1.3                    | The contractor must:  
3. Provide employees reasonable time and resources to use the DPO Process. | X X X X X X      | X                |
| 01.03.01.110             | DOE0442.2-Chg1  | Att.1.4                    | The contractor must:  
4. Assist DOE as requested in the resolution of DPOs. | X X X X X X      | X                |
| 01.03.01.111             | DOE0442.2-Chg1  | Att.1.5                    | The contractor must:  
5. Report to the DOE when requested on the status of assigned implementation actions resulting from the DPO resolution and on the closure of these implementation actions. | X X X X X X      | X                |
<p>| 01.03.01.112             | DOE0442.1B      | Att 1.[1]                  | Department of Energy (DOE) and National Nuclear Security Administration contractors that have this Contractor Requirements Document (CRD) incorporated into their contracts are required to maintain an Employee Concerns Program (ECP) in accordance with this CRD. Regardless of the performer of the work, the contractor is responsible for compliance with the requirements of this CRD and for flowing down the requirements to subcontractors at all tiers to the extent necessary to ensure the contractor’s compliance with the CRD’s requirements. | X X X X X X      | X                |</p>
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<td>Radiological</td>
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<tr>
<td>01.03.01.113</td>
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<td>1. Establish and maintain an ECP suitable for the organization to accept, process and resolve employee concerns in a timely manner.</td>
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<td>01.03.01.114</td>
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<td>2. Provide means to inform contractor and subcontractor employees regarding their rights and responsibilities to raise any employee concern related, but not limited to, the environment, safety, health, security, quality, and management of DOE facilities and operations, as well as harassment, intimidation, retaliation/reprisal, or discrimination, to the contractor’s ECP or the DOE ECP.</td>
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<td>01.03.01.115</td>
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<td>3. Cooperate with and assist the DOE ECP Manager and his/her representatives in (i) assessments of the contractor’s ECP program by the DOE ECP Manager, and (ii) the processing of contractor employee concerns that are submitted to the DOE ECP. This includes, but is not limited to, responding to the allegations in the employee concern, and making pertinent information, including relevant documentation, available to the DOE ECP Manager and his/her representatives, as necessary for DOE to address the submitted concern.</td>
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<td>01.03.01.116</td>
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<td>4. Implement corrective actions as directed by the contracting officer or his/her representatives.</td>
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<td>01.03.01.117</td>
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<td>5. Notify the contracting officer when the contractor becomes aware that a contractor employee has filed a formal complaint of retaliation/reprisal, including a complaint submitted pursuant to 10 CFR part 708, DOE Contractor Employee Protection Program; 41 U.S.C. § 4712, Enhancement of Contractor Protection from Reprisal for Disclosure of Certain Information, or a complaint filed with the U.S. Department of Labor under 29 C.F.R. part 24, Procedures for Handling Retaliation Complaints.</td>
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<td>01.03.01.118</td>
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<td>6. At least every six months, or more frequently if requested by the DOE ECP director, provide a summary of employee concerns activity data with respect to the contractor’s ECP to the DOE ECP director and the appropriate DOE ECP Manager, through the Field Office Manager (or Head of Departmental Element, as applicable), or their respective designees.</td>
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<td>01.04.011</td>
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(1) A witness subpoenaed by a DOE Official shall be paid the same fees and mileage as paid to a witness in the district courts of the United States.  
(2) If a subpoena is issued at the request of a person other than an officer or agency of the United States, the witness fees and mileage shall be paid by the person who requested the subpoena. However, at the request of the person, the witness fees and mileage shall be paid by the DOE if the person shows:  
(i) The presence of the subpoenaed witness will materially advance the proceeding; and  
(ii) The person who requested that the subpoena be issued would suffer a serious hardship if required to pay the witness fees and mileage. The DOE Official issuing the subpoena shall make the determination required by this subsection. | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |
| 01.04.013          | 10 CFR 820 Sub.A.820. 8.(g) | General. Evidentiary matters. Enforcement. If any person upon whom a subpoena or SRO is served pursuant to this section, refuses or fails to comply with any provision of the subpoena or SRO, an action may be commenced in the United States District Court to enforce the subpoena or SRO. | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |
| 01.04.014          | 10 CFR 820 Sub.A.820. 8.(h)(1) | General. Evidentiary matters. Certification. Documents produced in response to a subpoena shall be accompanied by the sworn certification, under penalty of perjury, of the person to whom the subpoena was directed or his authorized agent that a diligent search has been made for each document responsive to the subpoena, and to the best of his knowledge, information, and belief all such documents responsive to the subpoena are being produced unless withheld on the grounds of privilege pursuant to paragraph (i) of this section. | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |
| 01.04.015          | 10 CFR 820 Sub.A.820. 8.(h)(2) | General. Evidentiary matters. Certification. Any information furnished in response to an SRO shall be accompanied by the sworn certification under penalty of perjury of the person to whom it was directed or his authorized agent who actually provides the information that to the best of his knowledge, information and belief a diligent effort has been made to provide all information required by the SRO, and all information furnished is true, complete, and correct unless withheld on grounds of privilege pursuant to paragraph (i) of this section. | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |
| 01.04.016          | 10 CFR 820 Sub.A.820. 8.(h)(3) | General. Evidentiary matters. Certification. If any document responsive to a subpoena is not produced or any information required by an SRO is not furnished, the certification shall include a statement setting forth every reason for failing to comply with the subpoena or SRO. | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |
TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<td>01.04.017</td>
<td>10 CFR 820</td>
<td>General. Evidentiary matters. Withheld information. If a person to whom a subpoena or SRO is directed withholds any document or information because of a claim of attorney-client or other privilege, the person submitting the certification required by paragraph (h) of this section also shall submit a written list of the documents or the information withheld indicating a description of each document or information, the date of the document, each person shown on the document as having received a copy of the document, each person shown on the document as having prepared or been sent the document, the privilege relied upon as the basis for withholding the document or information, a memorandum of law supporting the claim of privilege, and an identification of the person whose privilege is being asserted.</td>
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<td>01.04.018</td>
<td>10 CFR 820</td>
<td>General. Evidentiary matters. Statements/testimony. A person whose statement/testimony is recorded may procure a copy of the transcript by making a written request for a copy and paying the appropriate fees. Upon proper identification, any potential witness or his attorney has the right to inspect the official transcript of the witness' own statement or testimony.</td>
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<td>01.04.019</td>
<td>10 CFR 820</td>
<td>General. Evidentiary matters. Attorney. Any person whose statement or testimony is taken may be accompanied, represented and advised by his attorney; provided that, if the witness claims a privilege to refuse to answer a question on the grounds of self-incrimination, the witness must assert the privilege personally.</td>
<td>X X X X X X X X</td>
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<tr>
<td>01.04.020</td>
<td>10 CFR 820</td>
<td>General. Information requirements. Any information pertaining to a nuclear activity provided to DOE by any person or maintained by any person for inspection by DOE shall be complete and accurate in all material respects.</td>
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<tr>
<td>01.04.021</td>
<td>10 CFR 820</td>
<td>General. Information requirements. No person involved in a DOE nuclear activity shall conceal or destroy any information concerning a violation of a DOE Nuclear Safety Requirement, a Nuclear Statute, or the Act.</td>
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<tr>
<td>01.04.022</td>
<td>10 CFR 820</td>
<td>General. Classified, confidential, and controlled information. Obligation to protect restricted information. Nothing in this part shall relieve any person from safeguarding classified, confidential, and controlled information, including Restricted Data or National Security Information, in accordance with the applicable provisions of federal statutes and the rules, regulations, and orders of any federal agency.</td>
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<tr>
<td>01.04.023</td>
<td>10 CFR 820</td>
<td>Enforcement Process. Investigations. Any person may request the Director to initiate an investigation or inspection pursuant to paragraph (a) of this section. A request for an investigation or inspection shall set forth the subject matter or activity to be investigated or inspected as fully as possible and include supporting documentation and information. No particular forms or procedures are required.</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<td>01.04.024</td>
<td>10 CFR 820</td>
<td>Sub.B.820.21.(e)</td>
<td>Enforcement Process. Investigations. During the course of an investigation or inspection any person may submit at any time any document, statement of facts or memorandum of law for the purpose of explaining the person's position or furnish information which the person considers relevant to a matter or activity under investigation or inspection.</td>
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<td>01.04.025</td>
<td>10 CFR 820</td>
<td>Sub.B.820.23.(a)</td>
<td>Enforcement Process. Consent order. Settlement policy. ...The Director and a person may confer at any time concerning settlement. These settlement conferences shall not be open to the public and there shall be no transcript.</td>
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<td>01.04.026</td>
<td>10 CFR 820</td>
<td>Sub.B.820.23.(b)</td>
<td>Enforcement Process. Consent order. ...Notwithstanding any other provision of this Part, DOE may at any time resolve any or all issues in an outstanding enforcement proceeding with a Consent Order. A Consent order must be signed by the Director and the person who is its subject, or a duly authorized representative, must indicate agreement to the terms contained therein and must be filed. A Consent Order need not constitute an admission by any person that the Act or a DOE Nuclear Safety Requirement has been violated, nor need it constitute a finding by the DOE that such person has violated the Act or a DOE Nuclear Safety Requirement. A Consent Order shall, however, set forth the relevant facts which form the basis for the Order and what remedy, if any, is imposed.</td>
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<td>01.04.027</td>
<td>10 CFR 820</td>
<td>Sub.B.820.23.(d)</td>
<td>Enforcement Process. Consent Order. Secretarial review. A Consent Order shall become a Final Order 30 days after it is filed unless the Secretary files a rejection of the Consent Order or a Modified Consent Order. A Modified Consent Order shall become a Final Order if the Director and the person who is its subject sign it within 15 days of its filing.</td>
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<td>01.04.028</td>
<td>10 CFR 820</td>
<td>Sub.B.820.24 (b)</td>
<td>Enforcement Process. Preliminary notice of violation. Within 30 days after the filing of a Preliminary Notice of Violation, the respondent shall file a reply.</td>
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<td>01.04.029</td>
<td>10 CFR 820</td>
<td>Sub.B.820.24.(c)</td>
<td>Enforcement Process. Preliminary notice of violation. The reply shall be in writing and signed by the person filing it. The reply shall contain a statement of all relevant facts pertaining to the situation that is the subject of the Notice. The reply shall state any facts, explanations and arguments which support a denial that a violation has occurred as alleged; demonstrate any extenuating circumstances or other reason why the proposed remedy should not be imposed or should be mitigated; and furnish full and complete answers to the questions set forth in the Notice. Copies of all relevant documents shall be submitted with the reply. The reply shall include a discussion of the relevant authorities which support the position asserted, including rulings, regulations, interpretations, and previous decisions issued by DOE.</td>
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<td>01.04.030</td>
<td>10 CFR 820</td>
<td>Sub.B.820.24.(d)</td>
<td>Enforcement Process. Preliminary notice of violation. The respondent may terminate an enforcement action if the reply agrees to comply with the proposed remedy and waives any right to contest the Notice or the remedy. If a respondent elects this option, the Preliminary Notice of Violation shall be deemed a Final Order upon the filing of the reply.</td>
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<td>01.04.031</td>
<td>10 CFR 820</td>
<td>Sub.B.820.25.(b)(2)</td>
<td>Enforcement Process. Preliminary notice of violation. Effect of final notice. If a Final Notice of Violation contains a civil penalty, the respondent must file within 30 days after the filing of the Final Notice: (i) A waiver of further proceedings; (ii) A request for an on-the-record adjudication; or (iii) A notice of intent to seek judicial review.</td>
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<td>01.04.032</td>
<td>10 CFR 820</td>
<td>Sub.B.820.25.(c)</td>
<td>Enforcement Process. Preliminary notice of violation. Effect of waiver. If a respondent waives further proceedings, the Final Notice of Violation shall be deemed a Final Order enforceable against the respondent. The respondent must pay any civil penalty set forth in the Notice of Violation within 60 days of the filing of waiver unless the Director grants additional time.</td>
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<td>01.04.033</td>
<td>10 CFR 820</td>
<td>Sub.B.820.25.(d)</td>
<td>Enforcement Process. Preliminary notice of violation. Effect of request. If a respondent files a request for an on-the-record adjudication, then an enforcement adjudication commences.</td>
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<td>01.04.034</td>
<td>10 CFR 820</td>
<td>Sub.B.820.25 (c)</td>
<td>Enforcement Process. Preliminary notice of violation. Effect of notice of intent. If a respondent files a Notice of Intent, the Final Notice of Violation shall be deemed a Final Order enforceable against the respondent.</td>
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<td>01.04.035</td>
<td>10 CFR 820</td>
<td>Sub.B.820.27.(a)</td>
<td>Enforcement Process. Answer. General. If a respondent files a request for an on-the-record adjudication pursuant to Section 820.25, a written answer to the Final Notice of Violation shall be filed at the same time the request is filed.</td>
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<td>01.04.036</td>
<td>10 CFR 820</td>
<td>Sub.B.820.27.(b)</td>
<td>Enforcement Process. Answer. Contents of the Answer. The answer shall clearly and directly admit, deny or explain each of the factual allegations contained in the Final Notice of Violation with regard to which respondent has any knowledge, information or belief. Where respondent has no knowledge, information or belief of a particular factual allegation and so states, the allegation is deemed denied. The answer shall also state the circumstance or argument that is alleged to constitute the grounds of defense and the facts that respondent intends to place at issue.</td>
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<td>01.04.037</td>
<td>10 CFR 820</td>
<td>Sub.B.820.27.(d)</td>
<td>Enforcement Process. Answer. Amendment of the answer. The respondent may amend the answer to the Final Notice of Violation upon motion granted by the Presiding Officer.</td>
<td>X X X X X X</td>
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<td>S/RID Requirement Number</td>
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<td><strong>Enforcement Process. Prehearing actions. Exchange of witness lists and documents. Unless otherwise ordered by the Presiding Officer, at least five (5) days before any prehearing conference, each party shall make available to all other parties, as appropriate, the names of the expert and other witnesses it intends to call, together with a brief narrative summary of their expected testimony, and copies of all documents and exhibits that each party intends to introduce into evidence. Documents and exhibits shall be marked for identification as ordered by the Presiding officer. Documents that have not been exchanged and witnesses whose names have not been exchanged shall not be introduced into evidence or allowed to testify without permission of the Presiding Officer. The Presiding Officer shall allow the parties reasonable opportunity to review new evidence.</strong></td>
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<td>01.04.038</td>
<td>10 CFR 820</td>
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<td><strong>Enforcement Process. Prehearing actions. Other discovery. Any party to the proceeding desiring an order to take further discovery shall make a motion therefor. Such a motion shall set forth: (i) The circumstances warranting the taking of the discovery; (ii) The nature of the information expected to be discovered; and (iii) The proposed time and place where it will be taken. If the Presiding Officer determines that the motion should be granted, he shall issue an order for the taking of such discovery together with the conditions and terms thereof.</strong></td>
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<td>01.04.039</td>
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<td><strong>Enforcement Process. Prehearing actions. Other discovery. When the information sought to be obtained is within the control of one of the parties, failure to comply with an order issued pursuant to this paragraph may lead to the inference that the information to be discovered would be adverse to the party from whom the information was sought, or the issuance of a default order under 820.38.</strong></td>
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<td>10 CFR 820</td>
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<td><strong>Enforcement Process. Hearing. Subpoenas. The attendance of witnesses or the production of documentary evidence may be required by subpoena.</strong></td>
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<td>01.04.041</td>
<td>10 CFR 820</td>
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## TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Reqt Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.04.042</td>
<td>10 CFR 820</td>
<td>Sub.B.820.29 (c)</td>
<td>Enforcement Process. Hearing. Examination of witnesses. There shall be no direct oral testimony by witnesses, except as permitted by the Presiding Officer. In lieu of oral testimony, the Presiding Officer shall admit into the record as evidence verified written statements of fact or opinion prepared by a witness. The admissibility of the evidence contained in the statement shall be subject to the same rules as if the testimony were produced under oral examination. Before any such statement is read or admitted into evidence, the witness shall have delivered a copy of the statement to the Presiding Officer and the opposing counsel not less than 10 days prior to the date the witness is scheduled to testify. The witness presenting the statement shall swear or affirm that the statement is true and accurate to the best of his knowledge, information, and belief and shall be subject to appropriate oral cross-examination upon the contents thereof provided such cross-examination is not unduly repetitious.</td>
<td>Nuclear HC-1,2,3</td>
<td>X X X X X</td>
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<tr>
<td>01.04.043</td>
<td>10 CFR 820</td>
<td>Sub.B.820.29.(d)</td>
<td>Enforcement Process. Hearing. Burden of presentation; burden of persuasion. The Director has the burden of going forward with and of proving that the violation occurred as set forth in the Notice of Violation and that the proposed civil penalty is appropriate. Following the establishment of a prima facie case, respondent shall have the burden of presenting and of going forward with any defense to the allegations set forth in the Notice of Violation. Each matter of controversy shall be determined by the Presiding Officer upon a preponderance of the evidence.</td>
<td>Nuclear HC-1,2,3</td>
<td>X X X X X</td>
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<tr>
<td>01.04.044</td>
<td>10 CFR 820</td>
<td>Sub.B.820.30.</td>
<td>Enforcement Process. Post-hearing filings. Within fifteen days after the filing of the transcript of the hearing, or within such longer time as may be fixed by the Presiding Officer, any party may file for the consideration of the Presiding Officer, proposed findings of fact, conclusions of law, and a proposed order, together with briefs in support thereof. Reply briefs may be filed within ten days of the filing of briefs. All filings shall be in writing, shall be served upon all parties, and shall contain adequate references to the record and authorities relied on.</td>
<td>Nuclear HC-1,2,3</td>
<td>X X X X X</td>
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<tr>
<td>01.04.045</td>
<td>10 CFR 820</td>
<td>Sub.B.820.31.(a)[2]</td>
<td>Enforcement Process. Initial decision. ...A party may file comments on an Initial Decision within fifteen days of its filing.</td>
<td>Nuclear HC-1,2,3</td>
<td>X X X X X</td>
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<tr>
<td>01.04.046</td>
<td>10 CFR 820</td>
<td>Sub.B.820.32.(c)</td>
<td>Enforcement Process. Initial Decision. Payment of a civil penalty. The respondent shall pay the full amount of any civil penalty assessed in the Final Order within thirty (30) days after the Final Order is filed unless otherwise agreed by the parties.</td>
<td>Nuclear HC-1,2,3</td>
<td>X X X X X</td>
</tr>
<tr>
<td>01.04.047</td>
<td>10 CFR 820</td>
<td>Sub.B.820.33.(a)[2]</td>
<td>Enforcement Process. Default order. Default. The alleged defaulting party shall have ten days to answer the motion or the Notice of Intent.</td>
<td>Nuclear HC-1,2,3</td>
<td>X X X X X</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<td><strong>Nuclear HC-1,2,3</strong></td>
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<td><strong>Radiological</strong></td>
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<td><strong>Other Industrial</strong></td>
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<tr>
<td>01.04.048</td>
<td>10 CFR 820</td>
<td>Sub.B.820.35.</td>
<td>Enforcement Process. Ex Parte Discussions. At no time after a respondent has requested an on-the-record adjudication of the assessment of a civil penalty shall a DOE Official, or any person who is likely to advise a DOE Official in the decision on the case, discuss ex parte the merits of the proceeding with any interested person outside DOE, with any DOE staff member who performs a prosecutorial or investigative function in such proceeding or a factually related proceeding, or with any representative of such person. Any ex parte memorandum or other communication addressed to a DOE Official during the pendency of the proceeding and relating to the merits thereof, by or on behalf of any party shall be regarded as argument made in the proceeding and shall be served upon all other parties. Any oral communication shall be set forth in a written memorandum and served on all other parties. The other parties shall be given an opportunity to reply to such memorandum or communication.</td>
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<td>01.04.049</td>
<td>10 CFR 820</td>
<td>Sub.B.820.36.(a)</td>
<td>Enforcement Process. Filing, form, and service of documents. Filing in an enforcement proceeding. The original and three copies of any document in an enforcement proceeding shall be filed with the Docketing Clerk commencing with the filing of a Preliminary Notice of Violation.</td>
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<td>01.04.050</td>
<td>10 CFR 820</td>
<td>Sub.B.820.36.(b)</td>
<td>Enforcement Process. Filing, form, and service of documents. Form of documents in an enforcement proceeding. (1) Except as provided herein, or by order of the DOE Official, there are no specific requirements as to the form of documents filed in an enforcement proceeding. (2) The first page of every document shall contain a caption identifying the respondent and the docket number. (3) The original of any document (other than exhibits) shall be signed by the person filing it or by his counsel or other representative. The signature constitutes a representation by the signer that he has read the pleading, letter or other document, that to the best of his knowledge, information and belief, the statements made therein are true, and that it is not interposed for delay. (4) The initial document filed by any person shall contain his name, address and telephone number. Any changes in this information shall be communicated promptly to the Docketing Clerk and all participants to the proceeding. A person who fails to furnish such information and any changes thereto shall be deemed to have waived his right to notice and service under this part. (5) The Docketing Clerk may refuse to file any document that does not comply with this section. Written notice of such refusal, stating the reasons therefor, shall be promptly given to the person submitting the document. Such person may amend and resubmit any document refused for filing.</td>
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<td>S/RID Requirement Number</td>
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<td>01.04.051</td>
<td>10 CFR 820</td>
<td>Sub.B.820.37.(a)</td>
<td>Enforcement Process. Participation in an adjudication. Parties. In an enforcement adjudication, the Director and the respondent shall be the only parties; provided that the Presiding Officer may permit a person to intervene as a party if the person demonstrates it could be liable in the event a civil penalty is assessed.</td>
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<td>01.04.052</td>
<td>10 CFR 820</td>
<td>Sub.B.820.37.(b)</td>
<td>Enforcement Process. Participation in an adjudication. Appearances. Any party to an enforcement adjudication may appear in person or by counsel or other representative. A partner may appear on behalf of a partnership and an officer may appear on behalf of a corporation. Persons who appear as counsel or other representative must conform to the standards of conduct and ethics required of practitioners before the courts of the United States.</td>
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<td>01.04.053</td>
<td>10 CFR 820</td>
<td>Sub.B.820.37.(c)</td>
<td>Enforcement Process. Participation in an adjudication. Amicus Curiae. Persons not parties to an enforcement adjudication who wish to file briefs may so move. The motion shall identify the interest of the person and shall state the reasons why the proposed amicus brief is desirable. If the motion is granted, the Presiding Officer shall issue an order setting the time for filing such brief. An amicus curiae is eligible to participate in any briefing after his motion is granted, and shall be served with all briefs, reply briefs, motions, and orders relating to issues to be briefed.</td>
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<td>01.04.054</td>
<td>10 CFR 820</td>
<td>Sub.B.820.39.(a)</td>
<td>Enforcement Process. Motions. General. All motions in an enforcement adjudication except those made orally, shall be in writing, state the grounds therefor with particularity, set forth the relief or order sought, and be accompanied by any affidavit, certificate, other evidence, or legal memorandum relied upon.</td>
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<td>01.04.055</td>
<td>10 CFR 820</td>
<td>Sub.B.820.39.(b)</td>
<td>Enforcement Process. Motions. Answer to motions. Except as otherwise specified by a particular provision of this Part or by the Presiding Officer, a party shall have the right to file a written answer to the motion of another party within 10 days after the filing of such motion. The answer shall be accompanied by any affidavit, certificate, other evidence, or legal memorandum relied upon. If no answer is filed within the designated period, the party may be deemed to have waived any objection to the granting of the motion. The Presiding Officer may set a shorter or longer time for an answer, or make such other orders concerning the disposition of motions as he deems appropriate.</td>
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<td>01.04.056</td>
<td>10 CFR 820</td>
<td>Sub.C.820.43</td>
<td>Compliance Orders. Appeal. Within fifteen days of the issuance of a Compliance Order, the recipient of the Order may request the Secretary to rescind or modify the Order. A request shall not stay the effectiveness of a Compliance Order unless the Secretary issues an order to that effect.</td>
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<td>S/RID Requirement Number</td>
<td>Source Document</td>
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<td>01.04.057</td>
<td>10 CFR 820</td>
<td>Exemption Relief. Appeal. Within fifteen (15) days of the filing of an exemption decision by a Secretarial Officer, the person requesting the exemption may file a Request to Review with the Secretary. or the Secretary may file, sua sponte, a Notice of Review. The Request to Review shall state specifically the respects in which the exemption determination is claimed to be erroneous, the grounds of the request, and the relief requested.</td>
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<td>01.04.058</td>
<td>10 CFR 820</td>
<td>Criminal Penalties. Standard. If a person subject to the Act or the DOE Nuclear Safety Requirements has, by act or omission, knowingly and willfully violated, caused to be violated, attempted to violate, or conspired to violate any section of the Act or any applicable DOE Nuclear Safety Requirement, the person shall be subject to criminal sanctions under the Act.</td>
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<td>01.04.108</td>
<td>10 CFR 830</td>
<td>Scope. This part governs the conduct of DOE contractors, DOE personnel, and other persons conducting activities (including providing items and services) that affect, or may affect, the safety of DOE nuclear facilities.</td>
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<td>01.04.109</td>
<td>10 CFR 830</td>
<td>Exclusions. This Part does not apply to: (a) Activities that are regulated through a license by the Nuclear Regulatory Commission (NRC) or a State under an Agreement with the NRC, including activities certified by the NRC under section 1701 of the Atomic Energy Act (Act); (b) Activities conducted under the authority of the Director, Naval Nuclear Propulsion, pursuant to Executive Order 12344, as set forth in Public Law 106-65; (c) Transportation activities which are regulated by the Department of Transportation; (d) Activities conducted under the Nuclear Waste Policy Act of 1982, as amended; and any facility identified under section 202(5) of the Energy Regulation Act of 1974, as amended; and (e) Activities related to the launch approval and actual launch of nuclear energy systems into space.</td>
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<td>01.04.110</td>
<td>10 CFR 830</td>
<td>Definitions Terms defined in the Act or in 10 CFR Part 820 and not defined in this section of the rule are to be used consistent with the meanings given in the Act or in 10 CFR Part 820.</td>
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<tr>
<td>01.04.111</td>
<td>10 CFR 830</td>
<td>General requirements. No person may take or cause to be taken any action inconsistent with the requirements of this part.</td>
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<td>S/RID Requirement Number</td>
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<tr>
<td>01.04.112</td>
<td>10 CFR 830</td>
<td>830.4.(b)</td>
<td>General requirements. A contractor responsible for a nuclear facility must ensure implementation of, and compliance with, the requirements of this part.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.04.113</td>
<td>10 CFR 830</td>
<td>830.4.(c)</td>
<td>General requirements. The requirements of this part must be implemented in a manner that provides reasonable assurance of adequate protection of workers, the public, and the environment from adverse consequences, taking into account the work to be performed and the associated hazards.</td>
<td>X</td>
<td>X</td>
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<tr>
<td>01.04.114</td>
<td>10 CFR 830</td>
<td>830.5</td>
<td>Enforcement. The requirements in this part are DOE Nuclear Safety Requirements and are subject to enforcement by all appropriate means, including the imposition of civil and criminal penalties in accordance with the provisions of 10 CFR Part 820.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.04.115</td>
<td>10 CFR 830</td>
<td>830.6</td>
<td>Recordkeeping. A contractor must maintain complete and accurate records as necessary to substantiate compliance with the requirements of this part.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.04.116</td>
<td>10 CFR 830</td>
<td>830.7</td>
<td>Graded approach. Where appropriate, a contractor must use a graded approach to implement the requirements of this part, document the basis of the graded approach used, and submit that documentation to DOE. The graded approach may not be used in implementing the unreviewed safety question (USQ) process or in implementing technical safety requirements.</td>
<td>X</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<td>Radiological</td>
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<td>High Hazard Chemical</td>
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<td>Low Hazard Chemical</td>
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<td>Other Industrial</td>
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<td>Facility Specific</td>
<td>X</td>
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<td>Common</td>
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<tr>
<td>01.04.155</td>
<td>DOE251.1D</td>
<td>Req. 1.a</td>
<td>DIRECTIVES MANAGEMENT</td>
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</table>

