

Management System: Safety and Health

Subject Area: Integrated Safety Management System

Program Description: EMCBC Functions, Responsibilities and Authorities (FRA)

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1.0 Purpose/Introduction

The EMCBC Office of Technical Support and Asset Management (OTSAM) has a set of defined safety management responsibilities through its role for line management oversight for select small sites/projects within the Environmental Management portfolio of Projects. This document is developed to meet the requirements of DOE Order 450.2, *Integrated Safety Management*, Section 4.g.(2). The EMCBC Services Plan discusses roles, responsibilities and functions of other organizations.

2.0 Applicability

This Program Description document is applicable to all EMCBC Office of Technical Support and Asset Management staff and Small Site projects serviced by the EMCBC.

3.0 EMCBC Organization and Structure

As the Head of the Field Element, the EMCBC Director owns the Integrated Safety Management System Description as well as the EMCBC Functions, Responsibilities and Authorities document. The Director manages the EMCBC ISM System with the support and assistance of the Office of Technical Support and Asset Management (OTSAM). OTSAM is staffed with technical professionals who have the necessary skill mix to carry out the environment, safety, health, and quality assurance requirements integral to ISM. ISM is further delegated to the appropriate Project/Site level Field Element Manager (FEM) or Federal Project Director (FPD) who performs the day to day monitoring and oversight of Contractor ISM. The Project level FEM/FPD also negotiates with and approves the contractor's annual safety performance objectives, measures and commitments (POMC's).

The EMCBC is organized in accordance with the chart provided in the link below. Staffing needs to support the Environment, Safety, Health and Quality Assurance (ESH&QA) Program

within the Safety and Quality Division within OTSAM are addressed annually through the Federal Technical Capability Panel's functional analysis and staff planning process as well as the annual request for Delegation of Safety Authorities process implemented by the Office of Safety, Security & Quality Programs [within the Office of Environmental Management] (EM-40). In addition, as vacancies occur, the EMCBC and FEM/FPD evaluates current staffing needs and evaluate the Position Description of the vacant position for accuracy towards mission needs.

NOTE* The EMCBC Organizational structure is fluid to meet the mission needs of the organization and respond to current staffing guidance from higher authority. The chart at the link below was effective as of March, 2016. The EMCBC Website should be referenced for the most current published edition of the Organization Chart.

<https://www.emcbc.doe.gov/Content/Docs/orgchart.pdf>

4.0 Applicable ESH&QA Functions of the EMCBC

The EMCBC ESH&QA functions integral to implementation of ISM are identified in the Table in Appendix A to this Program Description.

5.0 Delegated Safety, Health and Quality Assurance Authorities

The EMCBC requests and receives Delegation of Safety Authorities in accordance with DOE O 450.2, *Integrated Safety Management*, Appendix A, *Delegations of Authority to Perform Safety Management Functions*, and the Office of Environmental Management Standing Operating Policies and Procedures (SOPP) #44, *Environmental Management Process for Delegation of Safety Authorities*.

The EMCBC received documentation of Delegation of Safety Authorities from EM on January 28, 2016, which is effective through January 31, 2018. Delegations of Authority were issued to Mr. John Sattler, the Director of the Safety and Quality Division, Office of Technical Support and Asset Management. The EMCBC has partnered with the FEM/FPD of the West Valley Demonstration Project (WVDP), Mr. Bryan Bower to provide the full suite of delegated safety authorities to the small sites that are under the EMCBC line management chain. The Mr. Bower has received Nuclear Facility Safety Delegations and, as such, the EMCBC will partner with the WVDP Director in performing the functions and authorities related to Nuclear Safety. The WVDP Director also received specific Delegation of Safety Authorities on January 28, 2016.

Copies of the Delegation of Safety Authorities are maintained by the OTSAM and DOE-WVDP and are reflected in the Table in Appendix A. The Delegations of Safety Authorities from EM are provided in Appendix B.

6.0 Delegated Environmental Authorities

Delegation of Environmental Authorities was received by the EMCBC on April 17, 2012, from the Office of Site Restoration. Copies of the letter and authorities delegated are located in Appendix B and are reflected in the Table in Appendix A.

7.0 General Approach for Maintenance of the FRA

OTSAM maintains the EMCBC FRA document in accordance with the EMCBC Requirements Management System. The Subject Area Description (SAD) for requirements, along with its associated Implementing Procedures, addresses a single way of managing External Requirements (i.e., Federal, state, and local laws), Internal Requirements (U.S. Department of Energy [DOE] Directives), and Best Business Practices (Guides, Technical Standards, and Handbooks). The SAD for Document Control Management, along with its associated Implementing Procedures, addresses the manner in which EMCBC prepares, reviews, approves, issues, revises, and controls documents that specify requirements and/or prescribes implementing processes. This FRA document is developed and maintained in accordance with those procedures.

The EMCBC FRA document is readily available to EMCBC employees and the public via the EMCBC Management System Description (MSD). The MSD is available via the EMCBC website at <https://www.emcbc.doe.gov/msd/msd.php>

This document is developed and maintained by subject matter experts (SMEs) within OTSAM and approved by the EMCBC Director. Periodic review occurs within the scope of the EMCBC Requirements Management System biennially and in accordance with the timeframes provided in DOE EM Delegations of Authority (currently biennially).

Other non-ESH&QA services, functions and activities are discussed in the EMCBC Services Plan which is also located on the EMCBC website at https://www.emcbc.doe.gov/msd/service_plan.php.

8.0 Definitions

See the definitions page on the Management System Description located at the following link <https://www.emcbc.doe.gov/msd/definitions.php>

Appendix A EMCBC ESH&QA Functions, Responsibilities and Authorities

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
(1) Business Operations, (2) Define Scope of Work, (3) Analyze the Hazards, (4) Develop and Implement Controls, (5) Perform Work Within Controls, (6) Provide Feedback and Continuous Improvement					
BUSINESS OPERATIONS (1)	Provide input to and implement the provisions of the Secretary's Strategic Plan, including the Department's mission statement.	GPRA 1993	CBC Director	Assistant Directors	Strategic Plan & Mission Statements
BUSINESS OPERATIONS (1)	Prepare strategic plan and mission statements. Implement DOE, secretarial office, and CBC strategic plans and mission statements.	GPRA 1993	CBC Director	Assistant Directors	Strategic Plan & Mission Statements
BUSINESS OPERATIONS (4)	Notify the DOE Headquarters Operations Center Watch Office as soon as possible following a decision to activate the field element's COOP Plan.	DOE O 150.1,A	CBC Director	OTSAM, Project Directors	Continuity of Operations
BUSINESS OPERATIONS (4)	Notify the DOE Headquarters Operations Center Watch Office as soon as possible following a decision to activate the field element's COOP Plan.	DOE O 150.1,A	CBC Director	OTSAM, Project Directors	Continuity of Operations
BUSINESS OPERATIONS (4)	Review and approve the Field element's COOP plan annually and provide copy to their LPSO, the LPSO coordinator, and the DOE COOP Manager.	DOE O 150.1A	CBC Director	OTSAM	Continuity of Operations
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Sites/facilities must develop and participate in an integrated and comprehensive Emergency Management System to ensure that: (a) the Department can respond effectively and efficiently and can provide emergency assistance so that appropriate response measures are taken to protect workers, the public, the environment and national security; (b) emergencies are recognized, categorized and, as necessary, classified promptly, and parameters associated with the emergency are monitored to detect changed and degraded conditions; (c) emergencies are reported and notifications are made; and (d) reentry activities are properly and safely accomplished, and recovery and post-emergency activities commence properly.	DOE O 151.1C	CBC Director Project Directors	OTSAM	Emergency Planning
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	(2) Emergency planning must include identification of hazards and threats, hazard mitigation, development and preparation of emergency plans and procedures, and identification of personnel and resources needed for an effective response.	DOE O 151.1C	CBC Director Project Director	OTSAM	QA Emergency Planning
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	(3) Emergency preparedness must include acquisition and maintenance of resources, training, drills, and exercises. (4) Emergency response must include the application of resources to mitigate consequences to workers, the public, the environment, and the national security, and the initiation of recovery from an emergency.	DOE O 151.1C	Project Director CBC Director	OTSAM	QA Emergency Planning
EMERGENCY MANAGEMENT (2,3,4,5,6)	Ensure cognizant Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises.	DOE O 151.1C	Project Director, CBC Director	OTSAM, Contracting	Emergency Management
EMERGENCY MANAGEMENT (2,3,4,5)	Comply with the requirements of the DOE Order 153.1 which establishes requirements for the radiological emergency response assets programs.	DOE O 151.1C	Select Project Director (WVDP Only)		Emergency Management
EMERGENCY MANAGEMENT (2,3,4,5)	Ensure that Emergency Planning Hazards Assessments (EPHAs) and Hazards Surveys for emergency planning purposes are adequately performed and documented. Ensure EPHAs and Hazards Surveys are updated every three years, and prior to significant changes to the site/facility or to hazardous material inventories. For example, significant changes are those changes which would result in an un-reviewed safety question for nuclear facilities, as defined in 10 CFR 830, as defined in DOE O 420.2B. Review and approve EPHAs and Hazards Surveys and forward the	DOE O 151.1C	Project Director per Delegated Authorities	OTSAM, Contracting	Emergency Management

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	approved EPHAs and/or Hazards Surveys to the Program Secretarial Officer(s) and the Director, Emergency Operations.				
EMERGENCY MANAGEMENT (3,4,5,6)	Participate in the development and implementation of mutual assistance agreements with State, Tribal, and local authorities.	DOE O 151.1C	Project Director	OTSAM, Contracting	Emergency Management
EMERGENCY MANAGEMENT (3,4,5,6)	During an emergency, conduct appropriate and necessary emergency actions.	DOE O 151.1C	Project Director	OTSAM, Contracting	Emergency Management
EMERGENCY MANAGEMENT (2,3,4,5)	Approve site exercise packages prior to the exercise.	DOE O 151.1C	Project Director	OTSAM, Contracting	Emergency Management
EMERGENCY MANAGEMENT (2,3,4,5)	Integrate applicable policies and requirements, including those promulgated by other Federal agencies and interagency emergency plans into appropriate DOE/NNSA emergency plans.	DOE O 151.1C	Project Director	OTSAM, Contracting	Emergency Management
EMERGENCY MANAGEMENT (2,3,4,5,6)	Implement corrective actions lessons learned from actual emergency responses and based on findings from evaluations, assessments, and appraisals.	DOE O 151.1C	Project Director	OTSAM	Emergency Management
EMERGENCY MANAGEMENT (2,4,5,6)	Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.	DOE O 151.1C	Project Director	OTSAM	Emergency Management
EMERGENCY MANAGEMENT (2,4,5)	Notify Contracting officers of affected Contracts to incorporate the CRD of this Order into those Contracts.	DOE O 151.1C	Project Director	OTSAM	Emergency Management
QUALITY ASSURANCE (4,5,6)	<p>Heads of Field Elements and Contracting Activities.</p> <p>(1) Ensure that field element processes incorporate lessons learned into training, maintenance and work planning, work processes, operations, and design and construction.</p> <p>(2) Designate operating experience program coordinators to fulfill the responsibilities assigned by this Order.</p> <p>(3) Ensure that quarterly analyses of reportable and non-reportable events submitted by contractors and program field elements in accordance with Section 5.8 of DOE M 231.1-2, Occurrence Reporting and Processing of Operations Information, dated 8-19-03, are reviewed to identify operating experience trends and lessons learned.</p> <p>(4) Ensure that operating experience reports are implemented by the field element and contractor organizations through line management oversight.</p> <p>(5) As a part of self-assessments conducted to evaluate organizational performance in Integrated Safety Management (ISM), includes an assessment of the effectiveness of the organization's operating experience program.</p> <p>(6) Review contractor implementation of local operating experience programs.</p> <p>(7) Screen contractor-developed operating experience information to ensure operational awareness.</p> <p>(8) Monitor contractor performance and sharing of lessons learned.</p> <p>(9) Share contractor performance information with the PSOs/NNSA Deputy Administrators.</p> <p>(10) Recommend locally developed lessons learned for inclusion in the DOE Corporate Lessons Learned Database (URL:http://www.eh.doe.gov/DOEII/index.asp).</p> <p>(11) Forward lessons learned applicable to specific missions or programs to the appropriate PSO/NNSA Deputy Administrator for consideration.</p> <p>(12) Ensure that senior contractor management is held accountable for recurrence of significant adverse events.</p> <p>(13) Ensure that operating experiences and lessons learned from departing contractors are shared with new contractors following awarding of major contracts.</p>	DOE O 210.2A	Project Director	OTSAM, Contracting	Corporate Operating Experience. Lessons - Learned

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	(14) Share operating experience lessons learned with the DOE complex through the DOE Corporate Lessons Learned Database (URL: http://www.eh.doe.gov/DOELL/index.asp). (15) Provide to the appropriate PSO or NNSA Deputy Administrator feedback concerning reviews conducted and actions taken for SOR and SA operating experience documents.				
EMERGENCY MANAGEMENT (3,4,5,6)	Ensure readiness teams and emergency management personnel coordinate or integrate their activities to facilitate an orderly transition of responsibilities for the accident scene.	DOE O 225.1B;	Project Director	OTSAM	Accident Investigation
EMERGENCY MANAGEMENT (2,3,4,5,6)	After incorporating this Order into Contracts, ensure its implementation and identify a single point of Contact to act as liaison to the head of the Headquarters Element and HSS, a single point of contact to act as liaison to Headquarters on matters pertaining to the DOE Accident Investigation Program.	DOE O 225.1B	CBC Director or delegated Project Director	OTSAM	Accident Investigations
EMERGENCY MANAGEMENT (4,5,6)	Provide for the necessary on-site support to the AIB, as requested by the Chairperson, to facilitate the timely and effective completion of the accident investigation.	DOE O 225.1B	CBC Director or delegated Project Director	OTSAM	Accident Investigations
EMERGENCY MANAGEMENT (4,5,6)	Review draft accident investigation reports for factual accuracy within the time frame allowed for the investigation.	DOE O 225.1B	Project Director or delegated Project Director	OTSAM	Accident Investigations
EMERGENCY MANAGEMENT (4,5,6)	As appropriate, develop or provide assistance in developing lessons learned for accident investigations.	DOE O 225.1B	Project Director or delegated Project Director	OTSAM	Accident Investigations
EMERGENCY MANAGEMENT (4,5,6)	As appropriate, require the submittal of contractor corrective action plans to address the Judgments of Need, approve the implementation of those plans, and track the effective implementation of those plans to closure.	DOE O 225.1B	Project Director or delegated Project Director	OTSAM	Accident Investigations
EMERGENCY MANAGEMENT (2,3,4,5,6)	As directed by the Head of the Headquarters Element, conduct extent-of-condition reviews for specific issues resulting from accident investigations that might be applicable to work locations or activities under the Head of Field Element's authority, and address applicable lessons learned from investigations conducted at other DOE sites.	DOE O 225.1B	Project Director or delegated Project Director	OTSAM	Accident Investigations
EMERGENCY MANAGEMENT (2,3,4,5,6)	Ensure that a sufficient number of DOE Accident Board Chairpersons and DOE Accident Investigators are available to implement this Order for both Type A and Type B accident investigations and, upon request, provide them to other DOE sites.	DOE O 225.1B	CBC Director	OTSAM, Project Directors per Delegated Safety Authorities	Accident Investigations
ISM (2,3,4,5,6)	Authority to initially approve and there after annually review and approve contractor integrated management systems descriptions updates.	DOE O 226.1B,	Project Director or CBC Director per Delegation of Authority	OTSAM	Oversight Policy
ISM (2,3,4,5,6)	5.b.(10)- Authority to initially approve and thereafter annually review and approve contractor assurance system program description updates.	DOE O 226.1B,	Project Director or CBC Director per Delegation of Authority	OTSAM	Oversight Policy
OVERSIGHT (2,4,5,6)	All applicable DOE organizations must: (1) Establish and implement an effective oversight program consistent with DOE P 226.1B and the requirements of this Order. (2) Maintain sufficient technical capability and knowledge of site and contractor activities to make informed decisions about hazards, risks, and resource allocation; provide direction to contractors; and evaluate contractor performance.	DOE O 226.1B,	CBC Director and Project Director	OTSAM,	Implementation of DOE Oversight Policy
OVERSIGHT	Oversight processes implemented by applicable DOE line	DOE O	CBC Director	OTSAM	Implementation

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
(2,4,5,6)	management organizations must: (1) Evaluate contractor and DOE programs and management systems, including site assurance systems, for effectiveness of performance (including compliance with requirements). Such evaluations must be based on the results of operational awareness activities; assessments of facilities, operations, and programs; and assessments of the contractor's assurance system. The level and/or mix (i.e., rigor or frequency in a particular area) of oversight may be tailored based on considerations of hazards, the maturity and operational performance of the contractor's programs and management systems.	226.1B, .	or Project Director		of DOE Oversight Policy
OVERSIGHT (2,3,4,5,6)	(2) Include written plans and schedules for planned assessments, focus areas for operational oversight, and reviews of the contractor's self-assessment of processes and systems. Address the role of the Central Technical Authorities and their support staff for core nuclear safety functions.	DOE O 226.1B,	Project Director	OTSAM, Contracting, Information Resource Management,	Implementation of DOE Oversight Policy
OVERSIGHT (2,3,4,5,6)	(4) Include an issues management process that is capable of categorizing findings based on risk and priority, ensuring relevant line management findings are effectively communicated to the contractors, and ensuring that problems are evaluated and corrected on a timely basis. The issues management process must ensure for issues categorized as high significance findings: (a) A thorough analysis of the underlying causal factors is completed; (b) Corrective actions that will address the cause(s) of the findings and prevent recurrence are identified and implemented; (c) After completion of a corrective action or a set of corrective actions, the conduct of an effectiveness review using trained and qualified personnel that can verify the corrective action/corrective action plan has been effectively implemented to prevent recurrences; (d) Documentation of the analysis process and results described in (a) and maintenance tracking to completion of plans and schedules for the corrective actions and effectiveness reviews described in (b) and (c) above, in a readily accessible system; and (e) When findings and/or corrective actions apply to more than one Secretarial Office, a lead office is appointed	DOE O 226.1B,	Project Director per Delegated Safety Authorities	OTSAM, Contracting	Implementation of DOE Oversight Policy
OVERSIGHT (2,3,4,5,6)	Be tailored according to the effectiveness of contractor assurance systems, the hazards at the site/activity, and the degree of risk, giving additional emphasis to potentially high consequence activities.	DOE O 226.1B,	CBC Director or Project Director	OTSAM	Implementation of DOE Oversight Policy
OVERSIGHT (2,3,4,5)	DOE line management must establish and communicate performance expectations to contractors through formal contract mechanisms. Such expectations (e.g., safety performance measures and commitments) must be established on an annual basis, or as otherwise required or determined appropriate by the Field Element.	DOE O 226.1B,	Project Director	OTSAM, Contracting	Implementation of DOE Oversight Policy
OVERSIGHT (4,5,6)	DOE line management must have effective processes for communicating oversight results and other issues in a timely manner up the line management chain, and to the contractor as appropriate, sufficient to allow senior managers to make informed decisions.	DOE O 226.1B,	Project Director	OTSAM, Contracting	Implementation of DOE Oversight Policy
OVERSIGHT (4,5,6)	Heads of Field Elements/Heads of Contracting Activities. (1) Establish oversight programs and implement the requirements in this Order. (2) Notify the contracting officer of affected contracts so that the CRD, or its applicable requirements, may be incorporated into those affected contracts as appropriate. (3) Establish and implement line management oversight programs and processes at the Field Element level to meet	DOE O 226.1B, .	Project Director	OTSAM, Contracting	Implementation of DOE Oversight Policy

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	the requirements of this Order and hold personnel accountable for implementing these programs and processes. (4) Approve the initial contractor assurance system description. Review and assess the effectiveness of the Contractor Assurance System. (5) Establish performance expectations and communicate same to contractors through formal contract mechanisms. (6) Use the results of DOE line and independent oversight and contractor assurance systems to make informed decisions about corrective actions and the acceptability of risks and to improve the effectiveness and efficiency of programs and site operations.				
OVERSIGHT (4,5)	Designation as Program Manager, which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.	DOE O 231.1B, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (3,4,5)	Environmental Protection Program Reporting. In accordance with DOEM 231.1-1, Chapter I, ensure that the reporting requirements of DOE O 450.1, "Environmental Protection Program," dated 01-15-03; Executive Order 13148, "Greening the Government Through Leadership in Environmental Management"; and Executive Order 13101, "Greening the Government Through Waste Prevention, Recycling and Federal Acquisition" are achieved.	DOE O 231.1B, Chg 1	Project Director	OTSAM	ES&H Reporting
OVERSIGHT (4,5)	Annual Individual Radiation Exposure Records. Report new and revised radiation exposure records required by 10 CFR 835.702 (a) and (b), "Individual Monitoring Records," to the REMS repository.	DOE O 231.1B, Chg 1	Project Director	OTSAM Contractors	ES&H Reporting
OVERSIGHT (4,5)	Excess Injury and Illness. Notify the Office of Health, Safety and Security for suspected excess illnesses/injuries that may require Epidemiologic investigations to determine whether the injuries/illnesses are work related.	DOE O 231.1B, Chg 1	Project Director	OTSAM	ES&H Reporting
OVERSIGHT (4,5,6)	Annual Fire Protection Summary. Submit an annual report of the previous year's fire damage to the DOE fire protection authority having jurisdiction on April 30 each year.	DOE O 231.1B, Chg 1	Project Director	OTSAM, Contracting	ES&H Reporting
OVERSIGHT (4,5)	Work hours. Prepare total quarterly work hours reports on a calendar year basis	DOE O 231.1B, Chg 1	Project Director	OTSAM, Contracting	ES&H Reporting
OVERSIGHT (2,4,5)	Occurrence Reports. Implement an occurrence reporting program to ensure appropriate and timely identification, categorization, response, notification, investigation, reporting, and analysis of abnormal conditions and events in accordance with DOE O 151.1C,	DOE O 231.1B, Chg 1	Project Director	OTSAM, Contracting	ES&H Reporting
OVERSIGHT (4,5)	Occupational Injury and Illness Reports. In accordance with DOE M 231.1-1A, Environment, Safety and Health Reporting Manual, dated 03-19-04, implement a record keeping and reporting program to ensure the use of common definitions, consistent recording procedures, and timely reporting practices for DOE employee and all contractor and subcontractor occupational fatalities, injuries, and illnesses.	DOE O 231.1B, Chg 1	Project Director	OTSAM, Contracting	ES&H Reporting
QUALITY ASSURANCE (4,5,6)	Approve occurrence reports, including proposed corrective actions or delegate this authority.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Review activities relating to reportable occurrence, including reporting and development of programs and procedures.	DOE O 232.2 Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Ensure that a system for prompt notification and categorization of reportable occurrences has been established for their DOE programs and for facilities under their cognizance.	DOE O 232.2 Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Ensure that the Headquarters Emergency Operations Center is informed of how the Program Manager or Designees can be reached at all times.	DOE O 232.2 Chg 1	Project Director	OTSAM	Occurrence Reporting