[Note: No current DOE-HQ guidance exists for S/RID revision and maintenance. The steps below provide the DOE-SR direction to be followed by the contractor when it becomes necessary to revise the S/RID and non-Environment, Safety, and Health (ES&H) list. This S/RID requirement delineates the process of implementing a new/revised directive/source document/requirement (hereinafter referred to as: directive) once it is considered incorporated into List B.]

Upon receipt of a new or revised directive from DOE-SR by Contract Administrator Notice (CAN), the contractor confirms applicability and, if so, determines if the directive is ES&H related or non-ES&H.

1. For ES&H directives, the contractor (Note 1) shall:

   a. review the directive; assess the effect of the contractor's compliance with the directive on contract cost and funding, technical performance, and schedule; and identify any potential inconsistencies between the directive and the other terms and conditions of the contract.

   b. formally provide the assessment results to DOE-SR within 30 (Note 2) calendar days of the CAN receipt. Once the directive is deemed by both parties to be applicable and is accepted by the contractor for implementation, it shall be considered hereby incorporated in List B, which will be formally revised at a later date via formal contract modification. Implementation shall be subject to the availability of funds or appropriate baseline revision(s) and in accordance with S/RID requirement 01.04.155.

   c. submit a draft S/RID change package (CP) for DOE-SR review within 60 (Note 2) calendar days of the CAN receipt and, following comment resolution, formally provide the final S/RID CP to DOE-SR for approval within 15 (Note 2) calendar days.

   Within 60 (Note 2) calendar days of the S/RID CP approval by DOE-SR:
   d. if fully compliant, formally provide DOE-SR a Compliance Assessment and Implementation Report (CAIR) for the applicable requirements in the directive and update the S/RID database.
   or
   e. if not fully compliant, provide DOE-SR an initial CAIR. For noncompliances that can be resolved in 120 (Note 2) calendar days, no further action is necessary other than tracking, revising the CAIR, and formally notifying DOE-SR at completion.
### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

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<tr>
<td>01.04.155</td>
<td>DOE0251.1D</td>
<td>DIRECTIVES MANAGEMENT (cont.)</td>
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<td>Requirement Text</td>
<td>2. For non-ES&amp;H directives, the contractor (Note 1) shall:</td>
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<td>a. review the directive; assess the effect of the contractor's compliance with</td>
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<td>the directive on contract cost and funding, technical performance, and</td>
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<td>schedule; and identify any potential inconsistencies between the directive</td>
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<td>and the other terms and conditions of the contract.</td>
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<td>b. formally provide the assessment results to DOE-SR within 30 (Note 2)</td>
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<td>calendar days of the CAN receipt. Once the directive is deemed by both</td>
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<td>parties to be applicable and is accepted by the contractor for</td>
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<td>implementation, it shall be considered hereby incorporated in List B, which</td>
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<td>will be formally revised at a later date via formal contract modification.</td>
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<td>Implementation shall be subject to the availability of funds or appropriate</td>
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<td>baseline revision(s) and in accordance with S/RID requirement 01.04.155.</td>
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<td>Within 120 (Note 2) calendar days of the CAN response:</td>
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<td>c. if fully compliant, formally provide DOE-SR a CAIR for the applicable</td>
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<td>requirements in the directive and update the S/RID database.</td>
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<td>or</td>
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<td>d. if not fully compliant, provide DOE-SR an initial CAIR. For noncompliances</td>
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<td>that can be resolved in 120 (Note 2) calendar days, no further action is</td>
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<td>necessary other than tracking, revising the CAIR, and</td>
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<td>formally notifying DOE-SR at completion.</td>
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<td>3. Upon determination that a noncompliance cannot be resolved in 120</td>
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<td>(Note 2) calendar days, the contractor shall submit to DOE-SR for approval,</td>
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<td>within the above 120 (Note 2) calendar days (Note 3), an implementation</td>
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<td>plan (IP), permanent exemption (PE), or other noncompliance response, as</td>
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<td>allowed by the directive.</td>
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<td>For noncompliances that can be resolved in less than 36 (Note 2) months, the</td>
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<td>contractor shall submit an IP to DOE-SR for approval containing the</td>
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<td>following information:</td>
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<td>- identification of the specific requirements which are not in compliance,</td>
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<td></td>
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<td>- actions to be completed necessary to attain compliance,</td>
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<tr>
<td></td>
<td></td>
<td>- organization responsible for completion of these actions,</td>
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<td></td>
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<td>- schedule for completion of these actions:</td>
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<td></td>
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<td>- any interim actions necessary to mitigate risks associated with</td>
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<td></td>
<td></td>
<td>noncompliance while the actions necessary to attain compliance are being</td>
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<tr>
<td></td>
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<td>completed,</td>
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<td></td>
<td></td>
<td>- identification and justification of the acceptance of any additional risks</td>
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<td></td>
<td></td>
<td>that will be incurred while attaining compliance.</td>
</tr>
</tbody>
</table>

**SRR Applicability**

<table>
<thead>
<tr>
<th>Nuclear</th>
<th>Radiological</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
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<tbody>
<tr>
<td>X</td>
<td>X</td>
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<td>X</td>
<td>X</td>
<td>(-) SU(ABC)</td>
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**Phase I Compliance**

<table>
<thead>
<tr>
<th>Facilities</th>
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<tr>
<td>X</td>
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<tr>
<td>S/RID Requirement Number</td>
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<tr>
<td>--------------------------</td>
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<tr>
<td>01.04.155</td>
</tr>
</tbody>
</table>

4. If compliance cannot be attained within 36 (Note 2) months from the CAN receipt, the contractor shall prepare an equivalency, temporary exemption or PE request, in accordance with S/RID requirement 01.04.156, and forward to DOE-SR for approval before the 36 (Note 2) months have elapsed.

5. For all noncompliances identified in items 3 and 4 above, the contractor shall:

a. utilize a formal tracking plan to identify each noncompliance (as appropriate), the status of the corrective actions, associated requirements, completion dates, and DOE-SR approval date.

b. prepare an annual list of outstanding noncompliances, action items, due dates, and DOE-SR approval dates and forwards to DOE-SR contracting officer by end of fiscal year. (Tracking of permanently approved noncompliances is not required.)

c. provide notification to DOE-SR at the completion of any outstanding action item that obtains compliance.

6. Notwithstanding the above requirements, it is expected that the contractor will remain cognizant of directives and consensus standards that may warrant a change to the S/RID either from newly issued or revised directives or standards.

MODIFICATIONS:
Requirements will be incorporated verbatim from the directive. Modifications shall be formally approved by DOE-SR and indicated by a NOTE appended to each requirement that describes the modification and references the DOE-SR approval.

LIST B:
The contractor will submit an updated draft List B to DOE-SR semi-annually at a minimum. The schedule will be coordinated with DOE-SR.
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Reqt Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Nuclear HC-1,2,3</td>
<td>Radiological</td>
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<td></td>
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<td></td>
<td>High Hazard Chemical</td>
<td>Low Hazard Chemical</td>
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<td>Other Industrial</td>
<td>Facility Specific</td>
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<td>Common</td>
<td>Facility Specific</td>
</tr>
<tr>
<td>01.04.155</td>
<td>DOE0251.1D</td>
<td>Req. 1.d</td>
<td>DIRECTIVES MANAGEMENT (cont.)</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Notes:
1. Administrative changes will be incorporated by the contractor and forwarded to DOE-SR for information.
2. Alternate schedules must be communicated, justified, documented, and approved by DOE-SR.
3. Certain Codes of Federal Regulation (CFRs) allow for temporary and permanent variances. In these cases, the CFR requirements are to be followed in lieu of the requirements herein. For noncompliances that present an undue risk, the contractor takes immediate action to mitigate the risk.
### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req Number</th>
<th>Requirement Text</th>
<th>Nuclear HC-1,2,3</th>
<th>Radiological</th>
<th>High Hazard Chemical</th>
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<th>Other Industrial</th>
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<th>Phase I Compliance</th>
</tr>
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<tbody>
<tr>
<td>01.04.156</td>
<td>DOE0251.1D</td>
<td>Req. 2.a</td>
<td>EQUIVALENCY AND EXEMPTION PROCESS</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>(-) SU(ABC)</td>
<td>X</td>
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</tbody>
</table>

(Note: The steps below provide the DOE-SR direction to be followed by the contractor when it becomes necessary to submit to DOE-SR for approval a request for equivalency or exemption.)

When an organization seeks an equivalency or exemption, the responsible Head of the Departmental Element or designee may grant an equivalency or exemption to the requirements in a DOE directive after seeking advice from the Offices of Primary Interest (OPI). Organizations should make full use of exemptions and equivalencies, as appropriate, to avoid unnecessary burden. Central Technical Authority (CTA) concurrence, through their relevant Directives Review Board (DRB) member, is required prior to the granting of equivalencies or exemptions for nuclear safety directives identified in the current version of DOE O 410.1, Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements.

Unless specified otherwise in the directive, the following process must be used to obtain equivalencies and exemptions.

1. The organization seeking the equivalency or exemption must communicate to DOE-SR their intent to submit an equivalency or exemption prior to the submission. The organization seeking the equivalency or exemption must include the following information in the exemption/equivalency request and obtain advice from DOE-SR before submitting the request. DOE-SR will formally submit the request to the Head of the Departmental Element for approval. The content of the memorandum must:
   - a. identify the requirement(s) for which the equivalency/exemption is being sought;
   - b. explain the equivalency/exemption;
   - c. justify the reasons for the equivalency/exemption;
   - d. identify the offices or sites for which the equivalency/exemption is being sought;
   - e. confirm that the application of the exemption or equivalency does not conflict with applicable federal law or regulations;
   - f. indicate when compliance will be achieved in cases of an equivalency;
   - g. describe any alternative or mitigating actions, to include associated risks, that have been or will be taken to ensure adequate protection of the public, workers, and the environment for the period during which the exemption will be effective, when applicable; and
   - h. describe conclusions and recommendations from the OPI review of the exemption/equivalency and resolution of recommendations.)

X X X X X (-) SU(ABC) X
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
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<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
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<td>01.04.156</td>
<td>DOEO251.1D</td>
<td>Req. 2.b</td>
<td>EQUIVALENCY AND EXEMPTION PROCESS (cont.)</td>
<td>X X X X X (-) SU(ABC)</td>
<td>X</td>
</tr>
</tbody>
</table>
### Functional Area: MANAGEMENT SYSTEMS

#### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
</table>
(a) A contractor that is indemnified under section 170d. of the AEA (or any subcontractor or supplier thereto) and that violates (or whose employee violates) any requirement of this part shall be subject to a civil penalty of up to $70,000 for each such violation. If any violation under this subsection is a continuing violation, each day of the violation shall constitute a separate violation for the purpose of computing the civil penalty.  
(b) A contractor that violates any requirement of this part may be subject to a reduction in fees or other payments under a contract with DOE, pursuant to the contract’s Conditional Payment of Fee clause, or other contract clause providing for such reductions.  
(c) DOE may not penalize a contractor under both paragraphs (a) and (b) of this section for the same violation of a requirement of this part.  
(d) For contractors listed in subsection d. of section 234A of the AEA, 42 U.S.C. 2282a(d), the total amount of civil penalties under paragraph (a) and contract penalties under paragraph (b) of this section may not exceed the total amount of fees paid by DOE to the contractor in that fiscal year.  
(e) DOE shall not penalize a contractor under both sections 234A and 234C of the AEA for the same violation.  
(f) DOE enforcement actions through civil penalties under paragraph (a) of this section start on February 9, 2007.  
Note: This requirement contains DOE actions but is included here for clarity and completeness. |

<table>
<thead>
<tr>
<th>Nuclear HC-1,2,3</th>
<th>Radiological</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
<th>Common</th>
<th>Facility Specific</th>
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<tbody>
<tr>
<td>X</td>
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<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Source Document Reqd Number</td>
<td>Requirement Text</td>
<td>SRR Applicability</td>
<td>Phase I Compliance</td>
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<tr>
<td>01.04.159</td>
<td>10 CFR 851</td>
<td>Sub.A.851.6</td>
<td>General Provisions Petitions for generally applicable rulemaking. (a) Right to file. Any person may file a petition for generally applicable rulemaking to amend or interpret provisions of this part. (b) How to file. Any person who wants to file a petition for generally applicable rulemaking pursuant to this section must file by mail or messenger in an envelope addressed to the Office of General Counsel, GC-1, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585. (c) Content of rulemaking petitions. A petition under this section must: (1) Be labeled “Petition for Rulemaking Under 10 CFR 851;” (2) Describe with particularity the provision of this part to be amended and the text of regulatory language to be added; and (3) Explain why, if relevant, DOE should not choose to make policy by precedent through adjudication of petitions for assessment of civil penalty. (d) Determinations upon rulemaking petitions. After considering the petition and other information DOE deems relevant, DOE may grant the petition and issue an appropriate rulemaking notice, or deny the petition because the rule being sought: (1) Would be inconsistent with statutory law; (2) Would establish a generally applicable policy in a subject matter area that should be left to case-by-case determinations; or (3) For other good cause. Note: This requirement contains DOE actions but is included here for clarity and completeness.</td>
<td>X</td>
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</table>
## Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

<table>
<thead>
<tr>
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<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>10 CFR 851</td>
<td>Sub.A.851.7</td>
<td>General Provisions Requests for a binding interpretative ruling.</td>
<td>X X X X X X</td>
<td>X</td>
</tr>
<tr>
<td>01.04.160</td>
<td></td>
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<td>(a) Right to file. Any person subject to this part shall have the right to file a request for an interpretive ruling that is binding on DOE with regard to a question as to how the regulations in this part would apply to particular facts and circumstances.</td>
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<td>(b) How to file. Any person who wants to file a request under this section must file by mail or messenger in an envelope addressed to the Office of General Counsel, GC–1, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585.</td>
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<td>(c) Content of request for interpretive ruling. A request under this section must:</td>
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<td>(1) Be in writing;</td>
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<td>(2) Be labeled “Request for Interpretive Ruling Under 10 CFR 851;”</td>
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<td>(3) Identify the name, address, telephone number, e-mail address, and any designated representative of the person filing the request;</td>
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<td>(4) State the facts and circumstances relevant to the request;</td>
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<td>(5) Be accompanied by copies of relevant supporting documents if any;</td>
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<td>(6) Specifically identify the pertinent regulations and the related question on which an interpretive ruling is sought; and</td>
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<td>(7) Include explanatory discussion in support of the interpretive ruling being sought.</td>
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<td>(d) Public comment. DOE may give public notice of any request for an interpretive ruling and provide an opportunity for public comment.</td>
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<td></td>
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<td></td>
<td>(e) Opportunity to respond to public comment. DOE may provide an opportunity to any person who requests an interpretive ruling to respond to public comments relating to the request.</td>
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</tbody>
</table>
### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

<table>
<thead>
<tr>
<th>Requirement Number</th>
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<th>Requirement Text</th>
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<th>Phase I Compliance</th>
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<tr>
<td>01.04.160</td>
<td>10 CFR 851</td>
<td>General Provisions</td>
<td>X X X X X X X X</td>
<td>X</td>
</tr>
</tbody>
</table>

(continuation)

(f) Other sources of information. DOE may:

(1) Conduct an investigation of any statement in a request;
(2) Consider any other source of information in evaluating a request for an interpretive ruling; and
(3) Rely on previously issued interpretive rulings with addressing the same or a related issue.