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OVERSIGHT (4,5,6)	Ensure that lessons learned and generic or programmatic implications are identified and elevated to the Secretarial Officer for appropriate action.	DOE O 231.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Ensure that actions are taken to minimize or prevent recurrence.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Review and assess reportable occurrence information from facilities under their cognizance to assess significance, root cause, generic implications, and the need for corrective action, and to ensure that DOE and Contractor staff involved in these operations perform the related functions.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate DOE and contractor activities within their cognizance, are reviewed for generic implications, and are used to improve operations.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Ensure that Occurrence Reports are prepared and transmitted in accordance with DOE security requirements.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Notify the CSO of all Significance Category 1 Occurrences.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Interact with the Facility Representative and HQ oversight organizations as necessary, and informs and advises their respective management of their findings.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
OVERSIGHT (4,5,6)	Elevate any unresolved issues regarding actions or determinations on reportable occurrence to the Secretarial Officer and, if necessary, the Secretary for resolution and direction.	DOE O 232.2, Chg 1	Project Director	OTSAM	Occurrence Reporting
QUALITY ASSURANCE (1, 5)	Establish, implement, and sustain records management programs within their respective organizations for adequate and proper documentation of DOE mission-related programs in accordance with the requirements of all Federal laws and regulations, Executive Orders, DOE Orders and directives, accepted external standards, and authoritative issuances (e.g., DOE numbered memos or NARA guidance).	DOE O 243.1B, Chg 1;	CBC Director Assistant Directors Project Director	OTSAM	Records Management
QUALITY ASSURANCE (1, 5)	Provide staff resources to support records management processes within their respective organizations by appointing the following staff members: (c) A records management field officer (RMFO) at each field site or office to implement the records management program at field and area offices in their respective organizations and to act as liaison with the HQ PRO and provide oversight and guidance to Federal and contractor records management programs.	DOE O 243.1B, Chg 1;	CBC Director Assistant Directors Project Director	OTSAM	Records Management
QUALITY ASSURANCE (1,4, 5)	Identify program-specific records and ensure that they are listed on a NARA-approved records disposition schedule.	DOE O 243.1B Chg 1	CBC Director Asst. Directors Project Director	OTSAM	Records Management
QUALITY ASSURANCE (1,3,4,5)	Ensure their staffs are aware of and execute appropriate measures to identify and protect vital records.	DOE O 243.1B; Chg 1	CBC Director Asst. Directors Project Director	OTSAM	Records Management
QUALITY ASSURANCE (1,4,5)	Ensure permanent records are preserved and temporary records are retired, transferred, or destroyed promptly according to NARA-approved records disposition schedules.	DOE O 243.1B; Chg 1	CBC Director Asst. Directors Project Director	OTSAM	Records Management
QUALITY ASSURANCE (1,4,5)	Establish and implement a records management program that ensures appropriate record keeping requirements and lifecycle management. Maintain up-to-date inventories, file plans or electronic information systems that provide the identification, location and retrieval of all categories of records created and received in the course of official business	DOE O 243.1B; Chg 1	CBC Director Asst. Directors Project Director	OTSAM	Records Management

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	<p>Maintain and dispose of records in accordance with NARA-approved records disposition schedules.</p> <p>Preserve records beyond their approved retention schedules when they have been placed under a destruction moratorium for purposes of audits, litigation FOIA appeals, and similar obligations.</p> <p>Provide mandatory records management training, including the management of electronic and vital records, for all Federal personnel, as appropriate for their responsibilities.</p> <p>Ensure that departing Federal employees identify and transfer any records in their custody to an appropriate custodian or the person assuming responsibility for the work.</p> <p>Identify and arrange for NARA appraisal and transfer of records proposed to be of permanent value based on historical, evidential, or informational content.</p> <p>Arrange for declassification review of all classified permanent records in accordance with E.O. 13526.</p> <p>Store inactive records in facilities that meet the requirements found in 36 CFR.</p> <p>Conduct internal evaluations of records management program and practices, including the economy of the operation, at least every 3 years. Prepare and submit evaluation reports to the Departmental Records Officer within 60 days of completion.</p>				
<p>QUALITY ASSURANCE (1,4,5)</p>	<p>Establish and sustain a vital records program to ensure continuity of operations (COOP) during and after an emergency as prescribed by laws, regulations directive , that ensures DOE makes and preserves records of the Department's organizations, missions, functions, policies, decisions, procedures and essential transactions.</p> <p>Identify records that specify how DOE will operate in an emergency or disaster. Identify records necessary to continue operations. Identify and protect emergency operating records and legal and financial rights records.</p> <p>Ensure emergency management and continuity personnel have appropriate software and hardware needed to access the records in place at all times.</p> <p>Identify procedures for identifying, protecting and controlling access to and ensuring availability of records designated as Unclassified Nuclear Information (UCNI), Official use Only (OUO) or classified.</p> <p>Review vital records annually and migrate updated records as needed</p> <p>Retain vital records for the period of time specified .</p>	<p>DOE O 243.1B;</p>	<p>CBC Director</p>	<p>OTSAM</p>	<p>Essential Records</p>
<p>QUALITY ASSURANCE (1,4,5)</p>	<p>Designate a records management field officer (RMFO), in accordance with DOE O 243.1, to implement the rights and interest records portion of the vital records program in accordance with the requirements of this Order for purposes of record availability.</p>	<p>DOE O 243.2</p>	<p>CBC Director</p>	<p>OTSAM</p>	<p>Vital Records</p>
<p>QUALITY ASSURANCE (1,4,5)</p>	<p>Ensure that all staff is aware of and execute appropriate measures to identify and protect vital records.</p>	<p>DOE O 243.2</p>	<p>CBC Director Asst. Directors Project Director</p>	<p>OTSAM</p>	<p>Vital Records</p>
<p>QUALITY</p>	<p>Designate responsible individuals for identifying individuals</p>	<p>DOE O</p>	<p>CBC Director</p>	<p>OTSAM</p>	<p>Vital Records</p>

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
ASSURANCE (1,4,5)	the contracts in which CRDs must be included and notifying the contracting officers of affected contracts.	243.2	Project Director	Contracting	
QUALITY ASSURANCE (1,4,5)	Once notified by the designated organization official, incorporate the CRD into affected contracts.	DOE O 243.2	Contracting	OTSAM, Project Director	Vital Records
QUALITY ASSURANCE (1,4,5,6)	f. Heads of Field Elements. (1) Ensure that employees within their organizations participate in the development and coordination of directives through the Directives Program as required by this Order and DOE M 251.1-1B. (2) Designate responsible individuals to serve as DPCs. (3) Report suggested comments, lessons learned, and best practices in DOE directives to the responsible OPIs and Office of Information Resources. (4) Determine which CRDs should be incorporated into contracts. (5) Require that DPCs, writers, and others involved in the directives process participate in directives program mandatory initial and annual refresher training.	DOE O 251.1C	CBC Director Project Directors	OTSAM	Directives Program
QUALITY ASSURANCE (1,2,3,4,5)	Contracting Officers/Contracting Officer Representatives. Once notified that contracts under their purview are affected by a CRD, negotiate requirements of the CRD into the laws, regulations, and DOE directives clause of affected contracts.	DOE O 251.1C	Contracting	Contracting, Logistics Management	Directives Program
QUALITY ASSURANCE (1,2,3,4,5)	A Technical Standards Manager (TSM) must be designated for each DOE headquarters and field organization to serve as a point of contact for the TSP.	DOE O 252.1A, Admin Chg 1	OTSAM		Technical Standards
BUSINESS OPERATIONS (1)	To establish requirements and responsibilities for occupational medical, employee assistance, and workers' compensation programs for Federal employees. Have line accountability for applicable health services/ federal employee.	DOE O 341.1A	CBC Director	Human Resources, OTSAM	Federal Employee Health Services
QUALITY ASSURANCE 1,4,5)	Establish a supplemental policy and procedures based on DOE 360.1C	DOE O 360.1C,	CBC Director Asst. Directors Project Director	Human Resources OFM	Federal Employee Training
QUALITY ASSURANCE (1,3,4,5,6)	(1) Identify and prioritize critical needs (2) provide resources for, plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes, (3) Submit reports annually and as requested. (4) Ensure that mandatory training requirements for employees, managers and supervisors are satisfied. (5) Designate training approval officials (6) Provide subject matter experts to support DOE-wide training and development needs, such as executive, management and supervisory development (7) Establish internal procedures for reviewing long term and extended training and DOE element sponsored programs and events. (8) Authorize non-US training involving only Mexican and/or Canadian locations, travel and entities	DOE O 360.1C	CBC Director Project Director	OFM Asst. Directors OTSAM HR Advisory Office	Federal Employee Training
QUALITY ASSURANCE (1,4,5)	Waive training completion and continued service obligations for Federal employees prior to separation from DOE, as appropriate.	DOE O 360.1C	Asst. Directors Project Director	HR Advisory Office / M&P SSC	Federal Employee Training
QUALITY ASSURANCE (1,4,5)	Approve acceptance of training-related awards, honorariums, and/or other contributions toward costs of training from Internal Revenue Service recognized 501(c) (3) organizations, with advice from the General Counsel, as required.	DOE O 360.1C	Asst. Directors Project Director	HR Advisory Office	Federal Employee Training
QUALITY ASSURANCE (1,4,5)	Recommend additions and deletions to regulations and directives with the potential to affect nuclear safety Determine when specific CRD provisions are applicable to prime contracts and when treatment of an applicable CRD	DOE O 410.1	FEM/FPD	OTSAM Chief Counsel WVDP Director	Promulgating Nuclear Safety Requirements

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	provision in new revisions to prime contracts would constitute an exemption. Request CTA concurrence for exemption to 10 CFR 830				
BUSINESS OPERATIONS (2, 3, 4, 5, 6)	(1) Ensure work to be assigned by work authorization— (a) is within the contracting officer's representative's (COR's) delegated authority and (b) is not duplicative of other ongoing work under the contractor's responsibility. (2) Ensure work performed by contractors does not violate constraints on use of DOE-controlled facilities and is carried out in a manner that protects the workers, the public, and the environment against ES&H hazards and safeguards and security risks arising from the performance of contract work. (3) Ensure work authorization requirements have been satisfied before authorization to proceed and that the contractor has a clear understanding of what is required by the sponsoring program office before work commences. (4) Review all work authorizations under their cognizance to ensure they are appropriate for performance; within mission; and for institutional plans as applicable, within scope and agreed to general levels of effort. (5) Issue and revise work authorizations for assigned work if the assignment decision has been delegated. (6) Ensure the contractor provides a signed copy of the work authorization and all required reports to Program Secretarial Officers as required. (7) Monitor performance and reports submitted by contractors to ensure that work performed and costs incurred conform to work authorizations issued. (8) Authorize work in accordance with the AFP, programmatic guidance, contract-specific COR appointment letters, and established procedures for administrative control of funds. (9) Ensure costs related to work authorizations can be adequately tracked before issuing authorizations. (10) Review work proposals prepared by contractors for consistency with program and other guidance. (11) Transmit work proposals, with any comments and recommendations, to program offices in accordance with program guidance and budget time frames issued by the Chief Financial Officer. (13) Perform contract oversight activities in accordance with the contract-specific COR appointment letter.	DOE O 412.1A, Admin Chg 1	Project Director, CBC Director	Contracting, OCE&PM	Work Authorization
BUSINESS OPERATIONS (1)	Oversee the project line-management organization and ensure the line project teams have the necessary experience, expertise, and training in design engineering, safety and security analysis, construction expertise	DOE O 413.3B Change 1	Project Director	OCE&PM OTSAM	Program & Project Management
QUALITY ASSURANCE (4,5,6)	Conduct assessments according to the established schedule for safety software using approved CRADs, and report the results to the cognizant PSOs.	DOE O 414.1D; Chg 1	Project Director	Information Resource Management, OTSAM	Quality Assurance
QUALITY ASSURANCE (3,4,5,6)	Prepare and implement a CAP to address all findings in assessment reports, and enter, track, and report the status of the CAP in the corrective Action Tracking System (CATS).	DOE O 414.1D, Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Quality Assurance
QUALITY ASSURANCE (3,4,5,6)	Complete the CAP and conduct follow-up review on the effectiveness of the corrective actions in resolving and preventing recurrence of all findings. Approve the effectiveness review report and follow-up report recommendations.	DOE O 414.1D , Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Quality Assurance
QUALITY ASSURANCE (3,4,5,6)	Review and, where delegated authority to do so, approve new and revised QAPs for contractors within their purview. [NOTE: The scope and rigor of review must be graded based	DOE O 414.1D, Chg 1	Project Director per Delegated	OTSAM	Quality Assurance

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	on the status of the contractor's prior quality performance (e.g., past regulatory/contract noncompliance, performance metrics, or any third-party QAP certification).		Safety Authorities		
QUALITY ASSURANCE (3,4,5,6)	5.b.(4) – Review and approve or reject new/revised Field Element QAPs within 90 calendar days of receipt.	DOE O 414.1D, Chg 1 .	Project Director per Delegated Safety Authorities	OTSAM	Quality Assurance
QUALITY ASSURANCE (3,4,5,6)	5.b.(5) and (6) – Review and approve or reject new/revised contractor QAPs within 90 calendar days of receipt.	DOE O 414.1D, Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Quality Assurance
QUALITY ASSURANCE (2,3,4,5,6)	Use the un-reviewed safety question process to address assessment results that question the validity of the software previously used to support the safety analysis and design process. (See 10 CFR 830.203, Un-reviewed Safety Question Process, and DOE G 424.1-1, Implementation Guide for Use in Addressing Un-reviewed Safety Question Requirements, dated 10-24-01.)	DOE O 414.1D; Chg 1	Project Director per Delegated Safety Authorities	Information Resource Management, Contracting, OTSAM	Quality Assurance
QUALITY ASSURANCE (4,5,6)	Revise the field element FRA document to include Federal functions, responsibilities, and authorities for safety software.	DOE O 414.1D; Chg 1	Project Director per Delegated Safety Authorities, CBC Director	OTSAM	Quality Assurance
QUALITY ASSURANCE (4,5,6)	Periodically report management assessment results to their organizations' SOs describing the effectiveness of field element and contractor QA implementation.	DOE O 414.1D, Chg 1	Project Director per Delegated Safety Authorities	OTSAM, EM-40	Quality Assurance
QUALITY ASSURANCE (4,5,6)	Submit QAPs to the appropriate SOs for review, resolution of differences of opinion, and approval.	DOE O 414.1D, Chg 1	Project Director per Delegated Safety Authorities	OTSAM EM-40	Quality Assurance
QUALITY ASSURANCE (4,5,6)	Perform independent assessments of contractor organizations to evaluate the adequacy and QAP implementation effectiveness. [NOTE: The frequency and scope of assessments must be graded based on the status of prior quality performance and any third-party QAP certification. Other suitable methods may be used in combination with independent assessments.]	DOE O 414.1D, Chg 1	OTSAM		Quality Assurance
QUALITY ASSURANCE (2,3,4,5,6)	Update the Technical Qualifications Program position list to identify the Federal positions whose duties and responsibilities require them to meet the Functional Area Qualification Standard (FAQS) for safety software. (a) Qualify personnel who have responsibility for safety software to the requirements of the FAQS for safety software. (b) Update qualifications of other personnel if their FAQSs are revised to include safety software competencies.	DOE O 414.1D; Chg 1	CBC Director, OTSAM	OFM, Project Directors	Quality Assurance
INTEGRATED SAFETY MANAGEMENT (2, 4, 5)	Coordinate with contracting officers the revision of contracts to comply with requirements of this Order and require contractors to appropriately flow down requirements to subcontractors.	DOE O 420.1C, Chg 1	Project Director	Contracting	Facility Safety
INTEGRATED SAFETY MANAGEMENT (2, 3, 4, 5)	Notify contracting officers when contracts are affected by this Order.	DOE O 420.1C, Chg 1	Project Director	Contracting, OTSAM	Facility Safety
INTEGRATED SAFETY MANAGEMENT (2)	Approve contractors' emergency services organization baseline needs assessments (BNAs) that meet the requirements in Attachment 2, Chapter II, Section 3.e.(1) of this Order.	DOE O 420.1C, Chg 1	Project Director per Delegated Safety Authorities	Contracting, OTSAM WVDP Project Director	Facility Safety
INTEGRATED	Ensure that the facilities, activities, and programs under their	DOE O	Project	OTSAM	Facility Safety

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
SAFETY MANAGEMENT (2,4,5)	purview operate in compliance with the requirements of this Order and the CRD.	420.1C, Chg 1	Director per Delegated Safety Authorities	WVDP Project Director	
INTEGRATED SAFETY MANAGEMENT (2,4,5)	Review and approve— (a) fire department baseline needs assessments, where applicable; (b) CSP description documents; (c) plans for upgrades to correct deficiencies in natural phenomena hazards mitigation for existing structures, systems, and components; (d) recommendations to update NPH assessments; (e) the qualification program for criticality safety staff; (f) shipping containers for off-site shipment that are used to exclude materials from the requirement for a criticality alarm system (CAS) or a criticality detection system (CDS); and (g) the method for preparing criticality safety evaluations.	DOE O 420.1C, Chg 1	Project Director per Delegated Safety Authorities	OTSAM, Contract Service Support, HQs EM-40	Facility Safety
INTEGRATED SAFETY MANAGEMENT (4,5)	Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (including the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.	DOE O 420.1C, Chg 1.	Project Director per Delegated Safety Authorities	OTSAM, Contracting	Facility Safety
INTEGRATED SAFETY MANAGEMENT (4,5)	Specify the frequency of the Contractor's periodic facility assessment for fire protection.	DOE O 420.1C, Chg1	Project Director per Delegated Safety Authorities	OTSAM	Facility Safety
INTEGRATED SAFETY MANAGEMENT (4,5)	Unless otherwise directed by the Secretarial Officer fulfills the role and responsibilities for the authority having jurisdiction (AHJ) for matters involving fire protection as defined by the National Fire Protection Association (NFPA) Codes and standards. Ensure any comments from designated fire protection subject matter experts (SMEs) are appropriately addressed.	DOE O 420.1C, Chg 1	Project Director per Delegated Safety Authorities	OTSAM, Support Service Contractor HQs EM-40	Facility Safety
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Conduct comprehensive self assessments and assessments of contractor fire protection programs and criticality safety programs (CSPs).2	DOE O 420.1C	Project Director per Delegated Safety Authorities	OTSAM	Facility Safety
QUALITY ASSURANCE (2,3,4,5,6)	c. Heads of Field Elements shall: (1) Ensure that adequate field element and contractor plans, procedures, and programs are in place and assess the effectiveness of their implementation at sites under their jurisdiction, consistent with the provisions of this Order; (2) Ensure that a DOE Facility Representative is assigned responsibility for a major facility or group of lesser facilities, and oversee the day-to-day conduct of operations at these facilities in accordance with the requirements of this Order and the direction received from the Program Manager; and (3) Approve documentation prepared by the field element and contractor to demonstrate conformance to the guidelines in Attachment 1.	DOE O 422.1, Chg 2	Project Director per Delegated Safety Authorities	OTSAM	Conduct of Operations
QUALITY ASSURANCE (1,3,4,5)	Review and approve Contractor's Quality Assurance Plans Review and approve annually submitted changes to the Contractor's DOE approved QAP	DOE O 425.1D; Chg 1 and Delegated Authorities	Project Director	OTSAM	Start-up & Restart
QUALITY ASSURANCE (1,3,4,5)	Heads of DOE Elements must ensure that initiators of procurement requests must identify in procurement requests if the requirements in the CRD (Attachment 1) are to be applied to the award or sub-awards resulting from the procurement request.	DOE O 425.1D, Chg 1	Project Director	Contracting, Chief Counsel, OTSAM	Start-up & Restart
QUALITY ASSURANCE (2,3,4,5)	4. a. (3) (a) Startup Authority for new hazard category 3 nuclear facility.	DOE O 425.1D, Chg 1	Project Director per Delegated Authorities	OTSAM, WVDP Project Director	Start-up & Restart
QUALITY ASSURANCE	4. a. (4) (b) : Approve Startup Notification Reports if you are the startup authority; otherwise; make recommendation	DOE O 425.1D,	Project Director per	OTSAM, WVDP Project	Start-up & Restart