(g) Informal conference. DOE may convene an informal conference with the person requesting the interpretive ruling.

(h) Effect of interpretive ruling. Except as provided in paragraph (i) of this section, an interpretive ruling under this section is binding on DOE only with respect to the person who requested the ruling.

(i) Reliance on interpretive ruling. If DOE issues an interpretive ruling under this section, then DOE may not subject the person who requested the ruling to an enforcement action for civil penalties for actions reasonably taken in reliance on the ruling, but a person may not act in reliance on an interpretive ruling that is administratively rescinded or modified after opportunity to comment, judicially invalidated, or overruled by statute or regulation.

(j) Denial of requests for an interpretive ruling. DOE may deny a request for an interpretive ruling if DOE determines that:

(1) There is insufficient information upon which to base an interpretive ruling;
(2) The interpretive question posed should be treated in a general notice of proposed rulemaking;
(3) There is an adequate procedure elsewhere in this part for addressing the interpretive question such as a petition for variance; or
(4) For other good cause.

(k) Public availability of interpretive rulings. For information of interested members of the public, DOE may file a copy of interpretive rulings on a DOE internet web site.

Note: This requirement contains DOE actions but is included here for clarity and completeness.
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
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<th>Requirement Text</th>
<th>SRR Applicability</th>
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</tr>
</thead>
</table>
Informal requests for information.
(a) Any person may informally request information under this section as to how to comply with the requirements of this part, instead of applying for a binding interpretive ruling under paragraph 851.7. DOE responses to informal requests for information under this section are not binding on DOE and do not preclude enforcement actions under this part.
(b) Inquiries regarding the technical requirements of the standards required by this part must be directed to the Office of Health, Safety and Security, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585.
(c) Information regarding the general statement of enforcement policy in the appendix to this part must be directed to the Office of Health, Safety and Security, Office of Enforcement, HS–40, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585. | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |

Notes:
1. This requirement contains DOE actions but is included here for clarity and completeness.
2. Paragraph 851.7 is provided as S/RID requirement 01.04.160 in this Functional Area.

| 01.04.162 | 10 CFR 851 Sub.C.851.24 | Functional areas.
(a) Contractors must have a structured approach to their worker safety and health program which at a minimum, include provisions for the following applicable functional areas in their worker safety and health program: construction safety; fire protection; firearms safety; explosives safety; pressure safety; electrical safety; industrial hygiene; occupational medicine; biological safety; and motor vehicle safety.
(b) In implementing the structured approach required by paragraph (a) of this section, contractors must comply with the applicable standards and provisions in Appendix A of this part, entitled “Worker Safety and Health Functional Areas.” | Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific | X X X X X X X |
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
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</tr>
</thead>
<tbody>
<tr>
<td>01.04.163</td>
<td>10 CFR 851</td>
<td>Sub.D.851.30</td>
<td>Variances</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Consideration of variances.

(a) Variances shall be granted by the Under Secretary after considering the recommendation of the Chief Health, Safety and Security Officer. The authority to grant a variance cannot be delegated.

(b) The application must satisfy the requirements for applications specified in Paragraph 851.31.

Notes:

1. This requirement contains DOE actions but is included here for clarity and completeness.
2. Paragraph 851.31 is provided as S/RID requirement number 01.04.164 in this Functional Area.
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
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<th>Requirement Text</th>
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</thead>
<tbody>
<tr>
<td>01.04.164</td>
<td>10 CFR 851</td>
<td>Variance process.</td>
</tr>
</tbody>
</table>

(a) Application. Contractors desiring a variance from a safety and health standard, or portion thereof, may submit a written application containing the information in paragraphs (c) and (d) of this section to the appropriate CSO.

(1) The CSO may forward the application to the Chief Health, Safety and Security Officer.

(2) If the CSO does not forward the application to the Chief Health, Safety and Security Officer, the CSO must return the application to the contractor with a written statement explaining why the application was not forwarded.

(3) Upon receipt of an application from a CSO, the Chief Health, Safety and Security Officer must review the application for a variance and make a written recommendation to:

(i) Approve the application; 
(ii) Approve the application with conditions; or
(iii) Deny the application.

(b) Defective applications. If an application submitted pursuant to paragraph 851.31(a) is determined by the Chief Health, Safety and Security Officer to be incomplete, the Chief Health, Safety and Security Officer may:

(1) Return the application to the contractor with a written explanation of what information is needed to permit consideration of the application; or

(2) Request the contractor to provide necessary information.

(c) Content. All variance applications submitted pursuant to paragraph (a) of this section must include:

(1) The name and address of the contractor;
(2) The address of the DOE site or sites involved;
(3) A specification of the standard, or portion thereof, from which the contractor seeks a variance;
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Reqt Number</th>
<th>Requirement Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.04.164</td>
<td>10 CFR 851</td>
<td>Sub.D.851.31</td>
<td>Variance process.</td>
</tr>
</tbody>
</table>

(4) A description of the steps that the contractor has taken to inform the affected workers of the application, which must include giving a copy thereof to their authorized representative, posting a statement, giving a summary of the application and specifying where a copy may be examined at the place or places where notices to workers are normally posted; and (5) A description of how affected workers have been informed of their right to petition the Chief Health, Safety and Security Officer or designee for a conference; and (6) Any requests for a conference, as provided in paragraph 851.34. (d) Types of variances. Contractors may apply for the following types of variances:

(1) Temporary variance. Applications for a temporary variance pursuant to paragraph (a) of this section must be submitted at least 30 days before the effective date of a new safety and health standard and, in addition to the content required by paragraph (c) of this section, must include:

(i) A statement by the contractor explaining the contractor is unable to comply with the standard or portion thereof by its effective date and a detailed statement of the factual basis and representations of qualified persons that support the contractor’s statement;

(ii) A statement of the steps the contractor has taken and plans to take, with specific dates if appropriate, to protect workers against the hazard covered by the standard;

(iii) A statement of when the contractor expects to be able to comply with the standard and of what steps the contractor has taken and plans to take, with specific dates if appropriate, to come into compliance with the standard;

(iv) A statement of the facts the contractor would show to establish that:

(a) The contractor is unable to comply with the standard by its effective date because of unavailability of professional or technical personnel or materials and equipment needed to come into compliance with the standard or because necessary construction or alteration of facilities cannot be completed by the effective date;

(b) The contractor is taking all available steps to safeguard the workers against the hazards covered by the standard; and

(c) The contractor has an effective program for coming into compliance with the standard as quickly as practicable.
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>Requirement Number</th>
<th>Source Document</th>
<th>Requirement Text</th>
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</thead>
<tbody>
<tr>
<td>01.04.165 10 CFR 851 Sub.D.851.32</td>
<td>Action on variance requests.</td>
<td></td>
</tr>
</tbody>
</table>

(a) Procedures for an approval recommendation

(1) If the Chief Health, Safety and Security Officer recommends approval of a variance application, the Chief Health, Safety and Security Officer must forward to the Under Secretary the variance application and the approval recommendation including a discussion of the basis for the recommendation and any terms and conditions proposed for inclusion as part of the approval.

(2) If the Under Secretary approves a variance, the Under Secretary must notify the Chief Health, Safety and Security Officer who must notify the Office of Enforcement and the CSO who must promptly notify the contractor.

(3) The notification must include a reference to the safety and health standard or portion thereof that is the subject of the application, a detailed description of the variance, the basis for the approval and any terms and conditions of the approval.

(4) If the Under Secretary denies a variance, the Under Secretary must notify the Chief Health, Safety and Security Officer who must notify the appropriate CSO who must notify the contractor.

(5) The notification must include the grounds for denial.

(b) Approval criteria. A variance may be granted if the variance:

(1) Is consistent with section 3173 of the NDAA;

(2) Does not present an undue risk to worker safety and health;

(3) Is warranted under the circumstances;

(4) Satisfies the requirements of paragraph 851.31 of this part for the type of variance requested.

(c) Procedures for a denial recommendation.

(1) If the Chief Health, Safety and Security Officer recommends denial of a variance application, the Chief Health, Safety and Security Officer must notify the CSO of the denial recommendation and the grounds for the denial recommendation.
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req't Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.04.165</td>
<td>10 CFR 851</td>
<td>Sub.D.851.32 (cont.)</td>
<td>Action on variance requests.</td>
<td>X X X X</td>
<td>X</td>
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<td></td>
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<td>(2) Upon receipt of a denial recommendation, the CSO may: (i) Notify the contractor that the variance application is denied on the grounds cited by the Chief Health, Safety and Security Officer; or (ii) Forward to the Under Secretary the variance application, the denial recommendation, the grounds for the denial recommendation, and any information that supports an action different than that recommended by the Chief Health, Safety and Security Officer. (3) If the CSO forwards the application to the Under Secretary, the procedures in paragraphs (a)(2), (3), (4) and (5) of this section apply. (4) A denial of an application pursuant to this section shall be without prejudice to submitting of another application. (d) Grounds for denial of a variance. A variance may be denied if: (1) Enforcement of the violation would be handled as a de minimis violation (defined as a deviation from the requirement of a standard that has no direct or immediate relationship to safety or health, and no enforcement action will be taken); (2) When a variance is not necessary for the conditions, practice, means, methods, operations, or processes used or proposed to be used by contractor; (3) Contractor does not demonstrate that the approval criteria are met. Notes: 1. This requirement contains DOE actions but is included here for clarity and completeness. 2. Paragraph 851.31 is provided as S/RID requirement number 01.04.164 in this Functional Area.</td>
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<tr>
<td>01.04.166</td>
<td>10 CFR 851</td>
<td>Sub.D.851.33</td>
<td>Terms and conditions. A variance may contain appropriate terms and conditions including, but not limited to, provisions that: (a) Limit its duration; (b) Require alternative action; (c) Require partial compliance; and (d) Establish a schedule for full or partial compliance</td>
<td>X X X X</td>
<td>X</td>
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</table>
**TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS**

<table>
<thead>
<tr>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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</thead>
<tbody>
<tr>
<td>Requests for conferences.</td>
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<tr>
<td>(a) Within the time allotted by a notice of the filling of an application, any</td>
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<tr>
<td>affected contractor or worker may file with the Chief Health, Safety and</td>
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<tr>
<td>Security Officer a request for a conference on the application for a variance.</td>
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<tr>
<td>(b) A request for a conference filed pursuant to paragraph (a) of this section</td>
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<td>must include:</td>
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<tr>
<td>(1) A concise statement explaining how the contractor or worker would be</td>
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<td>affected by the variance applied for, including relevant facts;</td>
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<td>(2) A specification of any statement or representation in the application</td>
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<td>which is denied, and a concise summary of the evidence that would be</td>
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<td>adduced in support of each denial; and</td>
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<td>(3) Any other views or arguments on any issue of fact or law presented.</td>
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<td>(c) The Chief Health, Safety and Security Officer, or designee, must</td>
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<td>respond to a request within fifteen days and, if the request is granted,</td>
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<td>indicate the time and place of the conference and the DOE participants in</td>
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<td>the conference.</td>
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<tr>
<td>Source Document  Reqt Number</td>
<td>REQUIREMENTS IDENTIFICATION DOCUMENT</td>
<td>Date: 1/16/2020</td>
</tr>
<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Source Document Req Number</td>
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<tr>
<td>01.04.168</td>
<td>10 CFR 851</td>
<td>Sub.E.851.40 (cont.)</td>
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</table>

(f) A request for confidential treatment of information for purposes of the Freedom of Information Act does not prevent disclosure by the Director if the Director determines disclosure to be in the public interest and otherwise permitted or required by law.

g) During the course of an investigation or inspection, any contractor may submit any document, statement of facts, or memorandum of law for the purpose of explaining the contractor’s position or furnish information which the contractor considers relevant to a matter or activity under investigation or inspection.

(h) The Director may convene an informal conference to discuss any situation that might be a violation of a requirement of this part, its significance and cause, any corrective action taken or not taken by the contractor, any mitigating or aggravating circumstances, and any other information. A conference is not normally open to the public and DOE does not make a transcript of the conference. The Director may compel a contractor to attend the conference. (i) If facts disclosed by an investigation or inspection indicate that further action is unnecessary or unwarranted, the Director may close the investigation without prejudice.

(j) The Director may issue enforcement letters that communicate DOE’s expectations with respect to any aspect of the requirements of this part, including identification and reporting of issues, corrective actions, and implementation of the contractor’s safety and health program; provided that an enforcement letter may not create the basis for any legally enforceable requirement pursuant to this part.

(k) The Director may sign, issue and serve subpoenas.

Note: This requirement contains DOE actions but is included here for clarity and completeness.
<table>
<thead>
<tr>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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</thead>
<tbody>
<tr>
<td>Enforcement Process</td>
<td>Nuclear HC-1,2,3, Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific</td>
<td>Common Facility Specific</td>
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<tr>
<td>(a) The Director may initiate and conduct investigations and inspections relating to the scope, nature and extent of compliance by a contractor with the requirements of this part and take such action as the Director deems necessary and appropriate to the conduct of the investigation or inspection. DOE Enforcement Officers have the right to enter work areas without delay to the extent practicable, to conduct inspections under this subpart.</td>
<td>X</td>
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<tr>
<td>(b) Contractors must fully cooperate with the Director during all phases of the enforcement process and provide complete and accurate records and documentation as requested by the Director during investigation or inspection activities.</td>
<td>X</td>
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<tr>
<td>(c) Any worker or worker representative may request that the Director initiate an investigation or inspection pursuant to paragraph (a) of this section. A request for an investigation or inspection must describe the subject matter or activity to be investigated or inspected as fully as possible and include supporting documentation and information. The worker or worker representative has the right to remain anonymous upon filing a request for an investigation or inspection.</td>
<td>X</td>
<td>X</td>
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<tr>
<td>(d) The Director must inform any contractor that is the subject of an investigation or inspection in writing at the initiation of the investigation or inspection and must inform the contractor of the general purpose of the investigation or inspection.</td>
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<tr>
<td>(e) DOE shall not disclose information or documents that are obtained during any investigation or inspection unless the Director directs or authorizes the public disclosure of the investigation. Prior to such authorization, DOE must determine that disclosure is not precluded by the Freedom of Information Act, 5 U.S.C. 552 and part1004 of this title. Once disclosed pursuant to the Director’s authorization, the information or documents are a matter of public record.</td>
<td>X</td>
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<tr>
<td>enforceable requirement pursuant to this part.</td>
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<tr>
<td>(k) The Director may sign, issue and serve subpoenas.</td>
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<td>Note: This requirement contains DOE actions but is included here for clarity and completeness.</td>
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### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

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<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Requirement Text</th>
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<tbody>
<tr>
<td>01.04.169</td>
<td>10 CFR 851</td>
<td>Settlement.</td>
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</table>

(a) DOE encourages settlement of a proceeding under this subpart at any time if the settlement is consistent with this part. The Director and a contractor may confer at any time concerning settlement. A settlement conference is not open to the public and DOE does not make a transcript of the conference.

(b) Notwithstanding any other provision of this part, the Director may resolve any issues in an outstanding proceeding under this subpart with a consent order.

1. The Director and the contractor, or a duly authorized representative thereto, must sign the consent order and indicate agreement to the terms contained therein.
2. A contractor is not required to admit in a consent order that a requirement of this part has been violated.
3. DOE is not required to make a finding in a consent order that a contractor has violated a requirement of this part.
4. A consent order must set forth the relevant facts that form the basis for the order and what remedy, if any, is imposed.
5. A consent order shall constitute a final order.

Note: This requirement contains DOE actions but is included here for clarity and completeness.
### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

<table>
<thead>
<tr>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<tbody>
<tr>
<td>Preliminary notice of violation.</td>
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</table>

(a) Based on a determination by the Director that there is a reasonable basis to believe a contractor has violated or is continuing to violate a requirement of this part, the Director may issue a preliminary notice of violation (PNOV) to the contractor.

(b) A PNOV must indicate:

1. The date, facts, and nature of each act or omission upon which each alleged violation is based;
2. The particular requirement involved in each alleged violation;
3. The proposed remedy for each alleged violation, including the amount of any civil penalty; and
4. The obligation of the contractor to submit a written reply to the Director within 30 calendar days of receipt of the PNOV.

(c) A reply to a PNOV must contain a statement of all relevant facts pertaining to an alleged violation.

1. The reply must:
   (i) State any facts, explanations and arguments that support a denial of the alleged violation;
   (ii) Demonstrate any extenuating circumstances or other reason why a proposed remedy should not be imposed or should be mitigated;
   (iii) Discuss the relevant authorities that support the position asserted, including rulings, regulations, interpretations, and previous decisions issued by DOE; and
   (iv) Furnish full and complete answers to any questions set forth in the preliminary notice.
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<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Reqt Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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</thead>
<tbody>
<tr>
<td>01.04.170</td>
<td>10 CFR 851</td>
<td>Sub.E.851.42 (cont.)</td>
<td>Preliminary notice of violation. (2) Copies of all relevant documents must be submitted with the reply. (d) If a contractor fails to submit a written reply within 30 calendar days of receipt of a PNOV: (1) The contractor relinquishes any right to appeal any matter in the preliminary notice; and (2) The preliminary notice, including any proposed remedies therein, constitutes a final order. (e) A copy of the PNOV must be prominently posted, once final, at or near the location where the violation occurred until the violation is corrected. Note: This requirement contains DOE actions but is included here for clarity and completeness.</td>
<td>Nuclear HC-1,2,3 Radiological High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific Common Facility Specific</td>
<td>X X X X X X X</td>
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<td>S/RID Requirement Number</td>
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<td>Nuclear HC-1,2,3</td>
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<td>High Hazard Chemical</td>
<td>Low Hazard Chemical</td>
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<td>Other Industrial</td>
<td>Facility Specific</td>
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<td>Common</td>
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<td>01.04.171</td>
<td>10 CFR 851</td>
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<td>Sub.E.851.43</td>
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<td>01.04.172</td>
<td>10 CFR 851</td>
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<td>Sub.E.851.44</td>
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**Requirement Text**

- **Final notice of violation.**
  
  (a) If a contractor submits a written reply within 30 calendar days of receipt of a preliminary notice of violation (PNOV), that presents a disagreement with any aspect of the PNOV and civil penalty, the Director must review the submitted reply and make a final determination whether the contractor violated or is continuing to violate a requirement of this part.

  (b) Based on a determination by the Director that a contractor has violated or is continuing to violate a requirement of this part, the Director may issue to the contractor a final notice of violation that states concisely the determined violation and any remedy, including the amount of any civil penalty imposed on the contractor. The final notice of violation must state that the contractor may petition the Office of Hearings and Appeals for review of the final notice in accordance with 10 CFR part 1003, subpart G.