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
(2,3,4,5)	regarding approval	Chg 1	Delegated Authorities	Director	
QUALITY ASSURANCE (1,2,3,4,5,6,)	Perform periodic systematic evaluations of training and qualification programs using DOE-STD-1070-94 and provide day-to-day oversight of nuclear facility personnel training and qualification activities;	DOE O 426.2, Chg 1	Project Director OTSAM OCE&PM		Training & Qualification
QUALITY ASSURANCE (2,3,4,5)	Review and approve each Training Implementation Matrix for nuclear facilities;	DOE O 426.2, Chg 1	Project Director	OTSAM	Training & Qualification
QUALITY ASSURANCE (1,4,5,6)	Assure that Business Center staffing includes an adequate number of persons having expertise in the area of personnel training;	DOE O 426.2, Chg 1	CBC Director OTSAM Asst. Director	M&P SSC	Training & Qualification
QUALITY ASSURANCE (4,5,6)	Approve contractor procedures which are established to grant exceptions to specific training or qualification requirements for an individual;	DOE O 426.2, Chg 1	Project Director	OTSAM	Training & Qualification
QUALITY ASSURANCE (2,3,4,5)	Approve, on a case by case basis, contractor requests for certification extensions;	DOE O 426.2, Chg 1	Project Director	OTSAM	Training & Qualification
QUALITY ASSURANCE (2,3,4,5,6)	Review the certification and recertification of shift supervisors, and fissionable material handlers at high-hazard non-reactor nuclear facilities. Review may vary from observations to ensure that examinations adequately sample a candidate's knowledge and are properly conducted, to and including actively participating as a CO-evaluator in an examination to determine a candidate's suitability for certification. Review shall include: (a) Periodic attendance at certification oral examinations; (b) Periodic and random review of individual training records; (c) Periodic monitoring and evaluation of annual oral examinations/walkthroughs; (d) Periodic spot checks of oral examinations; initial and continuing training classes, performance of practical factors, operational evaluations, and other training program materials; and(e)Periodic review of certification records.	DOE O 426.2, Chg 1	Project Director	OTSAM	Training & Qualification
QUALITY ASSURANCE (1,6)	Assure that DOE contractors to whom this Order is applicable, implement the requirements of this Order;	DOE O 426.2, Chg 1	Contracting	Project Directors	Training & Qualification
QUALITY ASSURANCE (1,2,3,4,5,6)	Assure compliance with the mandatory standards of this Order. (2) Notify HS-1 and the appropriate Program Secretarial Officers of requests for exemptions from non-DOE Federal or State mandatory ES&H statutes or implementing directives and the final disposition of such requests, as delineated by Attachment 1. (3) Review, coordinate with, and submit to the appropriate Program Secretarial Officers requests for exemptions from the mandatory standards as delineated by the exemption procedures of Attachment 2. (4) Assure that the level of performance of safety and health is maintained consistent with the intent of the mandatory standards, for those activities under their direction. (5) Prescribe, as appropriate, additional or more stringent standards, based on the determination that such standards are essential to safety and proper performance of their function. (6) Identify needs to EH-1 for new standards to address environment, safety, and health concerns.	DOE O 426.2, Chg 1	Project Director	OTSAM	Training & Qualification
BUSINESS OPERATIONS (1)	Participates in the DOE certification program for real estate specialists.	DOE O 430.1B; Change 2,	OTSAM	HR Liaison	Real Property
BUSINESS OPERATIONS (1)	Oversees implementation of the requirements in this Order at the site consistent with the annual program direction and guidance issued by the LPSO responsible for the site.	DOE O 430.1B; Chg 2,- Single Program Site	OTSAM	Project Directors	Real Property
BUSINESS OPERATIONS (1)	Identifies and reports in FIMS mission essential real property assets that directly support these program defined mission requirements	DOE O 430.1B; Chg 2, -	OTSAM	Project Directors	Real Property Asset

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
		Single Program Site			
BUSINESS OPERATIONS (1)	Normally serves as the DOE Contracting officer's representative for site contracts as designated by those contracts (unless otherwise delegated) and all other contracts and financial assistance agreements executed at the site. (a) Ensures applicable requirements found in this Order are implemented through site contracts and sub-contracts. (b) Establishes and uses agreed upon performance-based measures and expectations for real property assets.	DOE O 430.1B; Chg 2, – Single Program Site	Project Director	OTSAM	Real Property
BUSINESS OPERATIONS (1)	Monitors Order implementation through the establishment, by contractor or financial assistance agreement, of a site-specific performance measurement system. Through the performance measurement system, the site/field manager— (a) develops output/outcome-based performance measures to drive achievement of the corporate and real property asset performance; (b) leads in negotiating performance measures with Contractors to meet defined performance; (c) performs assessments of Contractor performance in accordance with the performance measurement system; (d) uses independent or line management oversight to verify effectiveness of assessments, identify deficiencies, and recommend corrective actions; and (e) ensures population and validation of data in FIMS and that objectives of the condition assessment program defined in paragraph 4d of this Order are met.	DOE O 430.1B – Single Program Site	OTSAM	Contracting, OFM Project Director	Real Property
BUSINESS OPERATIONS (1)	Is accountable to the LPSO for the proper stewardship of real property assets at the site, including maintaining the condition of infrastructure to support mission activities reliably, efficiently, and effectively.	DOE O 430.1B; Chg 2, – Program Site	Project Director	OTSAM	Real Property
BUSINESS OPERATIONS (1)	Develops components for the site's strategic plan that link real property assets to missions, and establishes a rational basis for real property asset plans and budgets.	DOE O 430.1B; Chg 2, Single – Program Site	Project Director	OTSAM	Real Property
BUSINESS OPERATIONS (1)	Develops components for the site's strategic plan that link real property assets to missions, and establishes a rational basis for real property asset plans and budgets.	DOE O 430.1B; Chg 2,) Single – Program Site	Project Director	OTSAM	Real Property
BUSINESS OPERATIONS (1)	Coordinates the facilities management requirements and activities at the site including LPSO/CSOs/PSOs and other non-DOE tenants/owners. Secures agreements with non-DOE tenant/owners regarding their facilities and infrastructure responsibilities at the site.	DOE O 430.1B; Chg 2,) – Multi-program Site	Project Director	OTSAM	Real Property
BUSINESS OPERATIONS (1)	Determines whether other site program needs can be met with property affected by program mission terminations.	DOE O 430.1B; Chg 2,) – Multi-program Site	OTSAM Project Directors	OFM	Real Property
BUSINESS OPERATIONS (1)	For any Non-Closure site, presents a single, coordinated Ten Year Site Plan, including any tenant-specific TYSPs.	DOE O 430.1B; Chg 2, – Multi-program Site	Project Director	OTSAM	Real Property
BUSINESS OPERATIONS (2, 4, 5)	Ensuring that the requirements and standards for maintenance of nuclear facilities are incorporated into contracts and subcontract, including support services contracts, as appropriate.	DOE O 433.1B Admin Chg 1	Project Director per Delegated Safety	Contracting	Maintenance Management Oversight

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
			Authorities		
ISM (3,4,5,6)	a. ensuring that sufficient resources are budgeted in a timely manner to accomplish the maintenance program's objective of providing DOE with the highest confidence in the reliable performance of mission-critical, safety SSCs through proactive maintenance practices	DOE O 433.1B; Chg 1	Project Director per Delegated Safety Authorities	Financial Management, OTSAM	Maintenance Management
ISM (3,4,5,6)	b. ensuring that a cost-effective and efficient maintenance program is developed and implemented for all DOE nuclear facilities consistent with DOE's mission, safety and health, reliability, quality, and environmental protection objectives;	DOE O 433.1B, Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Maintenance Management
ISM (3,4,5)	c. ensuring that the responsibility, authority, and accountability for maintenance are clearly defined, appropriately assigned, and executed;	DOE O 433.1B; Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Maintenance Management
ISM (4,5,6)	d. ensuring that DOE operational awareness review and analysis capability exists for evaluation of maintenance program performance and effectiveness;	DOE O 433.1B; Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Maintenance Management Oversight
ISM (2,3,4,5,6)	e. ensuring that where maintenance requirements or accepted maintenance standards cannot be met, such instances are appropriately documented and acknowledged by DOE field elements including the granting of exemptions by DOE, as appropriate, when requested; and	DOE O 433.1B; Chg 1	Project Director per Delegated Safety Authorities	OTSAM	Maintenance Management Oversight
INTEGRATED SAFETY MANAGEMENT (4, 5)	Training and Qualification. Ensuring a training and qualification program is implemented for designated radioactive waste management program personnel, and the training is commensurate with job duties and responsibilities. Only those personnel who have been trained and qualified shall design or operate safety class and safety significant structures, systems, and components.	DOE M 435.1-1; Admin Chg 2	Project Director	Contracting, OTSAM	Training and Qualification
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Site-Wide Radioactive Waste Management Programs. Developing, documenting, implementing, and maintaining a Site-Wide Radioactive Waste Management Program. The Program shall use a systematic approach for planning, executing, and evaluating the site-wide management of radioactive waste in a manner that supports the Complex-Wide Radioactive Waste Management Programs and ensures that the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual are met.	DOE O 435.1, Chg 1	Project Director	Contracting, OTSAM	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Radioactive Waste Management Basis. Ensuring a radioactive waste management basis is developed and maintained for each DOE radioactive waste management facility, operation, and activity; and ensuring review and approval of the basis before operations begin. The Radioactive Waste Management Basis shall: (a) Reference or define the conditions under which the facility may operate based on the radioactive waste management documentation; (b) Include the applicable elements identified in the specific waste-type chapters of this Manual; and (c) Be developed using the graded approach process.	DOE O 435.1, Chg 1	Project Director	OTSAM	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Approval of Exemptions for Use of Non-DOE Facilities. DOE waste shall be treated, stored, and in the case of low-level waste, disposed of at the site where the waste is generated, if practical; or at another DOE facility. If DOE capabilities are not practical or cost effective, exemptions may be approved to allow use of non-DOE facilities for the storage, treatment, or disposal of DOE radioactive waste based on the following requirements: (a) Such non-DOE facilities shall: 1. Comply with applicable Federal, State, and local requirements; 2. Have the necessary permit(s), license(s), and approval(s) for the specific waste(s); and 3. Be determined by the Field Element Manager to be acceptable based on a review conducted annually by DOE. (b) Exemptions for the use of	DOE O 435.1, Chg 1	Project Director	OTSAM, Legal Services, DOECAP/ASP	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	non-DOE facilities shall be documented to be cost effective and in the best interest of DOE, including consideration of alternatives for on-site disposal, an alternative DOE site, and available non-DOE facilities; consideration of life-cycle cost and potential liability; and protection of public health and the environment. (c) DOE waste shall be sufficiently characterized and certified to meet the facility's waste acceptance criteria. (d) Appropriate National Environmental Policy Act (NEPA) review must be completed. For actions taken under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), it is DOE's policy to incorporate NEPA values into the CERCLA documentation.				
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Defense-In-Depth. Ensuring defense-in-depth principles are incorporated where potential uncertainties or vulnerabilities warrant their use when reviewing and approving radioactive waste management activities and documents. These principles advocate the use of multiple levels of engineered and administrative controls to provide protection to the public, workers, and the environment.	DOE O 435.1, Chg 1	Project Director	Contracting, OTSAM, Chief Counsel	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (3,4,5)	As Low As Reasonably Achievable (ALARA). Ensuring ALARA principles for radiation protection are incorporated when reviewing and approving radioactive waste management activities.	DOE O 435.1, Chg 1	Project Director	Contracting, OTSAM	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (3,4,5,6)	Storage. Ensuring all radioactive waste is stored in a manner that protects the public, workers, and the environment in accordance with a radioactive waste management basis, and that the integrity of waste storage is maintained for the expected time of storage and does not compromise meeting the disposal performance objectives for protection of the public and environment when the waste is disposed.	DOE O 435.1, Chg 1	Project Director	OTSAM	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Treatment. Ensuring all radioactive waste requiring treatment is treated in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis.	DOE O 435.1, Chg 1	Project Director	OTSAM,	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Disposal. Ensuring radioactive waste is disposed in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis. Reviewing specific transuranic or low-level waste documentation including the performance assessment and composite analysis, or appropriate CERCLA documentation, prior to forwarding them to Headquarters for approval, and obtaining and ensuring the facility is operated in accordance with the disposal authorization statement. Conducting performance assessment and composite analysis maintenance.	DOE O 435.1, Chg 1	Project Director	Contracting, OTSAM	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (3,4,5,6)	Monitoring. Ensuring monitoring is conducted for all radioactive waste management facilities as required. Ensuring that disposal facilities are monitored, as appropriate, for compliance with conditions of the disposal authorization statement.	DOE O 435.1, Chg 1	Project Director	Contracting, OTSAM, DOECAP	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT	Material and Waste Declassification for Waste Management. Ensuring, to the extent practical, radioactive material and waste generated under a program that is classified for national security reasons is declassified or rendered suitable for unclassified radioactive waste management.	DOE O 435.1, Chg 1	Does not apply to EMCBC sites		Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (3,4,5)	Waste With No Identified Path to Disposal. Ensuring a process is developed and implemented for identifying the generation of radioactive waste with no identified path to disposal, and reviewing and approving conditions under which radioactive waste with no identified path to disposal	DOE O 435.1, Chg 1	Project Director	OTSAM	Radioactive Waste Management Manual [DOE M 435.1-1

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	may be generated. Headquarters shall be notified of the decisions to generate a waste with no identified path to disposal.				Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Corrective Actions. Ensuring a process exists for proposing, reviewing, approving, and implementing corrective actions when necessary to ensure that the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual are met, and to address conditions that are not protective of the public, workers, or the environment. The process shall allow workers, through the appropriate level of management, to stop or curtail work when they discover conditions that pose an imminent danger or other serious hazard to workers or the public, or are not protective of the environment.	DOE O 435.1, Chg 1	Project Director	OTSAM, DOECAP	Radioactive Waste Management Manual [DOE M 435.1-1 Admin Chg 2]
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Oversight. Ensuring oversight of radioactive waste management facilities, operations, and activities is conducted. Oversight shall ensure radioactive waste management program activities are conducted in accordance with a radioactive waste management basis and meet the requirements of DOE O 435.1, Radioactive Waste Management, and DOE M 435.1-1.	DOE M 435.1-1 Chg 2	Project Director per Delegated Safety Authorities and CBC Director	Contracting, OTSAM, DOECAP	Radioactive Waste Management Oversight
INTEGRATED SAFETY MANAGEMENT (4,5)	(1) Prepare, submit and implement Site Sustainability Plans and associated required data. Ensure appropriate quantifiable sustainability and energy goals/targets are integrated into contracting documents, such as Performance Evaluation and Measurement Plans. (2) Ensure that EMSs covering all site activities are certified to or conform with the ISO 14001:2004 in accordance with the accredited registrar provisions of the IS or self-declaration instructions. (3) Monitor site performance in implementing the requirements of this Order and make such information available annually to the PSO. Request through the annual internal budgetary process funding and resources to carry these requirements that are not otherwise funded.	DOE O 436.1	Project Director	OTSAM	Environ. Protection Program
INTEGRATED SAFETY MANAGEMENT (3,4,5,6)	Conduct environmental monitoring, as appropriate, to support the site's ISMS, to detect, characterize, and respond to releases from DOE activities; assess impacts; estimate dispersal patterns in the environment; characterize the pathways of exposure to members of the public; characterize the exposures and doses to individuals, to the population; and to evaluate the potential impacts to the biota in the vicinity of the DOE activity.	DOE O 436.1	Project Director	OTSAM	Environmental Protection Program
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Ensure Contractor ES&H self-assessment programs are established within the framework of DOE O 226.1 and continue to be effective.	DOE O 436.1	Project Director	OTSAM	Environmental Protection Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Conduct operational assessments, such as pollution prevention opportunity assessments, of site operations to identify opportunities for source reduction including material segregation and substitution, recycle/reuse, or other P2 projects. Based on the results of these assessments, implement cost-effective P2 projects, using life-cycle assessment concepts and practices in determining ROI.	DOE O 436.1	Project Director	OFM, OTSAM Cost Estimating	Environmental Protection Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Ensure through the Contracting Officer that contractors implement the requirements of 10 CFR 851.	DOE O 440.1B, Chg 2	Project Director	Contracting, OTSAM	Worker Protection Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Review contractor worker protection program budgets and provide recommendations to the funding official on the appropriateness of the budget request.	DOE O 440.1B, Chg 2	Project Director	Contract	Worker Protection Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Provide contractors with technical direction on and criteria for the development of contractor goals, objectives, and performance measures.	DOE O 440.1B, Chg 2	Project Director	OTSAM, Contracting	Worker Protection

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INTEGRATED SAFETY MANAGEMENT (1,2,3,4,5,6)	Hold DOE line personnel accountable for providing technical direction to contractors that is consistent with the requirements contained in 10 CFR 851.	DOE O 440.1B Chg 2	Project Director	OTSAM, Financial Management	Worker Protection
INTEGRATED SAFETY MANAGEMENT (1,2,3,4,5)	Evaluate the need for and direct the development of formal written agreements between Departmental elements on their sites. These agreements must outline the respective roles, responsibilities, and authorities of each Departmental element as they relate to compliance with DOE worker protection requirements and the resolution of cross-cutting worker protection related issues.	DOE O 440.1B Chg 2	Project Directors		Worker Protection
INTEGRATED SAFETY MANAGEMENT (1,2,3,4,5,6)	Evaluate the need for and direct the development of formal written agreements between organizations on their sites. These agreements shall outline the respective roles, responsibilities, and authorities of each organization as they relate to compliance with DOE worker protection requirements and the resolution of cross-cutting worker protection-related issues.	DOE O 440.1B Chg 2	Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Review and forward, to the DOE Chief Health, Safety and Security Officer all exemptions, exceptions, and variances to mandatory worker protection requirements contained in this Order. Conduct an annual review of the status of all exemptions to the requirements contained in this Order to ensure that circumstances requiring the need for relief have not changed and that instituted controls are still implemented and appropriate.	DOE O 440.1B Chg 2	Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (4,5)	Provide annually to the Office of Health, Safety and Security input for the Department of Labor's FEOSH report, including status of progress in meeting established goals, new initiatives, and other requested information.	DOE O 440.1B, Chg 2	Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Establish annually FEOSH Program goals and objectives for both promoting the program and for reducing accidents, injuries, and lost-time cases.	DOE O 440.1B, Chg 2	Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Ensure that unannounced worker protection inspections of federal workplaces are conducted at least annually.	DOE O 440.1B, Chg 2	CBC Director or Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (3,4,5,6)	Ensure immediate and effective remedial actions are taken for imminent danger situations discovered during worker protection inspections to ensure employees are removed from the hazard or the hazard is eliminated; conduct an inspection as soon as possible after an imminent danger situation has been corrected to ascertain that appropriate actions have been taken to preclude recurrence.	DOE O 440.1B, Chg 2	CBC Director or Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (1,2,3,4,5)	Ensure that initiators of procurement requests specify therein whether requirements in 10 CFR 851 are to be applied to the resulting awards or subawards.	DOE O 440.1B Chg 2	CBC Director or Project Director	OTSAM Contracting	Worker Protection
INTEGRATED SAFETY MANAGEMENT (3,4,5)	Ensure that a FEOSH Program Manager/Coordinator is assigned the responsibility for administration of the FEOSH Program and is provided adequate training commensurate with that responsibility.	DOE O 440.1B, Chg 2	CBC Director or Project Director	OTSAM	Worker Protection
INTEGRATED SAFETY MANAGEMENT (4,5)	Direct the ECP and provide adequate resources and training for effective implementation.	DOE O 442.2	OTSAM	Project Directors	Employee Concerns Program
INTEGRATED SAFETY MANAGEMENT (4,5)	Ensure implementation of ECPs required by Contract for Contractors under their jurisdiction.	DOE O 442.2	Project Director	Ofc. of the CBC Director, Contracting, OTSAM	Employee Concerns Program
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Use management assessment results to verify the adequacy and implementation of the ECP and improve performance.	DOE O 442.2	CBC Director	OTSAM	Employee Concerns Program
INTEGRATED	Designate the management position or positions responsible	DOE O	CBC Director	OTSAM	Employee

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SAFETY MANAGEMENT (2,4,5)	for developing and implementing the Employee Concerns Program (ECP).	442.2			Concerns Program
INTEGRATED SAFETY MANAGEMENT (2, 4, 5)	Ensures that each contractor submits its Integrated Safety Management System (ISMS) documentation to the Contracting Officer (CO) for review and approval.	DOE O 450.2	Project Director	Contracting, OTSAM	FRAM, Oversight
INTEGRATED SAFETY MANAGEMENT	(1) Develop and maintain an ISM System Description and an organizational FRA for their Field Element separately or as part of the same document. (2) Monitor the statutes of ISM systems for their contractors' facilities and activities and provide feedback to their contractor to support continuous improvement (3) Ensure the establishment of the annual Field Element safety goals and objectives and contractor safety performance objectives, measures and commitments. (4) Support the Secretarial Office in determining the need for, and frequency of, Field Element and Field Element Contractor's ISM Declarations. (5) Determine whether and when the conduct of ISM verifications of contractor ISM systems. (6) Implement the Field Element management systems to ensure DOE safety requirements and expectations are achieved. (7) Implement the Field Element level MOU's, as appropriate, that define implementing methodologies for the procedures agreed upon by the Secretarial Officers for governing operations at a location where multiple program offices conduct work. Incorporate the MOUs into organizational FRA documents, as appropriate.	DOE O 450.2	Project Director per Delegated Safety Authorities, CBC Director	Contracting, OTSAM	ISMS Manual
INTEGRATED SAFETY MANAGEMENT (2, 4, 5)	Include in new contracts and grants a provision that the awardees may not undertake on DOE's behalf an action that is subject to NEPA until DOE has notified the awardee that DOE has satisfied applicable NEPA requirements.	DOE O 451.1B Admin Chg 3	Project Directors	OTSAM, Contracting, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (4, 5)	Incorporate NEPA milestones in project planning documents.	DOE O 451.1B Admin Chg 3	Project Directors	OTSAM Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (4, 5)	Incorporate NEPA compliance status information in internal budget review documents.	DOE O 451.1B Admin Chg 3	Project Directors	OTSAM OFM, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Determine that an environmental assessment or an environmental impact statement is appropriate or required.	DOE O 451.1B Admin Chg 3	Project Directors	OTSAM Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (2,3,4,5, 6)	After an environmental assessment determination, prepare and issue an environmental assessment. Responsibilities for approving and adopting environmental assessments and issuing findings of no significant impact may not be delegated except as provided in this Order. In addition to meeting requirements established in the Regulations, responsibilities include; a)When another agency is involved in preparation, determining whether DOE shall be a lead or cooperating agency. (b)Obtaining concurrence of DOE Counsel in the legal adequacy of an environmental assessment before it is approved and in any finding of no significant impact before it is issued. (c)Determining, based on an environmental assessment, that the impacts of a proposed action are significant and that an environmental impact statement is required, or issuing a finding of no significant impact when appropriate. (d)Adopting another agency's environmental assessment. (e)When a commitment to mitigation is essential to render the	DOE O 451.1B Admin Chg 3	Project Directors	OTSAM, Chief Counsel	NEPA