  (c) If a contractor fails to submit a petition for review to the Office of Hearings and Appeals within 30 calendar days of receipt of a final notice of violation pursuant to paragraph 851.42:
    
    1. The contractor relinquishes any right to appeal any matter in the final notice; and
    
    2. The final notice, including any remedies therein, constitutes a final order.

  Notes:

  1. This requirement contains DOE actions but is included here for clarity and completeness.
  2. Paragraph 851.42 is provided as S/RID requirement number 01.04.170 in this Functional Area.

- **Administrative appeal.**
  
  (a) Any contractor that receives a final notice of violation may petition the Office of Hearings and Appeals for review of the final notice in accordance with part 1003, subpart G of this title, within 30 calendar days from receipt of the final notice.

  (b) In order to exhaust administrative remedies with respect to a final notice of violation, the contractor must petition the Office of Hearings and Appeals for review in accordance with paragraph (a) of this section.
<table>
<thead>
<tr>
<th>Requirement Number</th>
<th>Source Document</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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</thead>
</table>
| 01.04.173          | 10 CFR 851     | **Direction to NNSA contractors.**  
(a) Notwithstanding any other provision of this part, the NNSA Administrator, rather than the Director, signs, issues and serves the following actions that direct NNSA contractors:  
(1) Subpoenas;  
(2) Orders to compel attendance;  
(3) Disclosures of information or documents obtained during an investigation or inspection;  
(4) Preliminary notices of violations; and  
(5) Final notices of violations.  
(b) The NNSA Administrator shall act after consideration of the Director’s recommendation.  
Note: This requirement contains NNSA actions but is included here for clarity and completeness. |
|                    | Sub.E.851.45   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | X X X X X X X X X X X | X X X X X X X X X X |
| 01.04.189          | DOEO226.1B Att.1 | **1. RESPONSIBILITIES.**  
Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this Contractor Requirements Document (CRD). The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor’s compliance with the requirements. Contractors must monitor and evaluate all work performed under their contracts, including the work of subcontractors, to ensure work performance meets the applicable requirements for environment, safety, and health, including quality assurance and integrated safety management; safeguards and security; cyber security; and emergency management. | X X X X X X X X X X X | X X X X X X X X X X |
| 01.04.190          | DOEO226.1B Att.1.2.a | **REQUIREMENTS.**  
a. The contractor must establish an assurance system that includes assignment of management responsibilities and accountabilities and provides evidence to assure both the Department of Energy’s (DOE) and the contractor’s managements that work is being performed safely, securely, and in compliance with all requirements; risks are being identified and managed; and that the systems of control are effective and efficient. | X X X X X X X X X X X | X X X X X X X X X X |
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<tr>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<tbody>
<tr>
<td><strong>01.04.191</strong> DOE0226.1B Att.1. 2.b.(1) REQUIREMENTS. b. The contractor assurance system, at a minimum, must include the following: (1) A method for validating the effectiveness of assurance system processes. Third party audits, peer reviews, independent assessments, and external certification may be used and integrated into the contractor’s assurance system to complement, but not replace, internal assurance systems.</td>
<td>X X X X X</td>
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<td><strong>01.04.192</strong> DOE0226.1B Att.1. 2.b.(2) REQUIREMENTS. b. The contractor assurance system, at a minimum, must include the following: (2) Rigorous, risk-informed, and credible self-assessment and feedback and improvement activities. Assessment programs must be risk-informed, formally described and documented, and appropriately cover potentially high consequence activities.</td>
<td>X X X X X</td>
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<tr>
<td><strong>01.04.193</strong> DOE0226.1B Att.1. 2.b.(3).a) REQUIREMENTS. b. The contractor assurance system, at a minimum, must include the following: (3) A structured issues management system that is formally described and documented and that: (a) Captures program and performance deficiencies (individually and collectively) in systems that provide for timely reporting, and taking compensatory corrective actions when needed.</td>
<td>X X X X X</td>
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<td>S/RID Requirement Number</td>
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<td>01.04.194</td>
<td>DOE226.1B</td>
<td>Att.1.2.b.(3).(b).(1)</td>
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<td>01.04.195</td>
<td>DOE226.1B</td>
<td>Att.1.2.b.(3).(b).(2)</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<tr>
<th>S/RID</th>
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<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<tbody>
<tr>
<td>Requirement Number</td>
<td>Source Document Req't Number</td>
<td></td>
<td>Nuclear HC-1,2,3</td>
<td>Radiological</td>
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<tr>
<td>01.04.196</td>
<td>DOE0226.1B Att.1. 2.b.(3).b.(3)</td>
<td>REQUIREMENTS.</td>
<td>X</td>
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<td>b. The contractor assurance system, at a minimum, must include the following:</td>
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<td>(3) A structured issues management system that is formally described and documented and that:</td>
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<td>(b) Contains an issues management process that is capable of categorizing the significance of findings based on risk and priority and other appropriate factors that enables contractor management to ensure that problems are evaluated and corrected on a timely basis. For issues categorized as higher significance findings, contractor management must ensure the following activities are completed and documented:</td>
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<td>(3) After completion of a corrective action or a set of corrective actions, an effectiveness review is conducted using trained and qualified personnel that can validate the effectiveness of corrective action/plan implementation and results in preventing recurrences;</td>
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<tr>
<td>01.04.197</td>
<td>DOE0226.1B Att.1. 2.b.(3).b.(4)</td>
<td>REQUIREMENTS.</td>
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<td>b. The contractor assurance system, at a minimum, must include the following:</td>
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<td>(3) A structured issues management system that is formally described and documented and that:</td>
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<td>(b) Contains an issues management process that is capable of categorizing the significance of findings based on risk and priority and other appropriate factors that enables contractor management to ensure that problems are evaluated and corrected on a timely basis. For issues categorized as higher significance findings, contractor management must ensure the following activities are completed and documented:</td>
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<td>(4) Documentation of the analysis process and results described in (1) above, and maintenance and tracking to completion of plans and schedules for the corrective actions and effectiveness reviews described in (2) and (3) above in a readily accessible system; and</td>
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<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Requirement Text</td>
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<tr>
<td>01.04.198</td>
<td>DOE026.1B</td>
<td>REQUIREMENTS.</td>
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<td></td>
<td>Att.1. 2.b.(3).(b).(5)</td>
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<td></td>
<td>b. The contractor assurance system, at a minimum, must include the following:</td>
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<td>(3) A structured issues management system that is formally described and documented and that:</td>
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<td>(b) Contains an issues management process that is capable of categorizing the significance of findings based on risk and priority and other appropriate factors that enables contractor management to ensure that problems are evaluated and corrected on a timely basis. For issues categorized as higher significance findings, contractor management must ensure the following activities are completed and documented:</td>
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<td></td>
<td>(5) Communicates issues and performance trends or analysis results up the contractor management chain to senior management using a graded approach that considers hazards and risks, and provides sufficient technical basis to allow managers to make informed decisions and correct negative performance/compliance trends before they become significant issues.</td>
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<tr>
<td>01.04.199</td>
<td>DOE026.1B</td>
<td>REQUIREMENTS.</td>
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<td>Att.1. 2.b.(4)</td>
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<td>b. The contractor assurance system, at a minimum, must include the following:</td>
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<td>(4) Timely and appropriate communication to the Contracting Officer, including electronic access of assurance-related information.</td>
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<tr>
<td>01.04.200</td>
<td>DOE026.1B</td>
<td>REQUIREMENTS.</td>
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<td></td>
<td>Att.1. 2.b.(5)</td>
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<td></td>
<td>b. The contractor assurance system, at a minimum, must include the following:</td>
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<td></td>
<td>(5) Continuous feedback and improvement, including worker feedback mechanisms (e.g., employee concerns programs, telephone hotlines, employee suggestions forms, labor organization input), improvements in work planning and hazard identification activities, and lessons learned programs.</td>
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</tbody>
</table>
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
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<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Nuclear HC-1,2,3</td>
<td>Facility Specific</td>
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<td>Radiological</td>
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<td>High Hazard Chemical</td>
<td>Facility Specific</td>
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<td>Low Hazard Chemical</td>
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<td>Other Industrial</td>
<td>Facility Specific</td>
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<td>Facility Specific</td>
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<tr>
<td>01.04.201</td>
<td>DOE0226.1B</td>
<td>Att.1. 2.b.6</td>
<td>REQUIREMENTS.</td>
<td>X</td>
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<td></td>
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<td></td>
<td>b. The contractor assurance system, at a minimum, must include the following:</td>
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<td></td>
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<td>(6) Metrics and targets to assess the effectiveness of performance, including benchmarking of key functional areas with other DOE contractors, industry, and research institutions.</td>
<td>X</td>
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</tr>
<tr>
<td>01.04.202</td>
<td>DOE0226.1B</td>
<td>Att.1. 2.c</td>
<td>REQUIREMENTS.</td>
<td>X</td>
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<td>c. The contractor must submit an initial contractor assurance system description to the Contracting Officer for DOE review and approval. That description must clearly define processes, key activities, and accountabilities. An implementation plan that considers and mitigates risks should also be submitted if needed and should encompass all facilities, systems, and organization elements. Once the description is approved, timely notification must be made to the Contracting Officer of significant assurance system changes prior to the changes being made.</td>
<td>X</td>
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<tr>
<td>01.04.203</td>
<td>DOE0226.1B</td>
<td>Att.1. 2.d</td>
<td>REQUIREMENTS.</td>
<td>X</td>
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<td>d. To facilitate appropriate oversight, contractor assurance system data must be documented and readily available to DOE. Results of assurance processes must be analyzed, compiled, and reported to DOE as requested by the Contracting Officer (e.g., in support of contractor evaluation or to support review/approval of corrective action plans).</td>
<td>X</td>
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<tr>
<td>01.04.204</td>
<td>DOE0210.2A</td>
<td>Att.1(1)</td>
<td>Regardless of the performer of the work, the contractor is responsible for compliance with the requirements of this Contractor Requirements Document (CRD). The contractor is responsible for flowing down the requirements of this CRD to subcontracts at any tier to the extent necessary to ensure the contractor's compliance with the requirements.</td>
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<td>Note: Throughout this CRD, the term &quot;Human Subjects Protection Program Manager (HSP Program Manager)&quot; refers either to the DOE HSP Program Manager or to the NNSA HSP Program Manager except where otherwise noted.</td>
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</tbody>
</table>
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
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<th>Phase I Compliance</th>
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<tbody>
<tr>
<td></td>
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<td>Nuclear HC-1,2,3</td>
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<td>Radio-logical</td>
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<td>High Hazard Chemical</td>
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<td>Low Hazard Chemical</td>
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<td>Other Industrial</td>
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<td>Facility Specific</td>
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<td>Facility Specific</td>
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</tbody>
</table>

01.04.205 DOEO210.2A Att.1. 1.a.(1) REQUIREMENTS.

a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:

(1) Develop lessons learned that focus on preventing adverse events, trends, and reliability related events, and on performance improvement or cost savings.

<table>
<thead>
<tr>
<th></th>
<th>Nuclear HC-1,2,3</th>
<th>Radio-logical</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
<th>Common</th>
<th>Facility Specific</th>
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<tr>
<td>X</td>
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</table>

01.04.206 DOEO210.2A Att.1. 1.a.(2).(a) REQUIREMENTS.

a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:

(2) Screen, distribute, and review DOE Corporate Operating Experience Program documents and external operating experience documents for site specific relevance, risks and vulnerabilities, and take appropriate actions.

DOE Corporate Operating Experience Program documents are:

(a) Operating Experience Level 1 – To inform the DOE complex of the most significant events or trends that concern DOE management, including assessments and required actions with close-out verification in a formal response.

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<thead>
<tr>
<th></th>
<th>Nuclear HC-1,2,3</th>
<th>Radio-logical</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
<th>Common</th>
<th>Facility Specific</th>
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</table>

01.04.207 DOEO210.2A Att.1. 1.a.(2).(b) REQUIREMENTS.

a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:

(2) Screen, distribute, and review DOE Corporate Operating Experience Program documents and external operating experience documents for site specific relevance, risks and vulnerabilities, and take appropriate actions.

DOE Corporate Operating Experience Program documents are:

(b) Operating Experience Level 2 – To inform the DOE complex (or affected sites) of potentially significant safety issues, including a statement of required actions and a formal feedback method.

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<thead>
<tr>
<th></th>
<th>Nuclear HC-1,2,3</th>
<th>Radio-logical</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
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<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Source Document Reqt Number</td>
<td>Requirement Text</td>
<td>SRR Applicability</td>
<td>Phase I Compliance</td>
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<tr>
<td>01.04.208</td>
<td>DOEO210.2A</td>
<td>Att.1. I.a(2),(c)</td>
<td>REQUIREMENTS.</td>
<td>X X X X X</td>
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</table>
|                          |                |                             | a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:  
|                          |                |                             | (2) Screen, distribute, and review DOE Corporate Operating Experience Program documents and external operating experience documents for site specific relevance, risks and vulnerabilities, and take appropriate actions. DOE Corporate Operating Experience Program documents are:  
|                          |                |                             | (c) Operating Experience Level 3 – To inform the DOE complex when an event or a trend warrants management attention. |                 |                  |
| 01.04.209               | DOEO210.2A     | Att.1. I.a(2),(d)           | REQUIREMENTS.    | X X X X X         | X                |
|                          |                |                             | a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:  
|                          |                |                             | (2) Screen, distribute, and review DOE Corporate Operating Experience Program documents and external operating experience documents for site specific relevance, risks and vulnerabilities, and take appropriate actions. DOE Corporate Operating Experience Program documents are:  
|                          |                |                             | (d) Operating Experience Summary – To inform the DOE complex of DOE or external operating experience which could benefit sites. |                 |                  |
| 01.04.210               | DOEO210.2A     | Att.1. I.a(2),(e)           | REQUIREMENTS.    | X X X X X         | X                |
|                          |                |                             | a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:  
|                          |                |                             | (2) Screen, distribute, and review DOE Corporate Operating Experience Program documents and external operating experience documents for site specific relevance, risks and vulnerabilities, and take appropriate actions. DOE Corporate Operating Experience Program documents are:  
|                          |                |                             | (e) Suspect/ Counterfeit or Defective Items Data Collection Sheet – To provide information on Suspect/ Counterfeit or Defective Items with potential impact to DOE operations. |                 |                  |
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
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<th>Requirement Text</th>
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<tr>
<td>01.04.211</td>
<td>DOE210.2A</td>
<td>Att.1. 1.a.(2),(f)</td>
<td>REQUIREMENTS.</td>
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<td></td>
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<td></td>
<td>a. Establish an Operating Experience Program tailored to the nature of the work, hazards, and organizational complexities to:</td>
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<td></td>
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<td></td>
<td>(2) Screen, distribute, and review DOE Corporate Operating Experience Program documents and external operating experience documents for site specific relevance, risks and vulnerabilities, and take appropriate actions. DOE Corporate Operating Experience Program documents are:</td>
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<td>(f) DOE Lessons Learned Report – To provide information on identified program/mission-specific lessons learned across the DOE complex.</td>
</tr>
<tr>
<td>01.04.212</td>
<td>DOE210.2A</td>
<td>Att.1. 1.b</td>
<td>REQUIREMENTS.</td>
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<td></td>
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<td>b. Share contractor-specific lessons learned from operating experience with the DOE complex, through the DOE Corporate Lessons Learned Database, when both (1) the operating experience has relevance to other DOE facilities, sites, or programs; and (2) the information has the potential to help avoid adverse operating incidents, for performance improvements, or for cost savings.</td>
</tr>
<tr>
<td>01.04.213</td>
<td>DOE210.2A</td>
<td>Att.1. 1.c</td>
<td>REQUIREMENTS.</td>
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<td>c. Designate an Operating Experience Program Coordinator who can raise operating experience issues to senior contractor management and will:</td>
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<td>(1) Serve as the point-of-contact for the DOE Corporate Operating Experience Program and the Operating Experience Committee.</td>
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<td>(2) Support the contractor managers in implementing, managing and overseeing the Operating Experience Program.</td>
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<tr>
<td>01.04.214</td>
<td>DOE210.2A</td>
<td>Att.1. 1.d</td>
<td>REQUIREMENTS.</td>
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<td>d. Incorporate operating experience into contractor activities and processes.</td>
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<tr>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<tbody>
<tr>
<td>Nuclear HC-1,2,3</td>
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<td>Radiological</td>
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<tr>
<td>High Hazard Chemical</td>
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<tr>
<td>Low Hazard Chemical</td>
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<tr>
<td>Other Industrial</td>
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<td>Facility Specific</td>
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<th>Requirement Text</th>
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<th>Phase I Compliance</th>
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<tr>
<td>01.04.215</td>
<td>DOEO210.2A</td>
<td>Att.1. 1.e</td>
<td>REQUIREMENTS.</td>
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<td>e. As part of self-assessments conducted to evaluate organizational performance in Integrated Safety Management (ISM), include an assessment of the effectiveness of the organization’s operating experience program.</td>
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<td>NOTE: Requirements for performance trending are addressed in DOE O 226.1A, Implementation of Department of Energy Oversight Policy. (See Note)</td>
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<td>Note: DOE O 225.1A has been superseded by DOE O 225.1B and is included in this functional area as Requirements 01.06.03.065 through 01.06.03.067.</td>
<td>X</td>
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</tr>
<tr>
<td>01.06.036</td>
<td>DOEO232.2A</td>
<td>Att.1.[1]</td>
<td>Regardless of the performer of the work, the contractor (including DOE direct contractors) is responsible for compliance with the requirements of this Contractor Requirements Document (CRD) and Attachments 2, 3, 4, and 5, and for flowing down these requirements to subcontractors at any tier to the extent necessary to ensure the contractor’s compliance with the requirements. References to a DOE directive in this CRD or in its attachments refer to the CRD associated with the referenced DOE directive. The contractor must meet the following requirements.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.06.037</td>
<td>DOEO232.2A</td>
<td>Att.1.1.</td>
<td>1. GENERAL REQUIREMENTS.</td>
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<td>a. For reportable occurrences, contractors must categorize the occurrences, notify DOE as required, and prepare and submit Occurrence Reports. At sites with more than one facility management contractor, contractors may make arrangements for one of the contractors to prepare and submit reports for the entire site. However, each contractor must ensure that Occurrence Reports are submitted properly for activities within its scope of work.</td>
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<td>b. The documentation and distribution requirements must be satisfied using DOE’s centralized unclassified operational database, the Occurrence Reporting and Processing System (ORPS).</td>
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<td>c. Local implementing procedures may specify additional learning and reporting requirements beyond those stated in this CRD, but must at a minimum include all requirements of this CRD.</td>
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<tr>
<td>01.06.038</td>
<td>DOEO232.2A</td>
<td>Att.1.2.</td>
<td>2. SECURITY REQUIREMENTS.</td>
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<td>Occurrence Reports containing classified information or Controlled Unclassified Information must use procedures described in the Occurrence Reporting Model (Attachment 4).</td>
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<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Source Document Reqt Number</td>
<td>Requirement Text</td>
<td>SRR Applicability</td>
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</table>
| 01.06.039                | DOEO232.2A     | Att.1.3.a.                  | 3. SPECIFIC REQUIREMENTS.  
   a. Event or Condition Identification and Response.  
   (1) Identify abnormal or emergency conditions based on local processes and procedures that implement requirements of DOE O 422.1, Chg 2, Conduct of Operations, dated 6-29-10, and DOE O 151.1D, Comprehensive Emergency Management System, dated 8-11-16.  
   (2) Ensure that the requirements of this CRD for reporting are initiated for events specified in the Occurrence Reporting Criteria (Attachment 2).  
   (3) Ensure that reporting does not interfere with operations personnel taking appropriate actions to stabilize and/or place the facility/operation in a safe condition upon discovery of an abnormal event or condition. | X | X | | X | X | X | X |
| 01.06.040                | DOEO232.2A     | Att.1.3.b.                  | 3. SPECIFIC REQUIREMENTS.  
   b. Event or Condition Categorization.  
   Events and conditions must be categorized in accordance with the Occurrence Reporting Criteria (Attachment 2) and within the timeframes specified in the Occurrence Reporting Model (Attachment 4), or as soon thereafter as reasonably possible. | X | X | | X | X | X | X |
| 01.06.041                | DOEO232.2A     | Att.1.3.c.                  | 3. SPECIFIC REQUIREMENTS.  
   Occurrence reports must be processed in accordance with the requirements outlined in the Occurrence Report Preparation (Attachment 3) and Occurrence Reporting Model (Attachment 4). | X | X | | X | X | X | X |
| 01.06.042                | DOEO232.2A     | Att.1.3.d.                  | 3. SPECIFIC REQUIREMENTS.  
   d. Occurrence Investigation and Analysis.  
   Reportable occurrences must be investigated and analyzed in accordance with local procedures, as indicated in the Occurrence Reporting Model (Attachment 4). | X | X | | X | X | X | X |
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<td><strong>S/RID</strong></td>
<td><strong>Requirement Number</strong></td>
<td><strong>Source Document</strong></td>
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</table>
| 01.06.043 | DOEO232.2A | Att.1.4. | Facility Managers (as defined in this Order; see definition in Attachment 5). In addition to other requirements prescribed in this Order, Facility Managers are responsible for the following:  
a. Ensure that procedures implemented for notification and reporting meet the requirements of this Order.  
b. Determine causes and generic implications, and implement corrective actions and closeout activities for reportable occurrences.  
c. Review and assess reportable occurrence information for their facilities to assess generic implications and corrective action implementation, closeout, and effectiveness, as required; and to ensure that facility personnel involved in these operations perform the related functions.  
d. Ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate facility personnel within their cognizance, are reviewed for generic implications, and are used to improve operations.  
e. Prepare and transmit Occurrence Reports in accordance with Order requirements. | X | X | X | X | X | X | X | |
<p>| 01.06.01.291 | DOEO232.2A | Att.2.[1] | The following are Report Levels and the Reporting Criteria, which are categorized into ten groups and appropriate subgroups related to DOE operations. The Reporting Criteria provide a set of requirements that must be used to identify reportable occurrences. Report Levels provide a means to reflect the impact associated with a given occurrence in terms of health, safety and security to personnel, the public, the environment, and the operational mission. The three report levels are: High (H), Low (L), and Informational (I). Determination of Report Levels for each specific Reporting Criteria is based on the conditions listed below. Informational Level Reporting can be tailored per Program Office direction to only be captured in local issues management systems. Program Offices have the authority to determine which Informational Level Reports will be submitted to the ORPS database. | X | X | X | X | X | X | |</p>
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<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req Number</th>
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<td>Other Industrial</td>
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<td>Common</td>
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<td>a. High Level Report. Occurrences in this category meet any of the following conditions: (1) Impacted worker or public safety and health, including significant personnel injuries, environmental harm, regulatory compliance, or public/business interests; (2) Constituted a noncompliance with regulatory requirements that created the potential for actual harm; (3) Posed the potential for mission interruption and require prompt mitigative action; or (4) Involved circumstances that reflected degraded safety necessitating prompt management attention along with modified normal operations to prevent an adverse effect on safe facility operations.</td>
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<td>01.06.01.293</td>
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<td>b. Low Level Report. Occurrences are those that do not meet High Level Report occurrences but involve personnel injury, environmental releases, equipment damage, or hazardous circumstances, and additional time is appropriate for Written Notifications.</td>
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<td>01.06.01.294</td>
<td>DOE232.2A</td>
<td>Att.2.1.c</td>
<td>1. Report Levels (RL).</td>
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<td>c. Informational Level Report. Occurrences are those that do not meet High or Low Level Report occurrences and generally meet the following conditions: (1) Determined to be a safety, environmental, or mission concern; or (2) Provides potential learning opportunities for others.</td>
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<td>Att.2.1.d</td>
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<td>d. Safeguards and security events are not reported in ORPS unless they involve other consequences that meet the ORPS reporting criteria presented herein.</td>
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<td>Att.2.1.e</td>
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<td>e. This Order does not absolve the cognizant parties from making required reports to other agencies.</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<tr>
<th>Requirement Number</th>
<th>Source Document</th>
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<th>SRR Applicability</th>
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<td>01.06.01.297</td>
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<td>The 10 groups of categorized occurrences are as follows. Group 1 - Operational Emergencies Group 2 - Personnel Safety and Health Group 3 - Nuclear Safety Basis Group 4 - Facility Status Group 5 - Environmental Group 6 - Contamination/Radiation Control Group 7 - Nuclear Explosive Safety Group 8 - Packaging and Transportation Group 9 - Noncompliance Notifications Group 10 - Management Concerns and Issues</td>
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<td>01.06.01.298</td>
<td>DOE232.2A</td>
<td>Att.2.3.</td>
<td>3. Categorizing Instructions.</td>
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<td>a. Each reporting criterion is denoted by its Group, Subgroup (if applicable), sequence number (#), and Report Level, thus, for example, the violation or noncompliance of a Technical Safety Requirement is denoted as Group 3, Subgroup A, Sequence (1) or “3A(1), High.” An event can meet multiple reporting criteria. b. All of the specific reporting criteria applicable for an occurrence must be identified. In these cases, the event is categorized at the highest report level, but all of the applicable reporting criteria must be recorded.</td>
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<td>01.06.01.299</td>
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<td>Att.2.4-G 01</td>
<td>4. Occurrence Reporting Criteria.</td>
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<td>Group 1 - Operational Emergencies # RL Criterion (1) H An Operational Emergency, Alert, Site Area Emergency, or General Emergency as defined in DOE O 151.1D.</td>
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<td>01.06.01.300</td>
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<td>Att.2.4-G 02A(1)</td>
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<td>Group 2 - Personnel Safety and Health Subgroup A Occupational Injuries and Exposures. [Note: See “Personnel Exposure” in Definitions in this Order. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define “medical treatment” and “first aid.” For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.] # RL Criterion (1) H Any occurrence due to DOE operations resulting in a fatality or terminal injury/illness.</td>
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<td>Requirement Number</td>
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<td>Subgroup A Occupational Injuries and Exposures.</td>
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<td>[Note: See “Personnel Exposure” in Definitions in this Order. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define “medical treatment” and “first aid.” For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.]</td>
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<td># RL Criterion (2) H Any single occurrence, injury, or exposure requiring in-patient hospitalization of three or more personnel.</td>
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<td>DOEO232.2A</td>
<td>Att.2.4-G 02A(3)</td>
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<td>Subgroup A Occupational Injuries and Exposures.</td>
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<td>[Note: See “Personnel Exposure” in Definitions in this Order. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define “medical treatment” and “first aid.” For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.]</td>
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<td># RL Criterion (3) H Any single occurrence, injury, or exposure resulting in an occupational injury that requires in-patient hospitalization for five or more days, commencing within seven days from the date the injury.</td>
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<td>Subgroup A Occupational Injuries and Exposures.</td>
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<td>[Note: See “Personnel Exposure” in Definitions in this Order. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define “medical treatment” and “first aid.” For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.]</td>
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<td># RL Criterion (4) L Any single occurrence, injury, or exposure resulting in three or more personnel having Days Away, Restricted or Transferred (DART) cases per 29 CFR Section 1904.7, Recordkeeping Forms and Recording Criteria.</td>
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<td>S/RID Requirement Number</td>
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<td>4. Occurrence Reporting Criteria.</td>
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Group 2 - Personnel Safety and Health
Subgroup A Occupational Injuries and Exposures.

[Note: See “Personnel Exposure” in Definitions in this Order. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define “medical treatment” and “first aid.” For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.]

# RL Criterion
(5) L Any single occurrence resulting in an occupational injury or exposure that:
   (a) Requires in-patient hospitalization for more than 48 hours, commencing within seven days from the date the injury or exposure was received;
   (b) Results in a fracture of any bone (except bone chips; simple fractures of fingers, toes, or nose; or a minor chipped tooth);
   (c) Causes severe hemorrhages or severe damage to nerves, muscles, tendons, or ligaments (Note: Severe damage is generally considered to have occurred if surgery is required to correct the damage.);
   (d) Damages any internal organ;
   (e) Causes
      1 a concussion or
      2 loss of consciousness due to an impact to the head, or
   (f) Causes second or third-degree burns, affecting more than five percent of the body surface.

[Notes: The intent of Group 2A(5) reporting criterion is to report injuries based on the initial or first-line diagnosis and treatment. Events reported in this category are those for which the diagnosis was obtained within 21 calendar days after the event occurred. If changes occur from the initial diagnosis, resulting in revised treatment plans (i.e., misinterpretation of initial test results, additional evaluations performed), then reporting will need to be re-evaluated based on corrected diagnosis.]
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<th>S/RID Requirement Number</th>
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<th>Source Document Req't Number</th>
<th>Requirement Text</th>
<th>Nuclear HC-1,2,3</th>
<th>Radiological</th>
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<td>4. Occurrence Reporting Criteria. Group 2 - Personnel Safety and Health Subgroup A Occupational Injuries and Exposures. [Note: See “Personnel Exposure” in Definitions in this Order. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define “medical treatment” and “first aid.” For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.] # RL Criterion (7) L Personnel exposure to chemical, biological or physical hazards above limits established in 10 CFR Part 851, Worker Safety and Health Program (see 10 CFR Section 851.23, Safety and Health Standards), but below levels deemed IDLH.</td>
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<td>4. Occurrence Reporting Criteria. Group 2 - Personnel Safety and Health Subgroup B Fires. # RL Criterion (1) H Any fire within primary confinement/containment boundaries of a nuclear facility, except a fire that self-extinguishes in ten minutes or less. [Note: Facility specific documents need to define what constitutes the primary confinement/containment boundary.]</td>
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<td># RL Criterion</td>
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<td>(a) Activates a fixed automatic fire suppression system (e.g., clean agent or wet-pipe automatic sprinkler protection),</td>
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<td>(b) Takes longer than ten minutes to extinguish following the initiation of firefighting efforts by the emergency response organization, or</td>
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<td>(c) Disrupts normal operations in the facility for more than four hours.</td>
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<td>[Note: The activation or degradation of Safety Class and Safety Significant fire suppression systems should also be reported under Group 4 Criteria.]</td>
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<td>01.06.01.313</td>
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<td>4. Occurrence Reporting Criteria. Group 2 - Personnel Safety and Health Subgroup D Hazardous Energy. # RL Criterion (2) Any failure to follow a prescribed hazardous energy control process that results in potential worker exposure to uncontrolled hazardous energy (e.g., live electrical power circuit, powered mechanical hazards, steam, pressurized gas, etc.); OR any discovery of an uncontrolled hazardous energy source (e.g., live electrical power circuit, powered mechanical hazards, steam, pressurized gas, etc.). This criterion does not include discoveries made by zero-energy checks and other precautionary investigations made before work is authorized to begin.</td>
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<td>01.06.01.314</td>
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<td>4. Occurrence Reporting Criteria. Group 3 - Nuclear Safety Basis Subgroup A Technical Safety Requirement and Other Hazard Control Violations (excluding nuclear criticality). # RL Criterion (1) Any violation or noncompliance of a Technical Safety Requirement (or Operational Safety Requirement) Safety Limit, Hazard Category 1, 2, or 3 nuclear facility’s Technical Safety Requirement (or Operational Safety Requirement) Limiting Control Setting, Limiting Condition for Operation, Specific Administrative Control, or Surveillance Requirement. Exception: An event consisting solely of a surveillance test (to include any periodic activity explicitly captured in the Documented Safety Analysis that is used to ensure operability or viability of a structure, system, or component) performed after the prescribed surveillance period, and in which the structure, system, or component was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below.)</td>
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<td>4. Occurrence Reporting Criteria.</td>
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<td>(2) L Any violation or noncompliance of a credited hazard control specified in a Hazard Category 1, 2, or 3 nuclear facility’s DOE approved Documented Safety Analysis [issued pursuant to 10 CFR Section 830.204, Documented Safety Analysis, and including Basis for Interim Operation, etc.], or DOE issued Safety Evaluation Report that are not addressed by Criterion 3A(1) or exception (a) or (b). Exceptions: (a) An event consisting solely of a violation of a safety management program (e.g., quality assurance, personnel training) cited in the Documented Safety Analysis. (b) An event consisting solely of a surveillance test (to include any periodic activity explicitly captured in the Documented Safety Analysis that is used to ensure operability or viability of a structure, system, or component) performed after the prescribed surveillance period, and in which the structure, system, or component was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below.)</td>
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<td>(3) L An event consisting solely of a surveillance test (to include any periodic activity explicitly captured in the Documented Safety Analysis that is used to ensure operability or viability of a structure, system, or component) performed after the prescribed surveillance period, and in which the structure, system, or component was found to be capable of performing its specified safety function.</td>
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<td>(1) L Identification of a radioactive material inventory that causes a nuclear facility to exceed its current approved/authorized Hazard Category.</td>
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<td>Att.2.4-G 03B(2)</td>
<td>4. Occurrence Reporting Criteria. Group 3 - Nuclear Safety Basis Subgroup B Documented Safety Analyses. # RL Criterion (2) Determination of a positive Unreviewed Safety Question (USQ) that reveals a currently existing inadequacy in the Documented Safety Analysis.</td>
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<td>Att.2.4-G 03B(3)</td>
<td>4. Occurrence Reporting Criteria. Group 3 - Nuclear Safety Basis Subgroup B Documented Safety Analyses. # RL Criterion (3) Declaration of a potential inadequacy of the documented safety analysis per 10 CFR 830.203(g).</td>
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<td>Att.2.4-G 03C(1)</td>
<td>4. Occurrence Reporting Criteria. Group 3 - Nuclear Safety Basis Subgroup C Nuclear Criticality Safety Control Violations. # RL Criterion (1) A criticality accident occurs.</td>
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<td>Att.2.4-G 03C(2)</td>
<td>4. Occurrence Reporting Criteria. Group 3 - Nuclear Safety Basis Subgroup C Nuclear Criticality Safety Control Violations. # RL Criterion (2) A condition in which no documented controls are available to prevent a criticality accident. An accident has not occurred due to other, non-documented barriers or controls.</td>
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<td>4. Occurrence Reporting Criteria. Group 3 - Nuclear Safety Basis Subgroup C Nuclear Criticality Safety Control Violations. # RL Criterion (3) A loss of one or more nuclear criticality documented controls such that an accidental criticality is possible from the loss of one additional documented control.</td>
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<td>4. Occurrence Reporting Criteria.</td>
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<td>Subgroup C Nuclear Criticality Safety Control Violations.</td>
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<td>(4)  L  A deficiency in criticality safety analysis or degradation of a documented criticality control (or controls) such that adequate controls were not in place for a credible criticality accident scenario.</td>
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<td>[Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.]</td>
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<td>• Performance degradation includes the absence of or deficiency with Design Features for which credit has been taken in the Documented Safety Analysis.</td>
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<td>• This subgroup applies even if all actions and completion times of the Limiting Condition for Operations are met, with no compromise to the authorization basis.]</td>
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<td>(1)  L  Performance degradation of any Safety Class (SC) or Safety Significant (SS) Structure, System, or Component (SSC), or any support system that is required for safety operation of the SC or SS SSCs, which prevents satisfactory performance of its design function when it is required to be operable.</td>
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<td>[Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.]</td>
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<td>Subgroup A Safety Structure/System/Component Degradation (Nuclear Facilities). ([Notes: • Performance degradation includes the absence of or deficiency with Design Features for which credit has been taken in the Documented Safety Analysis. • This subgroup applies even if all actions and completion times of the Limiting Condition for Operations are met, with no compromise to the authorization basis.]) # RL Criterion (2) I Performance degradation of any SC SSC when not required to be operable.</td>
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<td>Att.2.4-G 04B(1)</td>
<td>4. Occurrence Reporting Criteria.</td>
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<td>Subgroup B Operations. # RL Criterion (1) H A formal shutdown of an activity or operation for safety reasons, directed by the DOE Field Element Manager, Contracting Officer or senior contractor management requiring corrective actions prior to continuing operations (e.g., a Stop Work Order).</td>
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<td>Subgroup B Operations. # RL Criterion (2) H Actuation of a Safety Class (SC) Structure, System, or Component (SSC), or its alarms as a result of an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.</td>
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<td>4. Occurrence Reporting Criteria. Group 4 - Facility Status [Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.] Subgroup B Operations. # RL Criterion (3) L Actuation of a Safety Significant (SS) SSC, or its alarms as a result of an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.</td>
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<td>4. Occurrence Reporting Criteria. Group 4 - Facility Status [Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.] Subgroup B Operations. # RL Criterion (4) L A facility operational event which resulted in an adverse effect on safety, such as, but not limited to: (a) an inadvertent facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes); (b) a manual facility or operations shutdown due to alarm response procedures; (c) an inadvertent process liquid transfer; or (d) an inadvertent release of hazardous material from its engineered containment.</td>
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<td>4. Occurrence Reporting Criteria. Group 4 - Facility Status [Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.] Subgroup B Operations. # RL Criterion (5) I Any event or condition that would prevent immediate facility or offsite emergency response capabilities.</td>
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<td>01.06.01.331</td>
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<td>4. Occurrence Reporting Criteria. Group 4 - Facility Status [Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.] Subgroup C Suspect/Counterfeit and Defective Items or Material. [Notes: • Include the detailed information identified in Attachment 3. • Any suspect/counterfeit or defective item or material found in receipt inspection is exempt from this Subgroup.] # RL Criterion (1) Discovery of any suspect or counterfeit item or material found in a Safety Class (SC) or Safety Significant (SS) Structure, System, or Component (SSC).</td>
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<td>01.06.01.332</td>
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<td>4. Occurrence Reporting Criteria. Group 4 - Facility Status [Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.] Subgroup C Suspect/Counterfeit and Defective Items or Material. [Notes: • Include the detailed information identified in Attachment 3. • Any suspect/counterfeit or defective item or material found in receipt inspection is exempt from this Subgroup.] # RL Criterion (2) Discovery of any other suspect or counterfeit item or material [i.e., not found in a SC or SS SSC] that is found in any application whose failure could result in a loss of safety function, or present a hazard to public or worker health and safety.</td>
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**SRR Applicability**

- (X) Applicable

**Phase I Compliance**

- (X) Compliant

**Requirement Text**

- 01.06.01.333 DOEO232.2A Att.2.4-G 04C(3)

  - 4. Occurrence Reporting Criteria.
    - Group 4 - Facility Status
      - [Note: The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class or Safety Significant Structures, Systems, or Components would apply only to nuclear facilities.]
      - Subgroup C Suspect/Counterfeit and Defective Items or Material.
      - [Notes: • Include the detailed information identified in Attachment 3. • Any suspect/counterfeit or defective item or material found in receipt inspection is exempt from this Subgroup.]
      - # RL Criterion
      - (3) I Discovery of any defective item or material, other than a suspect/counterfeit item or material, in any application whose failure could result in a loss of safety function, or present a hazard to public or worker health and safety.