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	impacts of a proposed action not significant, preparing a mitigation action plan for any such commitment before issuing the finding of no significant impact. (f) Tracking and annually reporting progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impacts of a proposed action not significant.				
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	When required by the Regulations, prepare a supplement analysis and with the concurrence of DOE counsel, determine whether a supplemental or a new environmental impact statement is required for a proposed action, or whether no further documentation is required.	DOE O 451.1B Admin Chg 3	Project Director	OTSAM, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Determine that a proposed action that may be an interim action is clearly allowable under the Regulations. For a proposed action that may be an interim action not clearly allowable under the Regulations, provide the General Counsel with a recommendation for a determination whether the proposed action may proceed.	DOE O 451.1B Admin Chg 3	Project Director	OTSAM, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Incorporate NEPA values, such as analysis of cumulative, off-site, ecological, and socioeconomic impacts, to the extent practicable, in DOE documents prepared under the Comprehensive Environmental Response, Compensation, and Liability Act.	DOE O 451.1B Admin Chg 3	Project Director	OTSAM, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	When appropriate, request from the General Counsel a variance from the DOE NEPA Regulations or from this Order.	DOE O 451.1B Admin Chg 3	Project Director	OTSAM, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Establish a NEPA Compliance program and use the NEPA process early in project and program planning to consider environmental factors along with other relevant information.	DOE O 451.1B Admin Chg 3	Project Director	OTSAM, Chief Counsel	NEPA
INTEGRATED SAFETY MANAGEMENT (3,4,5)	Maintain a DOE NEPA Compliance Officer for the office and designate a DOE NEPA Document Manager at the start of each environmental assessment and environmental impact statement.	DOE O 451.1B Admin Chg 3	Project Director CBC Director	OTSAM	NEPA
INTEGRATED SAFETY MANAGEMENT (4,5,6)	Submit an annual NEPA planning summary to the Office of Health Safety and Security by January 31 of each year, and make it available to the public.	DOE O 451.1B Chg3	Project Director	OTSAM	NEPA
INTEGRATED SAFETY MANAGEMENT (3,4,5,6)	Implement provisions of this Order (Radiation Protection of the Public and the Environment) for their respective activities;	DOE O 458.1, Change 3	Project Director per Delegated Safety Authorities	OTSAM	Radiation Protection of the Public and the Environment
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	(a) Implement provisions of this Order for their respective activities; (b) Maintain appropriate capabilities at each operating site for monitoring and assessing routine and unplanned releases of radioactive materials, with respect to the characteristics of radioactive material released and the release modes, consistent with the types of operations conducted; (c) Process specific requests for exceptions to this Order, pursuant to paragraph II.1a(4); and (d) Temporarily suspend the requirements of this Order when doing so is in their judgment necessary to minimize damage to life or property or to protect public health or safety. Whenever this provision is invoked, such suspension and the reason therefore are to be reported to HHS-1 at the earliest practicable time.	DOE O 458.1, Change 3	Project Director per Delegated Safety Authorities	OTSAM	Radiation Protection of the Public and the Environment
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Maintain appropriate capabilities at each operating site for monitoring and assessing routine and unplanned releases of radioactive materials, with respect to the characteristics of radioactive material released and the release modes, consistent with the types of operations conducted;	DOE O 458.1, Change 3	Project Director per Delegated Safety Authorities	OTSAM	Radiation Protection of the Public and the Environment
INTEGRATED SAFETY	Process specific requests for exceptions to this Order, pursuant to paragraph II. a (4); and	DOE O 458.1,	Project Director per	OTSAM	Radiation Protection of

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MANAGEMENT (3,4,5)		Change 3	Delegated Safety Authorities		the Public and the Environment
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Implement the requirements of the Packaging and Transportation Order and ensure that Contractors under their purview fully implement and comply with the requirements of this Order.	DOE O 460.1C;	Project Director	OTSAM	Packaging & Transportation Safety
INTEGRATED SAFETY MANAGEMENT (3,5,6)	Review and process Safety Analysis Reports for Packaging through the HCO or NNSA CO responsible for the facilities or activities applying for package certification	DOE O 460.1C	Project Director	OTSAM, EM-33	Packaging & Transportation Safety
INTEGRATED SAFETY MANAGEMENT (2)	Review existing Contracts to determine whether existing requirements provide adequate safety protections. In contracts with inadequate protections, contact the Contracting officer about having the CRD inserted into the Contract.	DOE O 460.1C;	Project Director	OTSAM, Contracting	Packaging & Transportation Safety
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Implement the requirements of the Packaging and Transportation Order and ensure that Contractors under their purview fully implement and comply with the requirements of this Order.	DOE O 460.1C;	Project Director	OTSAM	Packaging & Transportation Safety
INTEGRATED SAFETY MANAGEMENT (3,4,5)	Review and approve, in writing, onsite Transportation Safety Documents and transportation and packaging quality assurance programs.	DOE O 460.1C;	Project Director	OTSAM	Packaging & Transportation Safety
INTEGRATED SAFETY MANAGEMENT (3, 4,5,6)	Review and transmit requests to the HCO or NNSA CO for DOE or NNSA exemptions, DOT-IAEA CoCAs or CACs, DOT Special Permits and renewals, and NRC CoCs.	DOE O 460.1C;	Project Director	OTSAM	Packaging & Transportation Safety
INTEGRATED SAFETY MANAGEMENT (6)	Support development of programs to share packaging and transportation safety successes and problems.	DOE O 460.1C;	Project Director	OTSAM	Packaging & Transportation Safety
BUSINESS OPERATIONS (2)	Ensure that field organizations and contractors under their purview involved in performing or managing transportation and packaging fully implement and comply with the requirements of this Order.	DOE O 460.2A;	Project Director	OTSAM	Trans. & Packaging Management
BUSINESS OPERATIONS (2)	Secure copies of exemptions and approvals by contractors and provides copies to the Office of Environmental Management or to NNSA	DOE O 460.2A;	Project Director	OTSAM	Trans. & Packaging Management
BUSINESS OPERATIONS (2)	Request a contracting officer to incorporate the requirements of the CRD (Attachment 2) into new or existing contracts and delete the requirements of the canceled Order in existing contracts.	DOE O 460.2A;	Project Director	OTSAM, Contracting	Trans. & Packaging Management Oversight
BUSINESS OPERATIONS (4)	Authorize contractor employees to issue bills of lading within prescribed limitations.	DOE O 460.2A;	Project Directors	OTSAM	Transportation & Packaging Management
BUSINESS OPERATIONS (4 & 5)	Ensure that all carriers who transport highway route controlled quantities of radioactive material in less-than-truckload (LTL) or truckload (TL) quantities, any TL quantities of radioactive material, and hazardous waste in any quantity are evaluated for safety, financial status, security, and compliance with applicable regulations. (MCEP Program Evaluation)	DOE O 460.2A;	Project Director	OTSAM	Trans. & Packaging Management Oversight
BUSINESS OPERATIONS (5 & 6)	Conduct site-wide transportation planning and develop reports that identify transportation needs.	DOE O 460.2A;	Project Director	OTSAM, EM-33	Trans & Packaging Management Oversight
QUALITY ASSURANCE (4, 5, 6)	Conduct contractor/subcontractor evaluations of compliance with transportation and packaging requirements at least every 3 years.	DOE O 460.2A;	Project Director	OTSAM	Transportation & Packaging Management
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (2,3,4,5)	Implement those portions of the EM Program Office's S&S Management Plan applicable to the EMCBC.	DOE O 470.4B	Project Director	OTSAM	Safeguard and Security Program
INTEGRATED	Develop and implement S&S procedures and provide	DOE O	Project	OTSAM	Safeguard and

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SAFEGUARD AND SECURITY MANAGEMENT (2,3,4,5)	oversight and technical direction as requested or warranted.	470.4B	Director		Security Program
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (1,2,3,4,5)	Submits S&S budget requests and utilizes funds appropriated to S&S activities.	DOE O 470.4B	Project Director	OTSAM	Safeguard and Security Program
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (1,2,3,4,5,6)	Implement applicable S&S directives by ensuring that physical, personnel, information, and nuclear material control and accountability programs and protective force operations are implemented in conformance with Departmental policy.	DOE O 470.4B	Project Director	OTSAM	Safeguard and Security Program
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (1,2,3,4,5)	Assist contracting officers in determining the S&S contractor requirements documents and security clauses applicable to contracts.	DOE O 470.4B	OTSAM	Project Director	Safeguard and Security Program
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (3,4,5,6)	Promptly notify the Program Office of any condition or event when continued operations would result in an unacceptable risk to national security and/or to the health and safety of DOE and contractor employees, the public, or the environment.	DOE O 470.4B	Project Director	OTSAM	Safeguard and Security Program
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (3,4,5)	Implement security condition requirements to the extent possible, and remain vigilant for any local conditions that could warrant application of additional measures.	DOE O 470.4B	Project Director	OTSAM	Safeguard and Security Program Planning and Management
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (3,4,5)	Ensure that S&S personnel under their cognizance are managed, trained, and equipped, and are provided other forms of support needed to maintain protection of S&S interests.	DOE O 470.4B Appendix B	Project Director, Supervisors	OTSAM	Safeguard and Security Program Planning and Management
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (3,4,5,6)	Implement procedures regarding incidents of security concern, and provide sufficient resources to perform initial notifications, conduct inquiries and implement corrective actions.	DOE O 470.4B, Attachment 5 & 6	Project Director, CBC Director	OTSAM	Safeguard and Security Program Planning and Management
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (3,4,5,6)	Ensure that required S&S surveys are conducted and reported. Corrective Actions are implemented to findings and deficiencies.	DOE O 470.4B	Project Director	OTSAM	Safeguard and Security Program Planning and Management
INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT (2,3,4,5,6)	Ensure that S&S interests are appropriately registered, to include adherence to Foreign Ownership, Control or Influence Program and Facility Clearance Program requirements.	DOE O 470.4B	Project Director	Contracting OTSAM	Safeguard and Security Program Planning and Management
OVERSIGHT (2,3,4,5)	This policy statement sets forth the general framework through which the U.S. Department of Energy (DOE) will seek to ensure compliance with its enforceable nuclear safety regulations and orders (hereafter collectively referred to as DOE Nuclear Safety Requirements) and, in particular, exercise the civil penalty authority provided to DOE in the Price Anderson Amendments Act of 1988, 42 U.S.C. 2282a (PAAA). The policy set forth herein is applicable to violations of DOE Nuclear Safety Requirements by DOE contractors who are indemnified under the Price Anderson Act, 42 U.S.C. 2210(d), and their subcontractors and suppliers (hereafter collectively referred to as DOE contractors). This policy statement is not a regulation and is intended only to provide general guidance to those persons subject to DOE's Nuclear Safety Requirements as specified in the PAAA. It is not intended to establish a "cookbook" approach to the initiation and resolution of situations involving noncompliance with	10 CFR 820	WVDP Project Director	Ofc of Counsel Contracting, OTSAM	Price Anderson