- 01.06.01.334 DOEO232.2A Att.2.4-G 05A(1)

  - 4. Occurrence Reporting Criteria.
    - Group 5 - Environmental
      - Subgroup A Releases.
      - [Note: See Group 1, for situations under which releases of hazardous or extremely hazardous substances would be reported under “Operational Emergencies.”]
      - # RL Criterion
      - (1) L Any release (onsite or offsite) of a hazardous or extremely hazardous substance, including radionuclides from a DOE facility above federally permitted releases in a quantity equal to or exceeding the federal reportable quantities specified (See specifications in 40 CFR Part 302, Designation, Reportable Quantities, and Notification; 40 CFR Part 355, Emergency Planning and Notification; and CERCLA Section 101(10), Federally Permitted Releases.)
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<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
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| 01.06.01.335             | DOE0232.2A     | Att.2.4-G 05A(2)          | 4. Occurrence Reporting Criteria. Group 5 - Environmental Subgroup A Releases. [Note: See Group 1, for situations under which releases of hazardous or extremely hazardous substances would be reported under "Operational Emergencies."]  
# RL Criterion  
(2) 1 Any release (onsite or offsite) of a pollutant from a DOE facility that is above levels or limits specified by outside agencies in a permit, license, or equivalent authorization, when reporting is required in a format other than routine periodic reports.  
[Note: This criterion does not apply to the following:  
• Discharges (including potable water) that do not result in leaching or erosion of contaminated material from a known or suspected boundary of a Potential Release Site.  
• Discharges (including potable water) capable of reaching surface or groundwater that do not require remediation/repair. (The contractor’s environmental subject matter experts make the determination of environmental impact and the need for remediation/repair activities.)] | X               | X             | X                   | X                   | X               | X                 | X                |
| 01.06.01.336             | DOE0232.2A     | Att.2.4-G 05A(3)          | 4. Occurrence Reporting Criteria. Group 5 - Environmental Subgroup A Releases. [Note: See Group 1, for situations under which releases of hazardous or extremely hazardous substances would be reported under "Operational Emergencies."]  
# RL Criterion  
(3) 1 Any release (onsite or offsite) that exceeds 100 gallons of oil of any kind or in any form, including, but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil. For operations involving oil field crude or condensate, any discharge that must be reported to outside agencies in a format other than routine periodic reports is reportable under this criterion. | X               | X             | X                   | X                   | X               | X                 | X                |
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<td>4. Occurrence Reporting Criteria. Group 5 - Environmental Subgroup A Releases. [Note: See Group 1, for situations under which releases of hazardous or extremely hazardous substances would be reported under &quot;Operational Emergencies.&quot;] # RL Criterion (4) I Any discrete release of sulfur hexafluoride (SF6) due to an event or DOE operation equal to or exceeding 115 pounds (1,247 metric tons of CO2e according to 40 CFR Part 98, Subpart A, Table A-1, Global Warming Potentials) or 115 pounds more than the normal release quantity if the SF6 release is a common byproduct of the operation. [Note: For this criterion, discrete means the event or operation has defined start and stop points less than seven full days apart.]</td>
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<td>01.06.01.338</td>
<td>DOEO232.2A Att.2.4-G 05B(1)</td>
<td>4. Occurrence Reporting Criteria. Group 5 - Environmental Subgroup B Ecological and Cultural Resources. # RL Criterion (1) H Any occurrence including releases causing significant impact to ecological or cultural resource for which DOE has responsibility under applicable laws, regulations, and Executive Orders. For example, extensive damage to, or destruction of: (a) Ecologically preserved areas, or pristine or protected wetlands; (b) Threatened or protected flora or fauna or critical habitats; (c) Potable drinking water intake or well usage; or (d) Historical/archeological sites.</td>
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<td>DOEO232.2A Att.2.4-G 05B(2)</td>
<td>4. Occurrence Reporting Criteria. Group 5 - Environmental Subgroup B Ecological and Cultural Resources. # RL Criterion (3) H Any occurrence, including releases, resulting in extensive environmental degradation (e.g., fish kill; notable loss or relocation of native species; need for interdiction of crop sales; or restriction to human access).</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<td>Subgroup A Loss of Control of Radioactive Materials.</td>
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<td>[Note: Subgroup 6A criteria apply to bulk radioactive materials, sealed</td>
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<td>sources, and property containing radioactive materials, including</td>
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<td>discovered legacy radioactive materials, but do not apply to surface</td>
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<td>(1) H Identification of radioactive material offsite due to DOE operations/activities that exceeds applicable DOE limits (pursuant to DOE O 458.1 Chg 3, Radiation Protection of the Public and the Environment, dated 1-15-13).</td>
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<td>(2) H Loss or unexpected discovery of radioactive material that exceeds</td>
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<td>100 times the values in 10 CFR Part 835, Occupational Radiation Protection,</td>
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<td>Appendix E (excluding consumer products such as smoke</td>
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<td>detectors, if they are handled in accordance with manufacturer’s</td>
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<td>instructions), or loss of accountability of such material for more than</td>
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<td>24 hours. The 24 hour time period begins when the loss of accountability</td>
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<td>is discovered and must include one business day.</td>
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<td>[Note: Subgroup 6A criteria apply to bulk radioactive materials, sealed sources, and property containing radioactive materials, including discovered legacy radioactive materials, but do not apply to surface radioactive contamination on property. Surface radioactive contamination is addressed in Subgroup 6B.] # RL Criterion (3) L Loss or unexpected discovery of radioactive material which exceeds one times and no greater than 100 times the values in 10 CFR Part 835, Appendix E (excluding consumer products such as smoke detectors, if they are handled in accordance with manufacturer’s instructions) or loss of accountability of such material for more than 24 hours. The 24 hour time period begins when the loss of accountability is discovered and must include one business day. [Note: Legacy radioactive material discovered through a routine radiological monitoring program, compliant with 10 CFR Part 835 may be summarized in a single occurrence report, for example, on a quarterly basis. Each instance of legacy radioactive material must be identified in the report and contain the details required for reporting in accordance with this Order.]</td>
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<td># RL Criterion (1) H Identification of offsite radioactive contamination due to DOE operations/activities that exceeds applicable DOE approved authorized limits (pursuant to DOE O 458.1 Chg 3, Radiation Protection of the Public and the Environment, dated 1-15-13) or, if there are none, the total contamination values in 10 CFR Part 835, Appendix D. [Note: Release or clearance of property containing or potentially containing residual radioactive material is subject to requirements in DOE O 458.1 Chg 3. Compliance with 10 CFR Part 835, Appendix D values does not necessarily satisfy the requirements in DOE O 458.1 Chg 3.]</td>
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<td>DOE2322A</td>
<td>Att.2.4-G 06B(2)</td>
<td>4. Occurrence Reporting Criteria. Group 6 - Contamination/Radiation Control Subgroup B Spread of Radioactive Contamination. # RL Criterion (2) H Identification of onsite radioactive contamination greater than 100 times the total contamination value in 10 CFR Part 835 Appendix D, exclusive of footnote 3 to Appendix D, and that is found outside of the following locations: areas routinely posted controlled, and monitored for contamination; areas controlled in accordance with 10 CFR Section 835.1102(c); and, per 10 CFR Section 835.604(a), any non-posted area that is under the continual observation and control of an individual knowledgeable of and empowered to implement required access and exposure control measures. For tritium, the reporting threshold is 100 times the removable contamination values in 10 CFR Part 835, Appendix D. [Notes: • This does not apply to surface contamination from residual radioactive material meeting applicable DOE approved authorized limits. • This does not apply to legacy contamination that is to be reported under a separate criterion below. • The discovery of radioactive contamination from a past DOE/NNSA operation that may have caused, is causing, or may reasonably be expected to cause an uncontrolled personnel exposure exceeding protective action criteria may be reportable as an Operational Emergency under Group 1, Criterion 1.]</td>
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Group 6 - Contamination/Radiation Control
Subgroup B Spread of Radioactive Contamination.

(3) Identification of onsite radioactive contamination greater than 10 times and no greater than 100 times the total contamination values in 10 CFR Part 835, Appendix D, exclusive of footnote 3 to Appendix D, and that is found outside of the following locations: areas routinely posted, controlled, and monitored for contamination; areas controlled in accordance with 10 CFR Section 835.1102(c); and, per 10 CFR Section 835.604(a), any non-posted area that is under the continual observation and control of an individual knowledgeable of and empowered to implement required access and exposure control measures. For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D.

[Notes:
• This does not apply to surface contamination from residual radioactive material meeting applicable DOE approved authorized limits.
• This does not apply to legacy contamination that is to be reported under a separate criterion below.
• This reporting criterion does not apply to packages monitored in accordance with 10 CFR Section 835.405 that meet DOT contamination limits specified in 49 CFR Section 173.443(a).]
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<td>Group 6 - Contamination/Radiation Control</td>
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<td>Subgroup B Spread of Radioactive Contamination.</td>
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<td># RL Criterion</td>
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<td>(4) I Identification of onsite legacy radioactive contamination greater than 10 times the total contamination values in 10 CFR Part 835 Appendix D, exclusive of footnote 3 to Appendix D, and that is found outside of the following locations: areas routinely posted, controlled, and monitored for contamination; and areas controlled in accordance with 10 CFR Section 835.1102(c); and, per 10 CFR Section 835.604(a), any non-posted area that is under the continual observation and control of an individual empowered to implement access and exposure control measures. For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D. [Notes: • Legacy radioactive contamination is radioactive contamination resulting from historical operations that are unrelated to current activities. • This does not apply to contamination from residual radioactive material meeting applicable DOE approved authorized limits. • Legacy contamination identified through a routine radiological monitoring program, compliant with 10 CFR 835 may be summarized in a single occurrence report, for example, on a quarterly basis. Each instance of legacy contamination must be identified in the report and contain the details required for reporting in accordance with this Order.]</td>
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<td>Subgroup C Radiation Exposure.</td>
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<td>[Note: For all of Subgroup C, reportability should be determined promptly following an event, using field indicators when dosimetry results are not available. Quantitative dose estimates should only be reported using the site’s established dosimetry, dose assessment, and modeling processes. Resulting confirmed dose estimates may overturn initial reportability determinations.]</td>
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<td># RL Criterion</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<td>Radio-logical</td>
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<td>High Hazard Chemical</td>
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<td>Other Industrial</td>
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<td>Subgroup C Radiation Exposure.</td>
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<td>[Note: For all of Subgroup C, reportability should be determined promptly following an event, using field indicators when dosimetry results are not available. Quantitative dose estimates should only be reported using the site’s established dosimetry, dose assessment, and modeling processes. Resulting confirmed dose estimates may overturn initial reportability determinations.]</td>
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<td># RL Criterion</td>
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<td>(2) H Failure to provide the required monitoring for an exposure estimated to exceed the values for providing personnel dosimeters and bioassays as stated in 10 CFR Section 835.402(a) or 10 CFR Section 835.402(c).</td>
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<td>Subgroup C Radiation Exposure.</td>
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<td>[Note: For all of Subgroup C, reportability should be determined promptly following an event, using field indicators when dosimetry results are not available. Quantitative dose estimates should only be reported using the site’s established dosimetry, dose assessment, and modeling processes. Resulting confirmed dose estimates may overturn initial reportability determinations.]</td>
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<td># RL Criterion</td>
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<td>(3) L Determination of a single occupational dose, attributable to an identified event that exceeds an expected dose by: (1) 500 mrem Committed Effective Dose (CED), or (2) 100-mrem effective dose due to external exposure.</td>
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<td>[Note: For all of Subgroup C, reportability should be determined promptly following an event, using field indicators when dosimetry results are not available. Quantitative dose estimates should only be reported using the site’s established dosimetry, dose assessment, and modeling processes. Resulting confirmed dose estimates may overturn initial reportability determinations.]</td>
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<td># RL Criterion</td>
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<td>(4) L A radiological release that exceeds any limit contained in paragraphs 4.f.(2), 4.f.(5), 4.g.(4), 4.g.(5)(a), 4.g.(7), 4.g.(8)(a)(4) or 4.i.(1) (and paragraphs 2.f.(2), 2.f.(5), 2.g.(4), 2.g.(5)(a), 2.g.(7), 2.g.(8)(a)(4) or 2.i.(1) of the CRD) of DOE O 458.1 Chg 3, Radiation Protection of the Public and the Environment, dated 1-15-13 or exceeds the 40 CFR Section 61.92 requirements.</td>
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<td># RL Criterion</td>
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<td>(1) H Any occurrence requiring offsite medical assistance for contaminated personnel, including transporting a person with personnel or clothing contamination due to DOE operations/activities that exceeds 1 times the total contamination values in 10 CFR Part 835, Appendix D to an offsite medical facility or bringing offsite medical personnel onsite to perform treatment or decontamination.</td>
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<td>(2) H Identification of offsite personnel or clothing contamination due to DOE operations/activities that exceeds 1 times the total contamination values in 10 CFR Part 835, Appendix D. For tritium, the reporting threshold is 1 times the removable contamination value found in 10 CFR Part 835, Appendix D.</td>
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<td>4. Occurrence Reporting Criteria. Group 6 - Contamination/Radiation Control Subgroup D Personnel Contamination. # RL Criterion (3) Identification of onsite personnel or clothing contamination (excluding anti-contamination clothing provided by the site for radiological protection) that exceeds 10 times the total contamination values identified in 10 CFR Part 835, Appendix D. The contamination level must be based on direct measurement and not averaged over any area. This criterion does not apply to tritium contamination.</td>
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<td>DOE232.2A Att.2.4-G 07(1)</td>
<td>4. Occurrence Reporting Criteria. Group 7 - Nuclear Explosive Safety # RL Criterion (1) Damage to a nuclear explosive that results in a credible threat to nuclear explosive safety.</td>
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<td>4. Occurrence Reporting Criteria. Group 7 - Nuclear Explosive Safety # RL Criterion (2) An event where the potential for nuclear explosive safety consequences was substantially increased, such as: (a) Unauthorized introduction of electrical, mechanical, chemical, thermal, or electromagnetic energy into a nuclear explosive; (b) Unauthorized compromise of a nuclear explosive safety feature when installed on a nuclear explosive; (c) Inadvertent substitution of a nuclear explosive for a Nuclear Explosive-Like Assembly (NELA) or vice versa; or (d) Violation of a Nuclear Explosive Safety Rule (NESR).</td>
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<td>Group 7 - Nuclear Explosive Safety</td>
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<td># RL Criterion</td>
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<td>(3) L An event that resulted in an adverse effect on nuclear explosive safety, such as:</td>
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<td>(a) Use of uncertified personnel or presence of unauthorized/analyzed equipment/tooling;</td>
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<td>(b) Violation of the Two-Person Concept (TPC) of operations (such as open locks, loss of TPC for nuclear explosives, and Category 1 electrical equipment, etc.);</td>
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<td>(c) Discovery of any other condition that results in an adverse effect on nuclear explosive safety (e.g., mis-designed, misfabricated, or damaged tooling, equipment, or components which could lead to unanalyzed application of energy to a nuclear explosive). Discovery of such conditions prior to introduction into a nuclear explosive area need not be reported in this category.</td>
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<tr>
<td>01.06.01.357</td>
<td>DOEO232.2A</td>
<td>Att.2.4-G 08(1)</td>
<td>4. Occurrence Reporting Criteria.</td>
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<td>Group 8 - Packaging and Transportation</td>
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<td># RL Criterion</td>
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<td>(1) H Any offsite transportation incident involving hazardous materials that would require immediate notice pursuant to 49 CFR Section 171.15(b). [Note: Any occurrence involving an offsite DOE/NNSA shipment containing hazardous materials that causes the initial responders to initiate protective actions at locations beyond the immediate/affected area should also be reported as an Operational Emergency under Group 1. Group 8 will be a secondary reporting criterion.]</td>
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<tr>
<td>01.06.01.358</td>
<td>DOEO232.2A</td>
<td>Att.2.4-G 08(2)</td>
<td>4. Occurrence Reporting Criteria.</td>
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<td>Group 8 - Packaging and Transportation</td>
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<td># RL Criterion</td>
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<td>(2) L Any deviation that would require a written report to the Nuclear Regulatory Commission (per 10 CFR Section 71.95) or to DOE HCO/NNSA CO (per DOE O 460.1C or DOE O 461.1C), namely:</td>
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<td>(a) Instance in which there is a significant reduction in the effectiveness (as defined by the certificate holder) of any approved fissile or Type B packaging during use.</td>
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<td>(b) Discovery of a defect with safety significance (as determined by the certificate holder) in a fissile or Type B packaging, after first use (by any shipper).</td>
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<td>(c) Instance in which the conditions of approval in the Certificate of Compliance (or equivalent) were not performed in making a shipment.</td>
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## Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

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<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
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<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
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<td>Nuclear HC-1,2,3</td>
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<td>Radio-logical</td>
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<td>Facility Specific</td>
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<td>01.06.01.359</td>
<td>DOE232.2A</td>
<td>Att.2.4-G 08(3)</td>
<td>4. Occurrence Reporting Criteria. Group 8 - Packaging and Transportation # RL Criterion (3) L Any offsite “accident” (per 49 CFR Section 390.5) involving a motor vehicle carrying DOE hazardous materials operating on a highway in interstate or intrastate commerce.</td>
<td>X X X X X X</td>
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<td>01.06.01.360</td>
<td>DOE232.2A</td>
<td>Att.2.4-G 08(4)</td>
<td>4. Occurrence Reporting Criteria. Group 8 - Packaging and Transportation # RL Criterion (4) L Any transportation activity for onsite transfer resulting in onsite release of radioactive materials, hazardous materials, hazardous substances, hazardous waste, or marine pollutants that is above permitted levels and exceeds the Reportable Quantities (RQ) specified in 40 CFR Part 302 or 40 CFR Part 355.</td>
<td>X X X X X</td>
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<td>01.06.01.361</td>
<td>DOE232.2A</td>
<td>Att.2.4-G 08(5)</td>
<td>4. Occurrence Reporting Criteria. Group 8 - Packaging and Transportation # RL Criterion (5) L Any offsite transportation incident involving DOE hazardous materials that requires submission of a Hazardous Materials Incident Report on DOT Form F 5800.1 pursuant to 49 CFR Section 171.16. [Note: For reporting under this criterion, the occurrence report belongs to the party that initiated the shipment (i.e., the occurrence report belongs to the shipper of record). Exemption from this criterion applies when the shipper is external to DOE.]</td>
<td>X X X X X</td>
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<td>01.06.01.362</td>
<td>DOE232.2A</td>
<td>Att.2.4-G 08(6)</td>
<td>4. Occurrence Reporting Criteria. Group 8 - Packaging and Transportation # RL Criterion (6) L Any offsite transportation of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is such that it is noncompliant with the receiving facilities Waste Acceptance Criteria (WAC) or other receipt requirements and the receiving organization’s operations were significantly impacted or disrupted (e.g., material cannot be accepted, possessed, or stored at that facility; must be treated or repackaged to be accepted; or exceeds a license or permit limit).</td>
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<td>Requirement Number</td>
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<td>01.06.01.363</td>
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<td>Att.2.4-G 08(7)</td>
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<td>4. Occurrence Reporting Criteria.</td>
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<td># RL Criterion</td>
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<td>(7) I Violation of applicable Hazardous Materials Regulations requirements for activities listed in 49 CFR Section 171.1(b) performed during the preparation of offsite hazardous materials shipments and discovered during shipment in commerce or at the receiving site.</td>
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<td>01.06.01.364</td>
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<td>(8) I Any onsite transfer of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is such that it is noncompliant with the receiving facilities Waste Acceptance Criteria (WAC) or other receipt requirements and the receiving organization’s operations were significantly impacted or disrupted (e.g., material cannot be accepted, possessed, or stored at that facility; must be treated or repackaged to be accepted; or exceeds a license or permit limit).</td>
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<td>01.06.01.365</td>
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<td>4. Occurrence Reporting Criteria.</td>
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<td># RL Criterion</td>
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<td>(9) I Unauthorized deviation from DOE instructions to commercial motor carriers for DOE hazardous materials shipments (e.g., designated route, prohibited route, designated time of the day).</td>
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<td>4. Occurrence Reporting Criteria.</td>
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<td>Group 9 - Noncompliance Notifications</td>
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<td># RL Criterion</td>
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<td>(1) I Any written notification from an outside regulatory agency that a site/facility is considered to be in noncompliance with a schedule or requirement.</td>
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<td>[Note: This criterion is not applicable to DOE Office of Enforcement actions.]</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<th>S/RID Requirement Number</th>
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<td>Other Industrial</td>
<td>Facility Specific</td>
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<th>S/RID Requirement Number</th>
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<th>SRR Applicability</th>
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<tr>
<td>01.06.01.367</td>
<td>DOEO232.2A Att.2.4-G10(1)</td>
<td>4. Occurrence Reporting Criteria. Group 10 - Management Concerns and Issues # RL Criterion (1) An event, condition, or series of events that does not meet any of the other reporting criteria, but is determined by the Facility Manager or line management to be of safety significance or of concern for that facility or other facilities or activities in the DOE complex.</td>
<td>X X X X X</td>
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<tr>
<td>01.06.01.368</td>
<td>DOEO232.2A Att.2.4-G10(2)</td>
<td>4. Occurrence Reporting Criteria. Group 10 - Management Concerns and Issues # RL Criterion (2) A near miss to an injury, where something physically happened that was unexpected or unintended AND where no barrier prevented an event from having a reportable consequence (i.e., happenstance was the main reason the event did not result in a reportable injury).</td>
<td>X X X X X</td>
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<tr>
<td>01.06.01.369</td>
<td>DOEO232.2A Att.2.4-G10(3)</td>
<td>4. Occurrence Reporting Criteria. Group 10 - Management Concerns and Issues # RL Criterion (3) Any occurrence that may result in a significant concern by affected state, tribal, or local officials, press, or general population; that could damage the credibility of the Department; or that may result in inquiries to Headquarters.</td>
<td>X X X X X</td>
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<tr>
<td>01.06.02.258</td>
<td>DOEO232.2A Att.3.1</td>
<td>(This Attachment provides information and requirements applicable to DOE O 232.2A and contracts that include the associated CRD (Attachment 1 to DOE O 232.2A).) Occurrence Reports must be written clearly and concisely so the general reader can understand the basic “who, what, when, where, how” of the event and safety issues involved. The following instructions apply:</td>
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<tr>
<td>01.06.02.259</td>
<td>DOEO232.2A Att.3.1</td>
<td>1. For Written Notifications for all Report Levels, the Title of Occurrence and the first paragraph of the Description of Occurrence must relay the essential nature of the event.</td>
<td>X X X X X</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<th>Requirement Text</th>
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<td>2. Final High Level Reports must also contain the following:</td>
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<td>a. The Description of Occurrence must contain the background and description of the event at a sufficient level of detail for the reader to understand what happened and the resulting consequences and actions.</td>
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<td>b. Identified causes and corrective actions must be included in the final report’s “Description of Cause” and “Corrective Actions” fields or may be uploaded as an attachment.</td>
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<td>c. Applicable causal codes. DOE-STD-1197-2011 provides explanations and further information regarding causal codes.</td>
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<td>d. Any extent of condition (if performed) must be included in the “Description of Cause” field or uploaded as an attachment.</td>
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<td>3. Informational Level Reporting can be tailored per Program Office direction to only be captured in local issues management systems. Program Offices have the authority to determine which Informational Level Reports will be submitted to the ORPS database.</td>
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<td>4. Reports on suspect/counterfeit and defective items or material, must provide the manufacturer/supplier/vendor (including a contact, phone number, and website); the model and part numbers; the quantity found; why the item/material is suspect/counterfeit or defective; and how the item/material is being used. Reports must also include the method of detection (i.e., craft inspection prior to installation, in-service inspection, or failure) and identify any resulting consequences, along with any photos via attachments, as appropriate. In some instances, the information may be considered sensitive (such as contact names and phone numbers). In those instances, the information need not be included in the occurrence report but may be obtained by contacting the Originator of the occurrence report.</td>
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<td>5. Reports must quantify the level of contamination, dose, exposure, release, and damage (e.g., estimate the acres of wild land burned) when possible, instead of merely stating a reportable limit was exceeded.</td>
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<td>6. Information in different formats (e.g., photos, sketches, drawings, and supporting documents) may be uploaded as attachments.</td>
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- **S/RID Requirement Number**: 01.06.02.260, 01.06.02.261, 01.06.02.262, 01.06.02.263, 01.06.02.264
- **Source Document**: DOEO232.2A Att.3.2, Att.3.3, Att.3.4, Att.3.5, Att.3.6
- **Source Document Req Number**: 01.06.02.260, 01.06.02.261, 01.06.02.262, 01.06.02.263, 01.06.02.264
### Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

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<td>Nuclear HC-1,2,3</td>
<td>Low Hazard Chemical</td>
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<td>Radiological</td>
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<td>Other Industrial</td>
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<td>Facility Specific</td>
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<tr>
<td>01.06.02.265</td>
<td>DOEO232.2A</td>
<td>Att.4.[Table]</td>
<td>[This Attachment provides information and requirements applicable to DOE O 232.2A and contracts that include the associated CRD (Attachment 1 to DOE O 232.2A).] See DOE O 232.2A Attachment 4, Occurrence Reporting Model for the table. Notes: • Categorization Time is no later than two hours from the Discovery Time. • Initial Notification is from Categorization Date and Time. • Written Notification (Occurrence Report) is from Categorization Date and Time. • All time requirements are as listed or as soon thereafter as reasonably possible. • Informational Level Reporting can be tailored per Program Office direction to only be captured in local issues management systems. Program Offices have the authority to determine which Informational Level Reports will be submitted to the ORPS database.</td>
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<td>01.06.02.266</td>
<td>DOEO232.2A</td>
<td>Att.4.1</td>
<td>Reportable occurrences, as defined by the criteria in Attachment 2, must be processed according to the following requirements. 1. Security Requirements. a. Occurrence Reports containing any classified information or Controlled Unclassified Information (CUI) must not be entered in the ORPS database. Final occurrence reports should be reviewed by the Originator for public release prior to final entry into the ORPS database. Final Occurrence Reports are automatically posted for public release. b. For occurrences with classified information, an unclassified version of the Occurrence Report that has been sanitized of all CUI must be submitted to ORPS within the time frames specified in this Order. c. Occurrence reports involving incidents of counterintelligence concern (e.g., foreign persons, governments, organizations, entities, or influence) must not be entered or referenced in the ORPS database.</td>
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<tr>
<td>01.06.02.267</td>
<td>DOEO232.2A</td>
<td>Att.4.2</td>
<td>Reportable occurrences, as defined by the criteria in Attachment 2, must be processed according to the following requirements. 2. Event or Condition Categorization. Events or conditions must be initially categorized according to the Reporting Criteria in Attachment 2. The categorization for the incident must be reevaluated and changed as new information becomes available.</td>
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<td>Reportable occurrences, as defined by the criteria in Attachment 2, must be</td>
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<td>processed according to the following requirements.</td>
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<td>3. Initial Notification.</td>
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<td>a. Initial Notification to the Facility Representative or Designated DOE</td>
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<td>Representative must be in accordance with approved local site processes.</td>
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<td>b. The Initial Notification must include information on the following items,</td>
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<td>as available:</td>
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<td>(1) Categorization</td>
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<td>(2) All of the applicable Reporting Criteria (i.e., including the Group,</td>
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<td></td>
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<td></td>
<td>Subgroup and Sequence Numbers) associated with the occurrence</td>
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<td></td>
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<td>(3) Location and description of the event</td>
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<td>(4) Date and time of discovery</td>
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<td>(5) Impact of event on activities and operations</td>
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<td>(6) Immediate actions taken</td>
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<td>c. Follow-up notifications must be made for any occurrence that is re-</td>
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<td></td>
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<td>categorized and/or upon further degradation in the level of safety or impact</td>
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<td></td>
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<td>on the environment, health, or operations of the facility or other worsening</td>
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<td></td>
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<td>conditions subsequent to the initial notification.</td>
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<td>d. Written Notification Report. A Written Notification Report must be</td>
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<td>submitted into the ORPS database within the timeframe specified in this</td>
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<td>Order, or as soon thereafter as reasonably possible (refer to the table above).</td>
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<td>e. Updating Reports. If a change in categorization or correction of</td>
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<td>information is needed, information must be provided in the &quot;Updated</td>
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<td></td>
<td></td>
<td></td>
<td>Report Information&quot; field. Any other updates for Low or Informational Level</td>
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<td>Reports are optional.</td>
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<td>4. Finalizing Reports. Final High Level Reports must be submitted within</td>
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<td>60 calendar days after initial categorization of the occurrence. The Final</td>
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<td>Report must be prepared using the writing instructions provided in</td>
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<td></td>
<td></td>
<td></td>
<td>Occurrence Report Preparation (Attachment 3).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>01.06.02.269</th>
<th>DOEO232.2A</th>
<th>Att.4.4.</th>
<th>Reportable occurrences, as defined by the criteria in Attachment 2, must be processed according to the following requirements.</th>
<th>X</th>
<th>X</th>
</tr>
</thead>
</table>

| 01.06.02.269 | DOEO232.2A | Att.4.4. | Reportable occurrences, as defined by the criteria in Attachment 2, must be processed according to the following requirements. | X                 | X                  |

<p>| 01.06.02.269 | DOEO232.2A | Att.4.4. | Reportable occurrences, as defined by the criteria in Attachment 2, must be processed according to the following requirements. | X                 | X                  |</p>
<table>
<thead>
<tr>
<th>Requirement Text</th>
<th>Nuclear</th>
<th>Radiological</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>S/RID 01.06.02.270, Source Document DOEO232.2A, Req Document Reqt Number Att.4.5. Reportable occurrences, as defined by the criteria in Attachment 2, must be processed according to the following requirements. 5. Report Closure, a. Within 14 calendar days after finalizing a High Level Report, the Facility Representative or Designated DOE Representative must review the report with regard to the requirements of this Order and approve, reject, and add comments, as necessary. b. If the Final High Level Report is rejected by the applicable Facility Representative or Designated DOE Representative, the Representative must provide the reason for rejection in the report’s “Facility Representative Comment” field. A revised Final Report must be resubmitted within 21 calendar days of the rejection. If the revised report cannot be resubmitted within this time, an update to the Occurrence Report must be submitted explaining the delay and providing an estimated date for resubmittal.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>S/RID 01.06.03.065, Source Document DOEO225.1B, Req Document Reqt Number Att.1(1) Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor’s compliance with the requirements.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>S/RID 01.06.03.066, Source Document DOEO225.1B, Req Document Reqt Number Att. 1 The contractor must support Federal investigations of accidents related to activities under their contract. The contractor must: Establish and maintain a capability to respond to accidents, mitigate accident consequences, assist in collecting and preserving evidence, and assist during the conduct of the investigation. The assistance provided must include preserving and documenting the accident scene to the extent that it is under the control of the contractor.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>S/RID 01.06.03.067, Source Document DOEO225.1B, Req Document Reqt Number Att. 2 The contractor must support Federal investigations of accidents related to activities under their contract. The contractor must: Prepare, implement, and track to completion, approved corrective action plans that are identified for their action by the Accident Investigation Board.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.06.03.077</td>
<td>DOE0232.2A Att.4.6.</td>
<td>REPORTABLE OCCURRENCES, AS DEFINED BY THE CRITERIA IN ATTACHMENT 2, MUST BE PROCESSED ACCORDING TO THE FOLLOWING REQUIREMENTS.</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. OCCURRENCE INVESTIGATION AND ANALYSIS.</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td>A. GENERAL. OCCURRENCES MUST BE INVESTIGATED AND ANALYZED USING A GRADED APPROACH IN ACCORDANCE WITH LOCALLY APPROVED QUALITY AND ISSUES MANAGEMENT PROCEDURES. FACILITY MANAGERS MUST CONSIDER THE SIGNIFICANCE OR POTENTIAL SIGNIFICANCE OF THE EVENT WHEN CHOOSING THE SCOPE AND TOOLS TO USE IN THE INVESTIGATION.</td>
<td></td>
<td>X</td>
<td>X</td>
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<td></td>
<td></td>
<td>B. FOR HIGH LEVEL REPORTS, IDENTIFIED CAUSES, CORRECTIVE ACTIONS, AND ANY EXTENT OF CONDITION (IF PERFORMED) MUST BE INCLUDED IN THE FINAL REPORT’S “DESCRIPTION OF CAUSE” FIELD. ALTERNATIVELY, DESCRIPTION OF CAUSE AND CORRECTIVE ACTIONS MAY BE UPLOADED AS AN ATTACHMENT.</td>
<td></td>
<td>X</td>
<td>X</td>
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<tr>
<td></td>
<td></td>
<td>C. FOR ALL REPORTS, ATTACHMENTS MAY BE INCLUDED.</td>
<td></td>
<td>X</td>
<td>X</td>
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<td>D. LESSONS LEARNED. LESSONS LEARNED MUST BE CONSIDERED IN ACCORDANCE WITH DOE O 210.2A, DOE CORPORATE OPERATING EXPERIENCE PROGRAM, DATED 4-8-11. ANY LESSONS LEARNED DEVELOPED FROM THE EVENT MUST BE ENTERED IN THE “LESSONS LEARNED” FIELD.</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.07.01.039</td>
<td>DOE0425.1D Att. 1.1</td>
<td>DEPARTMENT OF ENERGY (DOE) INCLUDING THE NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) CONTRACTOR RESPONSIBILITIES. THIS CONTRACTOR REQUIREMENTS DOCUMENT (CRD) APPLIES TO ALL NUCLEAR FACILITIES, ACTIVITIES, AND OPERATIONS CLASSIFIED AS HAZARD CATEGORIES 1, 2, OR 3, INCLUDING NNSA FACILITIES, AS DEFINED IN 10 CFR PART 830. CONTRACTORS MUST ESTABLISH PROCEDURES TO MANAGE STARTUP AND RESTART ACTIONS IN ACCORDANCE WITH THIS CRD. DEFINITIONS OF TERMS USED IN THIS CRD ARE FOUND IN THE DEFINITION SECTION OF DOE STD 3006-2010. REGARDLESS OF THE PERFORMER OF THE WORK, THE CONTRACTOR IS RESPONSIBLE FOR COMPLYING WITH THE REQUIREMENTS OF THIS CONTRACTOR REQUIREMENTS DOCUMENT (CRD) AND FLOWING DOWN CRD REQUIREMENTS TO SUBCONTRACTORS AT ANY TIER TO THE EXTENT NECESSARY TO ENSURE CONTRACTOR COMPLIANCE.</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
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<th>Source Document Req't Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.07.01.040</td>
<td>DOE025.1D-AChg1</td>
<td>Att. 1.2</td>
<td>CONTRACTOR REQUIREMENTS. DOE Standard (STD) 3006-2010, Planning and Conduct of Readiness Reviews, provides guidance on approaches and methods approved as acceptable for implementing the requirements of this CRD. Other approaches and methods may be used provided they are documented, and approved by DOE Line Management as being in accordance with the requirements of this CRD. Contractor line management must develop procedures to define the processes that will be used to implement the responsibilities of this CRD. These procedures must be submitted to DOE line management for concurrence. On-site transportation activities are subject to this order unless an alternate process is identified with PSO approval and CTA concurrence.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>01.07.01.041</td>
<td>DOE025.1D-AChg1</td>
<td>Att. 1.2.a.1</td>
<td>CONTRACTOR REQUIREMENTS Determining the Level of Readiness Review Contractor line management must evaluate the need to perform a Readiness Review [Operational Readiness Review (ORR) or Readiness Assessment (RA)] prior to the startup and restart of Hazard Category 1, 2, and 3 nuclear facilities, activities, or operations. Contractor line management must ensure that a properly scoped Readiness Review is planned and conducted to verify readiness for the startup and restart of Hazard Category 1, 2, and 3 nuclear facilities, activities, or operations, unless both of the following conditions are met: (a) The restart is a resumption of routine operations after a short interruption (such as maintenance activities governed by existing maintenance procedures and processes) as defined in local procedures. (Note: 'short' may be defined as up to 6 months for Hazard Category 1 facilities, activities, or operations unless with PSO approval and CTA concurrence, this may be adjusted up to a maximum of twelve months. ‘Short’ may be defined as up to 12 months for Hazard Category 2 or 3 facilities, activities, or operations); and (b) The restart is conducted using contractor-approved operating procedures that provide specific direction for operating systems and equipment during normal conditions.</td>
<td>X</td>
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<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Source Document Reqd Number</td>
<td>Requirement Text</td>
<td>SRR Applicability</td>
<td>Phase I Compliance</td>
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<tr>
<td>01.07.01.042</td>
<td>DOE0425.1D-ACgh1</td>
<td>Att. 1.2.a.(2)</td>
<td>CONTRACTOR REQUIREMENTS Determining the Level of Readiness Review An ORR must be conducted for any of the following: (a) The initial startup of a newly constructed nuclear facility. For the purpose of this criterion, a newly constructed nuclear facility refers to a new facility (not operation or activity) with a new Documented Safety Analysis (DSA) and associated Technical Safety Requirements (TSRs); (b) Initial startup after conversion of an existing facility to a new nuclear mission with a new DSA and associated TSRs; (c) The restart of a nuclear facility, activity, or operation that has upgraded its hazard categorization to Hazard Category 1, 2, or 3; (d) Restart after a DOE management official directs the shutdown of a nuclear facility, activity, or operation for safety reasons; (e) Restart of a nuclear facility, activity, or operation after violation of a Safety Limit, as defined in 10 CFR Section 830.3, Definitions; or (f) Any situation deemed appropriate by DOE or contractor line management officials.</td>
<td>X</td>
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</tr>
<tr>
<td>01.07.01.043</td>
<td>DOE0425.1D-ACgh1</td>
<td>Att. 1.2.a.(3)</td>
<td>CONTRACTOR REQUIREMENTS Determining the Level of Readiness Review An RA must be conducted for startup or restart of a Hazard Category 1, 2, or 3 nuclear facility, activity, or operation except as discussed in paragraphs (1) and (2) above, or when deemed appropriate by DOE or contractor line management officials. Note: Paragraphs (1) and (2) are provided as S/RID requirements 01.07.01.041 and 01.07.01.042 respectively.</td>
<td>X</td>
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<tr>
<td>S/RID Requirement Number</td>
<td>Source Document</td>
<td>Source Document Req't Number</td>
<td>Requirement Text</td>
<td>SRR Applicability</td>
<td>Phase I Compliance</td>
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<tr>
<td>01.07.01.044</td>
<td>DOE0425.1D- AChg1</td>
<td>Att. 1.2.b</td>
<td>CONTRACTOR REQUIREMENTS Determining the SAA</td>
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For nuclear facility, activity, or operation startup or restart actions, the SAA must be determined using the following criteria:

1. For initial startup of a newly constructed Hazard Category 1 or 2 nuclear facility [not activity or operation] with a new DSA and associated TSRs, the Secretary of Energy (or designee) must approve startup. For initial startup of a newly constructed Hazard Category 3 nuclear facility [not activity or operation] with a new DSA and associated TSRs, the Cognizant Secretarial Officer (CSO) (or designee) must approve startup. If CRDs to other DOE directives require a higher level of startup authorization than this CRD, the official described in this CRD will recommend startup to the higher-level official. For initial startup of a newly constructed Hazard Category 1, 2, or 3 nuclear activity or operation with a new DSA and associated TSRs, approval to start must be granted by an official of a level commensurate with the DSA Approval Authority.

2. For initial startup after conversion of an existing nuclear facility to a new Hazard Category 1 or 2 nuclear facility with a new DSA and associated TSRs, the Secretary of Energy (or designee) must approve startup. For initial startup after conversion of an existing facility to a new Hazard Category 3 nuclear facility with a new DSA and associated TSRs, the CSO (or designee) must approve startup. If CRDs to other DOE directives require a higher level of startup authorization than this CRD, the official described in this CRD will recommend startup to the higher-level official.

3. For restart of a nuclear facility, activity, or operation that has upgraded its hazard categorization to Hazard Category 1 or 2, the Secretary of Energy (or designee) must approve startup. For the restart of a nuclear facility, activity, and operation that has upgraded its hazard categorization to Hazard Category 3, the CSO (or designee) must approve restart.

4. For a shutdown directed by a DOE management official for safety reasons, approval to restart must be granted by an official of a level commensurate with the official ordering the shutdown, unless a higher level is designated by the CSO.

5. For a shutdown following a violation of a Safety Limit, approval to restart must be granted by an official of a level commensurate with the Approval Authority for the Safety Limit. If the Safety Limit was approved by a Headquarters official, the CSO (or designee) must approve restart. If the Safety Limit was approved by a field official, the field element manager (or designee) must approve restart.
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req# Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.07.01.044</td>
<td>DOE O425.1D-AChg1</td>
<td>Att. 1.2.b</td>
<td>CONTRACTOR REQUIREMENTS Determining the SAA</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

(6) For an extended shutdown of a Hazard Category 1 nuclear facility, activity, or operation, the CSO (or designee) must approve restart. For an extended shutdown of a Hazard Category 2 nuclear facility, activity, or operation, the CSO (or designee) must approve restart.

(7) For a shutdown because of substantial process, system, or facility modifications to a Hazard Category 1 nuclear facility, activity, or operation, the CSO must approve restart. For a shutdown because of substantial process, system, or facility modifications to Hazard Category 2 nuclear facility, activity, or operation, the CSO (or designee) must approve restart.

(8) For startup or restart of a nuclear facility, activity, or operation for which Readiness Reviews were required because a DOE official deemed it appropriate, the official approving startup or restart must be of a level commensurate with the official directing the review be conducted.

(9) In all other cases as specified in the approved Startup Notification Report (SNR). The SAA may be a senior contractor official if so designated in the SNR.
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Reqd Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
</table>
| 01.07.01.045             | DOE/O425.1D-ACgh1 | Att. 1.2.c                 | CONTRACTOR REQUIREMENTS Startup Notification Report. Contractor procedures must provide for SNRs.  
(1) SNRs must be submitted to DOE quarterly or on a periodicity as defined by the PSO.  
(2) SNRs must project ahead at least one year, updating information from previously approved SNRs for startups and restarts that have not yet occurred, and adding information for each startup or restart that has been identified since the last approved SNR.  
(3) The SNR is to be forwarded to DOE line management for approval.  
(4) Information to be included in the SNR for each startup or restart must be accurate and adequate to fully support the recommended actions and permit an informed decision by DOE. The SNR must include, at a minimum:  
(a) A brief description of the facility or program work including Hazard Categorization, to be started or restarted;  
(b) The reason for non-operation (e.g., maintenance or modification outage, no program work, new facility, shutdown for safety concerns, etc);  
(c) The approximate date that operations were last conducted (for restarts) and the projected date for the startup;  
(d) The proposed type of readiness review, including whether a DOE Readiness Review is required;  
(e) The basis or justification for the proposed type of Readiness Review;  
(f) The proposed SAA; and  
(g) The projected date for the submittal of the associated Plan of Action (POA).  
(5) Contractor Readiness Reviews must not commence until the SNR and POA have been approved.  
(6) Every startup or restart determined to require a Readiness Review must be included in the SNR. Readiness for these startups and restarts must be verified using an ORR or properly scoped RA as appropriate. Contractor routine procedures must not be developed for the purpose of avoiding a properly scoped RA. | X | X |
<table>
<thead>
<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Req# Number</th>
<th>Requirement Text</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
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<tbody>
<tr>
<td>01.07.02.099</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.d.(1)</td>
<td>CONTRACTOR REQUIREMENTS</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Requirements Applicable to Operational Readiness Reviews.

Contractor line management must develop a POA, which describes the scope of the ORR. The POA must provide a clear discussion of the physical or geographic scope of the ORR and a clear description of the structures, systems, and components (SSCs), individual processes, and programs that are within the scope of the ORR. The POA must also designate the proposed ORR team leader.

(a) All core requirements identified in section 2.f, below, must be addressed when developing the breadth of the ORR. The POA may also define the depth or tailoring for each core requirement to more fully describe the total required scope of the ORR.

(b) In order to justify not performing evaluation of a core requirement, or portion thereof, the POA must reference a timely, independent review that addressed a core requirement in a technically satisfactory manner provided the review being referenced determined the requirements were successfully implemented.

(c) The POA must include the prerequisites for starting the ORR. The prerequisites must define measurable actions or deliverables that, when completed, provide assurance that readiness has been achieved for each core requirement of paragraph 2.f determined to be applicable when developing the scope of the ORR.

(d) Contractor line management must forward the POA to local DOE line management.

(e) The POA must be approved by the SAA.

Note: Section 2.f is provided as S/RID requirements 01.07.02.119 to 01.07.02.132 in this Functional area.
### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<thead>
<tr>
<th>S/RID Requirement Number</th>
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<th>Source Document Req Number</th>
<th>Requirement Text</th>
<th>Nuclear HC-1,2,3</th>
<th>Radiological</th>
<th>High Hazard Chemical</th>
<th>Low Hazard Chemical</th>
<th>Other Industrial</th>
<th>Facility Specific</th>
<th>SRR Applicability</th>
<th>Phase I Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.07.02.100</td>
<td>DOEO425.1D-ACHgl</td>
<td>Att. 1.2.d.( 2)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. The ORR team leader must select the ORR team members. (a) Team members must meet the following qualification and training requirements: 1 Technical knowledge of the area assigned for evaluation, including experience working in the technical area; 2 Knowledge of performance-based assessment processes and methods; and 3 Knowledge of facility, activity, or operation-specific information. (b) The ORR team must not include as senior members (i.e., team leader, sub-team leader, senior advisor) individuals from organizations that are assigned direct line management responsibility for the work being reviewed. Any exceptions require SAA approval. Additionally, an ORR team member must not review work for which he or she is directly responsible. (c) The ORR team leader must determine and document the qualifications of ORR team members and their freedom from a conflict of interest in the areas they are assigned to review. (d) Contractor line management must support the ORR team leader in staffing the ORR team. Note: DOE-HDBK-3012, Guide to Good Practices for Operational Readiness Reviews, Team Leader’s Guide, provides information useful to team leaders in preparing for and conducting Readiness Reviews.</td>
<td>X</td>
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<td>X</td>
<td></td>
</tr>
<tr>
<td>01.07.02.101</td>
<td>DOEO425.1D-ACHgl</td>
<td>Att. 1.2.d.( 3)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. The ORR team must develop an ORR Implementation Plan (IP). The ORR IP documents the evaluation criteria and the review approaches based on the scope defined in the ORR POA. The ORR team leader approves the ORR IP.</td>
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<td>01.07.02.102</td>
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<td>Att. 1.2.d.( 4)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Contractor line management must forward the ORR IP to local DOE line management for information.</td>
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<td>01.07.02.103</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.d.( 5)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Prior to starting the ORR: (a) Contractor line management has received a formal written Readiness to Proceed Memorandum certifying that the facility, activity or operation is ready for startup or restart. (b) Contractor line management has verified that the preparations for startup or restart have been completed with the exception of a manageable list of open prestart issues. The prestart issues must have a well-defined schedule for closure to allow the ORR team to review the closure process. (c) Contractor line management has verified that the ORR POA prerequisites are met.</td>
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<td>01.07.02.104</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.d.( 6)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Specific events significant to the startup and restart process that occur prior to the formal commencement of the ORR; e.g., site emergency response drills, may be reviewed by the ORR team at the time they are conducted.</td>
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<td>01.07.02.105</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.d.( 7)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Upon direction of contractor line management, the ORR may commence. The ORR team must use the IP to conduct the ORR.</td>
<td>X</td>
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<td>01.07.02.106</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.d.(11)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Following completion of the contractor ORR, the contractor will prepare and forward to DOE Line Management a Readiness to Proceed Memorandum indicating that readiness to start up or restart nuclear operations has been achieved. A manageable list of open prestart issues may exist provided that the issues have a well-defined schedule for closure.</td>
<td>X</td>
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<td>01.07.02.107</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.d.(12)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Contractor line management must satisfactorily resolve all prestart findings from the DOE and contractor ORRs prior to startup or restart of the facility, activity, or operation. The SAA may approve startup or restart after prestart findings are resolved.</td>
<td>X</td>
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<td>Requirements Applicable to Readiness Assessments. The requirements for performing readiness assessments as described below may be tailored with approval of the PSO and concurrence from the CTA. The contractor RA must use a graded approach to the tenets of ORR requirements specified in this CRD. An RA may be as short and simple as a check list, or may approach the breadth and depth of an ORR, depending on the causes and duration of the shutdown and the modifications accomplished during the shutdown. In view of the flexibility to fit the rigor of the RA to the circumstances of the startup/restart situation, contractors must not develop readiness review processes similar to RAs but called something different.</td>
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TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<tr>
<th>S/RID Requirement Number</th>
<th>Source Document</th>
<th>Source Document Reqt Number</th>
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<tr>
<td>01.07.02.109</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.e.(2)</td>
<td>CONTRACTOR REQUIREMENTS</td>
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</table>

Requirements Applicable to Readiness Assessments.

Contractor line management must develop a POA, which describes the scope of the RA. The POA must provide a clear discussion of the physical or geographic scope of the RA and a clear description of the SSCs, individual processes, and programs that are within the scope of the RA. The POA must also designate the proposed RA team leader.

(a) All core requirements identified in section 2.f, below, must be evaluated for applicability for inclusion in the scope of the RA. The POA for the RA must provide a basis for justifying the exclusion of any core requirement that will not be assessed during the RA. The level of detail provided in the justification should be commensurate with the complexity of the review and of the operation, such that a knowledgeable reader would reasonably be expected to draw the same conclusions. The POA may also discuss the depth or tailoring for each core requirement to more fully describe the total required scope of the RA. The development of the scope must be based, in part, on the status of and changes to the facility, operating procedures, safety basis documents, hazards, operational conditions, and personnel.

(b) The POA for the RA must include the prerequisites for starting the RA. Prerequisites define measurable actions or deliverables that, when completed, provide assurance that readiness has been achieved for each specific core requirement that is to be reviewed in the RA.

(c) Contractor line management must forward the RA POA to local DOE line management.

(d) The POA must be approved by the SAA.

Note: Section 2.f is provided as S/RID requirements 01.07.02.119 to 01.07.02.132 in this Functional area.
<table>
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<tr>
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<tr>
<td>01.07.02.110</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.e.( 3)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Readiness Assessments. The RA team leader must select the RA team members, if needed. (a) Team members must meet the following qualification and training requirements: 1 Technical knowledge of the area assigned for evaluation, including experience working in the technical area; 2 Knowledge of performance-based assessment processes and methods; and 3 Knowledge of facility, activity, or operation-specific information. (b) An RA team member must not review work for which she or he is directly responsible. (c) The RA team leader must determine and document the qualification of RA team members and their freedom from a conflict of interest in the areas they are assigned to review. (d) Contractor line management must support the RA team leader in staffing the RA team. Note: DOE-HDBK-3012, Guide to Good Practices for Operational Readiness Reviews, Team Leader’s Guide, provides information useful to team leaders in preparing for and conducting Readiness Reviews.</td>
<td>Nuclear HC-1,2,3 Radio logical High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific</td>
<td>X</td>
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<tr>
<td>01.07.02.111</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.e.( 4)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Readiness Assessments. The RA team must develop an RA IP. The RA IP documents the evaluation criteria and the review approaches based on the scope given in the RA POA. The RA team leader approves the RA IP. An RA IP that is developed by the RA team and approved by the team leader may be as short and simple as a check list, or may approach the breadth and depth of an ORR IP. The IP must include the full RA scope defined in the POA.</td>
<td>Nuclear HC-1,2,3 Radio logical High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific</td>
<td>X</td>
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<tr>
<td>01.07.02.112</td>
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<td>Att. 1.2.e.( 5)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Readiness Assessments. Contractor line management must forward the RA IP to local DOE line management for information.</td>
<td>Nuclear HC-1,2,3 Radio logical High Hazard Chemical Low Hazard Chemical Other Industrial Facility Specific</td>
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<td>S/RID Requirement Number</td>
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<td>01.07.02.113</td>
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<td>AChg1 Att. 1.2.e.(6)</td>
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<td>Prior to starting the contractor RA:</td>
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<td>(a) Contractor line management has issued a formal written Readiness to Proceed Memorandum certifying that the facility is ready for startup or restart.</td>
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<td>(b) Contractor line management must verify that the preparations for startup or restart have been completed with the exception of a manageable list of open prestart issues. The prestart issues must have a well-defined schedule for closure to allow the RA team to review the closure process.</td>
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<td>(c) Contractor line management must verify that the contractor RA POA prerequisites have been met.</td>
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<td>01.07.02.114</td>
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<td>Requirements Applicable to Readiness Assessments.</td>
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<td>Specific events significant to the startup and restart process that occur prior to the formal commencement of the RA, such as site emergency response drills, may be reviewed by the RA team at the time they are conducted.</td>
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<td>01.07.02.115</td>
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<td>Requirements Applicable to Readiness Assessments.</td>
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<td>Upon direction from contractor line management, the RA may commence. The RA team must use the IP to conduct the RA.</td>
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<td>01.07.02.116</td>
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<td>Following completion of the contractor RA, if the DOE is the SAA, the contractor will prepare and forward to DOE a Readiness to Proceed Memorandum indicating that readiness to start nuclear operations has been achieved. A manageable list of open prestart issues may exist provided they have a well-defined schedule for closure.</td>
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<td>Contractor line management must satisfactorily resolve all contractor prestart findings prior to startup or restart of the facility, activity, or operation. The SAA may approve startup or restart after prestart findings are resolved.</td>
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<td>Core requirements verify the readiness of personnel, procedures, programs, and equipment within the scope of the Readiness Review to safely start nuclear operations. These core requirements are directly related to the seven guiding principles of ISM.</td>
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<tr>
<td>01.07.02.119</td>
<td>DOE0425.1D-ACChgl</td>
<td>Att. 1.2.f( 1)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements.</td>
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<td>Line management has established Safety Management Programs (SMPs) to ensure safe accomplishment of work:</td>
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<td>(a) Contract requirements for the SMPs have been flowed down into facility-specific procedures,</td>
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<td>(b) SMP implementing procedures have been effectively implemented in support of the facility,</td>
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<td>(c) A sufficient number of qualified personnel is available to effectively implement the SMPs in support of the facility, and</td>
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<td>(d) Adequate facilities and equipment are available to ensure that SMP support and services are adequate for safe facility operations.</td>
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<td>The following SMPs are identified in 10 CFR Section 830.204, Documented Safety Analysis:</td>
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<td>- Quality Assurance Programs</td>
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<td>- Procedures Management</td>
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<td>- Maintenance Management</td>
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<td>- Personnel Training Program</td>
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<td>- Conduct of Operations</td>
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<td>- Emergency Preparedness</td>
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<td>- Fire Protection Program</td>
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<td>- Waste Management Program</td>
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<td>- Radiation Protection</td>
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<td>- Criticality Safety Program</td>
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<td>The SAA should designate and approve via the POA those specific SMPs to be included in the breadth of the readiness review and should specify the scope of the desired review of each designated SMP. Additional support programs may be specified in the POA if required to ensure safety of nuclear operations.</td>
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<td>S/RID Requirement Number</td>
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<td>Source Document Req Number</td>
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<td>01.07.02.120</td>
<td>DOE0425.1D-ACHg1</td>
<td>Att. 1.2.f(2)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. Functions, assignments, responsibilities, and reporting relationships, including those between the line operating organization and environment, safety and health support organizations, are clearly defined, understood, and effectively implemented, with line management responsibility for control of safety.</td>
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<tr>
<td>01.07.02.121</td>
<td>DOE0425.1D-ACHg1</td>
<td>Att. 1.2.f(3)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. The selection, training, and qualification programs for operations and operations support personnel have been established, documented, and effectively implemented. Training and qualification requirements for each position encompass the range of assigned duties and activities. The selection process and applicable position-specific training for managers ensures competence commensurate with their responsibilities. Modifications to the facility have been reviewed for potential impacts on training and qualification. Training has been performed to incorporate all aspects of these changes.</td>
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<td>01.07.02.122</td>
<td>DOE0425.1D-ACHg1</td>
<td>Att. 1.2.f(4)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. Level of knowledge of managers, operations, and operations support personnel is adequate based on reviews of examinations and examination results, selected interviews of managers, operating, and operations support personnel, and observations of operational demonstrations.</td>
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<td>01.07.02.123</td>
<td>DOE0425.1D-ACHg1</td>
<td>Att. 1.2.f(5)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. Personnel exhibit an awareness of public and worker safety and health and environmental protection requirements and, through their actions, demonstrate a high-priority commitment to comply with these requirements. Worker safety and health requirements of 10 CFR Part 851, Worker Safety and Health Program, have been implemented within the facility.</td>
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<td>S/RID Requirement Number</td>
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<td>Source Document Req Number</td>
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<td>Nuclear HC-1,2,3</td>
<td>Radiological</td>
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<td>01.07.02.124</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.6(6)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. Facility safety documentation (normally DSA and TSRs) is in place that describes the safety envelope of the facility. (a) The safety documentation characterizes the hazards/risks associated with the facility and identifies preventive and mitigating measures (systems, procedures, administrative controls, etc.) that protect workers and the public from those hazards/risks. (b) Facility safety documentation is approved and has been implemented. (c) Implementation of facility safety documentation has been verified and is current. (d) SSCs are defined. (e) A system to maintain control over facility design with emphasis on Vital Safety Systems (VSS) is established. (f) Procedures for maintaining the safety documentation have been adequately defined and implemented and provide for required updates. (g) A DOE-approved Unreviewed Safety Question procedure has been effectively implemented.</td>
<td>X</td>
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<td>01.07.02.125</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.6(7)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. A program is in place to confirm and periodically reconfirm the condition and operability of VSS. This includes examinations of records of tests and calibration of these systems. The material condition of all safety, process, and utility systems is adequate to support the safe conduct of work.</td>
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### TABLE 1 - S/RID FUNCTIONAL AREA 01 (MANAGEMENT SYSTEMS) REQUIREMENTS

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<td>01.07.02.126</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.f.( 8)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. The facility systems and procedures, as affected by facility modifications, are consistent with the description of the facility, procedures, accident analyses, and assumptions included in the safety documentation. A formal program is defined and implemented to control facility modifications. Authorized modifications within the scope of the Readiness Review have been completed and fully closed, or evaluated and determined not to affect the ability to safely start nuclear operations.</td>
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<td>01.07.02.127</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.f.( 9)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. Adequate and accurate procedures and safety limits are approved and in place for operating the process systems and utility systems. The procedures include necessary revisions for all modifications that have been made to the facility. Facility processes ensure that only the most current revision to each procedure is in use.</td>
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<td>01.07.02.128</td>
<td>DOE0425.1D-</td>
<td>Att. 1.2.f.(10)</td>
<td>CONTRACTOR REQUIREMENTS Core Requirements. A routine operations drill program and an emergency management drill and exercise program have been established and implemented. Records for each program are adequate to demonstrate the effectiveness of completed drills and exercises as well as planning for future drills and exercises.</td>
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| 01.07.02.129       | DOE0425.1D Att. 1.2.f(11) | CONTRACTOR REQUIREMENTS
Core Requirements.
An adequate startup or restart program has been developed that includes plans for graded operations and testing after startup or resumption to simultaneously confirm operability of equipment, the viability of procedures, and the performance and knowledge of the operators.
The plans should indicate validation processes for equipment, procedures, and operators after startup or resumption of operations, including any required restrictions and additional oversight.
Any compensatory measures required during the approach to full operations are described.
Note: IMPLEMENTED AS SHOULD. Use of a startup plan (Management Control Plan) is dependent on the scope of the startup and, therefore, may not be required. For small scoped Readiness Assessments (RAs), additional validation of equipment, procedures, or personnel is often not needed after finishing the RA. |
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| 01.07.02.130       | DOE0425.1D-ACchg1 Att. 1.2.f(12) | CONTRACTOR REQUIREMENTS
Core Requirements.
The formality and discipline of operations are adequate to conduct work safely, and programs are in place to maintain this formality and discipline (e.g., DOE O 422.1, Conduct of Operations).
Sufficient numbers of qualified personnel are available to conduct operations. |
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| 01.07.02.131       | DOE0425.1D-ACchg1 Att. 1.2.f(13) | CONTRACTOR REQUIREMENTS
Core Requirements.
Formal agreements between the operating contractor and DOE have been established via the contract or other enforceable mechanism to govern safe facility operations.
A systematic review of the facility’s conformance to these requirements has been performed.
These requirements have been implemented in the facility, or compensatory measures are in place during the period of implementation. The compensatory measures and the implementation period are approved by DOE. |
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<td>01.07.03.016</td>
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## Table 1 - S/RID Functional Area 01 (Management Systems) Requirements

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<th>Requirement Number</th>
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<td>01.07.04.028</td>
<td>DOE0425.1D-AChg1</td>
<td>Att. 1.2.d.(8)</td>
<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Operational Readiness Reviews. Upon completion of the ORR, the ORR team leader, with support from the team members, must prepare, approve, and submit a final report. (a) The final report must document the results of the ORR and make a conclusion as to whether startup or restart of the nuclear facility, activity, or operation can proceed safely. The ORR final report must state whether facility management has established the following: 1. An agreed-upon set of requirements to govern safe operations of the facility, activity, or operation; 2. That this set of requirements has been formalized with DOE through the contract or other enforceable mechanism; 3. That these requirements have been appropriately implemented in the facility, activity or operation, or appropriate compensatory measures, formally approved by DOE, are in place during the period prior to full implementation; and that 4. In the opinion of the ORR team, adequate protection of the public health and safety, worker safety, and the environment has been maintained. The final report must be of adequate detail to support its conclusion, such that a knowledgeable reader would reasonably be expected to draw the same conclusions. (b) The final report should include a statement regarding the team leader's assessment of the adequacy of the implementation of the core functions and guiding principles of Integrated Safety Management (ISM) at the facility undergoing the review. (c) There must be a lessons learned section of the final report that may relate to design, construction, operation, and decommissioning of similar facilities, activities or operations and to help guide future Readiness Review efforts. (d) The team leader must approve the final report, and each team member must approve the section of the final report for which he or she was responsible. There will be a provision for dissenting professional opinions if agreement cannot be achieved.</td>
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<td>S/RID Requirement Number</td>
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<td>01.07.04.029</td>
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<td>A copy of the final ORR report must be forwarded to cognizant contractor and DOE line management.</td>
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<td>01.07.04.030</td>
<td>DOE0425.1D-AChg1 Att. 1.2.e.( 9)</td>
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<td>Upon completion of the RA, the RA team leader must prepare, and approve a final report. The final</td>
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<td>report is approved by the team leader and each team member approves the section of the final report</td>
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<td>for which he or she was responsible. There will be a provision for dissenting professional opinions</td>
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<td>(a) The final report must document the results of the RA and make a conclusion as to whether</td>
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<td>(b) There must be a lessons learned section of the final report that may relate to design,</td>
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<td>construction, operation, and decommissioning of similar facilities, activities or operations and</td>
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<td>to help guide future Readiness Review efforts.</td>
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<td>01.07.04.031</td>
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<td>For cases where startup or restart authority rests with the contractor, the RA team leader must</td>
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<td>submit the final RA report to the SAA. Where startup or restart authority rests with DOE, the RA</td>
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<td>team leader must submit the final RA report to contractor line management.</td>
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<td>01.07.04.032</td>
<td>DOE0425.1D-AChg1 Att. 1.2.e (11)</td>
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<td>CONTRACTOR REQUIREMENTS Requirements Applicable to Readiness Assessments.</td>
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<td>A copy of the final RA report must be forwarded to local DOE line management.</td>
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<td>01.07.04.033</td>
<td>DOE0425.1D-ACChg1 Att. 1.2.g</td>
<td>CONTRACTOR REQUIREMENTS Exemptions and Equivalencies. Exemptions and equivalencies may be obtained in accordance with DOE O 251.1C, Departmental Directives Program, and DOE O 410.1, Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements. Central Technical Authority (or designee) concurrence is required for both exemptions and equivalencies to this Order for nuclear facilities.</td>
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<td>01.07.04.034</td>
<td>DOE0425.1D-ACChg1 Att. 1.2.h</td>
<td>CONTRACTOR REQUIREMENTS Records Management Program. Requirements for maintenance and disposition of Federal records, such as those pertaining to ORRs or RAs, are provided under the general guidance of DOE O 243.1A, Records Management Program. The disposition, including destruction, of Federal records must be in accordance with: (1) The General Records Schedules, as published by the National Archives and Records Administration (NARA) or (2) DOE records disposition authority (Standard Form 115, Request for Records Disposition Authority), as approved by NARA. Consult the cognizant field element office records officer for guidance. Note: DOE O 243.1A has been superseded by DOE O 243.1B ACChg 1.</td>
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