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	DOE Nuclear Safety Requirements. Rather, DOE intends to consider the particular facts of each noncompliance situation in determining whether enforcement sanctions are appropriate and, if so, the appropriate magnitude of those sanctions. DOE may well deviate from this policy statement when appropriate in the circumstances of particular cases. This policy statement is not applicable to activities and facilities covered under E.O. 12344, 42 U.S.C. 7158 note, pertaining to Naval nuclear propulsion.				
OVERSIGHT (2,3,4,5)	The PAAA provides DOE with the authority to compromise, modify, or remit civil penalties with or without conditions. In implementing the PAAA, DOE will carefully consider the facts of each case of noncompliance and will exercise appropriate discretion in taking any enforcement action. Part of the function of a sound enforcement program is to assure a proper and continuing level of safety vigilance. The reasonable exercise of enforcement authority will be facilitated by the appropriate application of safety requirements to nuclear facilities and by promoting and coordinating the proper contractor and DOE safety compliance attitude toward those requirements.	10 CFR 820	WVDP Project Director	Ofc of Counsel, Contracting, OTSAM	Price Anderson
OVERSIGHT (2,3,4,5,6)	Both the Department of Energy Organization Act, 42 U.S.C. 7101, and the Atomic Energy Act of 1954, as amended, 42 U.S.C. 2011, require DOE to protect the public health and safety, as well as the safety of workers at DOE facilities, in conducting its nuclear activities, and grant DOE broad authority to achieve this goal.	10CFR820 Appendix A to Subpart B	Project Director	OTSAM, Chief Counsel Contracting WVDP Director	Procedural Rules for DOE Nuclear Activities
OVERSIGHT (2,3,4,5)	This policy statement sets forth the general framework through which the U.S. Department of Energy (DOE) will seek to ensure compliance with its enforceable nuclear safety regulations and orders (hereafter collectively referred to as DOE Nuclear Safety Requirements) and, in particular, exercise the civil penalty authority provided to DOE in the Price Anderson Amendments Act of 1988, 42 U.S.C. 2282a (PAAA). The policy set forth herein is applicable to violations of DOE Nuclear Safety Requirements by DOE contractors who are indemnified under the Price Anderson Act, 42 U.S.C. 2210(d), and their subcontractors and suppliers (hereafter collectively referred to as DOE contractors). This policy statement is not a regulation and is intended only to provide general guidance to those persons subject to DOE's Nuclear Safety Requirements as specified in the PAAA. It is not intended to establish a "cookbook" approach to the initiation and resolution of situations involving noncompliance with DOE Nuclear Safety Requirements. Rather, DOE intends to consider the particular facts of each noncompliance situation in determining whether enforcement sanctions are appropriate and, if so, the appropriate magnitude of those sanctions. DOE may well deviate from this policy statement when appropriate in the circumstances of particular cases. This policy statement is not applicable to activities and facilities covered under E.O. 12344, 42 U.S.C. 7158 note, pertaining to Naval nuclear propulsion.	10 CFR 820	WVDP Project Director	Ofc of Counsel Contracting, OTSAM	Price Anderson
OVERSIGHT (2,3,4,5)	The PAAA provides DOE with the authority to compromise, modify, or remit civil penalties with or without conditions. In implementing the PAAA, DOE will carefully consider the facts of each case of noncompliance and will exercise appropriate discretion in taking any enforcement action. Part of the function of a sound enforcement program is to assure a proper and continuing level of safety vigilance. The reasonable exercise of enforcement authority will be facilitated by the appropriate application of safety requirements to nuclear facilities and by promoting and coordinating the proper contractor and DOE safety compliance attitude toward those requirements.	10 CFR 820	WVDP Project Director	Ofc of Counsel, Contracting, OTSAM	Price Anderson
QUALITY	For work performed in a DOE nuclear facility, 10 CFR 830,	10 CFR	WVDP Project	OTSAM	Safety Basis

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
ASSURANCE (2,3,4,5)	<p>Subpart B requires the contractor to submit to DOE for approval safety basis documentation that meet the requirements of Subpart B with the issuance of a Safety Evaluation Report (SER). The following is a list of the safety basis documents/elements delegated;</p> <p>Review and approve final hazard categorization for category 2 and 3 nuclear facilities as required by DOE-STD-1027-92;</p> <p>Review and approve the Documented Safety Analysis (DSA) and revision thereto;</p> <p>Review and approved Unreviewed Safety Questions (USQ) procedures and processes of the contractor for hazard category 2 and 3 nuclear facilities;</p> <p>Review and approve action determined to involve USQ for hazard category 2 and 3 nuclear facilities;</p> <p>Review and approve methodologies, with the Office of Environment, Health, Safety and Security concurrence, used to support the DSA for hazard category 2 and 3 nuclear facilities, unless the contractor uses a methodology set forth in Table 2 of Appendix A to Subpart B;</p> <p>Review and approve Technical Safety requirements and revisions thereto for hazard category 2 and 3 nuclear facilities and;</p> <p>Review and approve the preliminary DSA's including nuclear safety design criteria for hazard category 2 and 3 nuclear facilities.</p>	830. Subpart B and Delegated Safety Authorities	Director		Nuclear Safety
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Ensures that the contractor conducts DOE activities in accordance with a documented RPP, as approved by DOE.	10 CFR 835; Subpart B. 101. (a)	Project Director per Delegated Safety Authorities	Chief Counsel, Contracting, OTSAM	Occupational Radiation Protection
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Ensures that the contractor makes modifications to a RPP, as required or directed.	10 CFR 835; Subpart B. 101. (b)	Project Director per Delegated Safety Authorities	Chief Counsel, Contracting, OTSAM	Occupational Radiation Protection
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Ensures that proposed changes that decrease the effectiveness of the RPP are not implemented without submittal to and approval by DOE; otherwise, changes, additions, or updates to a radiation protection program (RPP) may become effective without prior Department approval if the changes do not decrease the effectiveness of the RPP; and the RPP, as changed, continues to meet the requirements of 835.101.	10 CFR 835; Subpart B 101. (h)	Project Director per Delegated Safety Authorities	OTSAM	Occupational Radiation Protection
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	Review and either direct changes to or approve contractor RPPs and Implementation Plans for 10 CFR 835 within 180 days after submittal to DOE.	10 CFR 835, Subpart B 835.101 (a) and (b)	Project Director per Delegated Safety Authorities	OTSAM	Occupational Radiation Protection
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	a) Preparation and submission of initial CBDPP to DOE. (1) The responsible employer at a DOE facility must ensure that a CBDPP is prepared for the facility and submitted to the appropriate Head of DOE Field Element before beginning beryllium activities, but no later than April 6, 2000 of this part. (2) If the CBDPP has separate sections addressing the	10 CFR 850; Subpart 150.	Project Director	Chief Counsel, Contracting, OTSAM	Beryllium

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	activities of multiple contractors at the facility, the Head of DOE Field Element will designate a single DOE contractor to review and approve the sections prepared by other contractors, so that a single consolidated CBDPP for the facility is submitted to the Head of DOE Field Element for review and approval.				
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Update. The responsible employer must submit an update of the CBDPP to the appropriate Head of DOE Field Element for review and approval when-ever a significant change or significant addition to the CBDPP is made or a change in contractors occurs. The Head of DOE Field Element must review the CBDPP at least annually and, if necessary, require the responsible employer to update the CBDPP.	10 CFR 850; Subpart 150.	Project Director, CBC Director	Chief Counsel, Contracting, OTSAM	Beryllium
INTEGRATED SAFETY MANAGEMENT (3,4,5)	DOE review and approval. The appropriate Head of DOE Field Element must review and approve the CBDPP. (1) The initial CBDPP and any up-dates are deemed approved 90 days after submission if they are not specifically approved or rejected by DOE earlier. (2) The responsible employer must furnish a copy of the approved CBDPP, upon request, to the DOE Office of Health, Safety and Security or designee, DOE program offices, and affected workers or their designated representatives.	10 CFR 850; Subpart 150.	Project Director, CBC Director	Chief Counsel, Contracting, OTSAM	Beryllium
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6,)	(a) Preparation and submission of worker safety and health program. Contractors must submit to the appropriate Head of DOE Field Element for approval a written worker safety and health program that provides the methods for implementing the requirements of Subpart C of this part.	10 CFR 851	Project Director or per Delegated Safety Authorities	Contracting OTSAM	Worker Safety & Health Program
INTEGRATED SAFETY MANAGEMENT (3,4,5)	(1) No work may be performed at a covered workplace unless an approved worker safety and health program is in place for the workplace.	10 CFR 851.	Project Director per Delegated Safety Authorities	OTSAM Contracting	Worker Safety & Health Program
INTEGRATED SAFETY MANAGEMENT (4,5)	(2) Contractors must send a copy of the approved program to the Chief Health Safety and Security Officer.	10 CFR 851.	Project Director	OTSAM	Worker Safety & Health Program
INTEGRATED SAFETY MANAGEMENT (4,5)	(3) Contractors must furnish a copy of the approved worker safety and health program, upon written request, to the affected workers or their designated representatives.	10 CFR 851	Project Director	OTSAM	Worker Safety & Health Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	(2) If more than one contractor is responsible for covered workplaces, each contractor must: (i) Establish and maintain a worker safety and health program for the workplaces for which the contractor is responsible; and (ii) Coordinate with the other contractors responsible for work at the covered workplaces to ensure that there are clear roles, responsibilities and procedures to ensure the safety and health of workers at multi-contractor workplaces.	10 CFR 851	Project Director or per Delegated Safety Authorities	Contracting, OTSAM	Worker Safety & Health Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	(3) The worker safety and health program must describe how the contractor will: (i) Comply with the requirements set forth in Subpart C of this part that are applicable to the covered workplace, including the methods for implementing those requirements; and (ii) Integrate the requirements set forth in Subpart C of this part that are applicable to a covered workplace with other related site-specific worker protection activities and with the integrated safety management system.	10 CFR 851.	Project Director per Delegated Safety Authorities	OTSAM	Worker Safety & Health Program
INTEGRATED SAFETY MANAGEMENT (2,3,4,5,6)	(b) DOE evaluation and approval. The Head of DOE Field Element must complete a review and provide written approval of the contractor's worker safety and health program, within 90 days of receiving the document. The worker safety and health program and any updates are deemed approved 90 days after submission if they are not specifically approved or rejected by DOE earlier.	10 CFR 851	Project Director per Delegated Safety Authorities	OTSAM	Worker Safety & Health Program Oversight
INTEGRATED	Employees who exercise supervisory functions shall, to the	29 CFR	CBC Director,	All	FEOSH

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
SAFETY MANAGEMENT (1,2,3,4,5,6)	extent of their authority, furnish employees employment and a place of employment which are free from hazards recognize hazards that are causing or are likely to cause death or serious physical harm.	1960	Project Director	supervisors, OTSAM	
INTEGRATED SAFETY MANAGEMENT (2,3,4,5)	Employees who exercise supervisory function shall also comply with the occupational safety and health standards applicable to their agency and with all rules, regulations and orders issued by the head of the agency with respect to the agency occupational safety and health programs.	29 CFR 1960	CBC Director, Project Director	All supervisors, OTSAM	FEOSH
QUALITY ASSURANCE (4,5)	<p>Agencies must create and maintain authentic, reliable, and usable records and ensure that they remain so for the length of their authorized retention period. A comprehensive records management program provides policies and procedures for ensuring that:</p> <ul style="list-style-type: none"> (a) Records documenting agency business are created or captured; (b) Records are organized and maintained to facilitate their use and ensure integrity throughout their authorized retention periods; (c) Records are available when needed, where needed, and in a usable format to conduct agency business; (d) Legal and regulatory requirements, relevant standards, and agency policies are followed; (e) Records, regardless of format, are protected in a safe and secure environment and removal or destruction is carried out only as authorized in records schedules; and (f) Continuity of operations is supported by a vital records program (see part 1223 of this subchapter). <p>To carry out the responsibilities specified in 44 U.S.C. 3101 and 3102, agencies must:</p> <ul style="list-style-type: none"> (a) Assign records management responsibility to a person and office with appropriate authority within the agency to coordinate and oversee implementation of the agency comprehensive records management program principles in §1220.32; (b) Advise NARA and agency managers of the name(s) of the individual(s) assigned operational responsibility for the agency records management program. To notify NARA, send the name(s), e-mail and postal addresses, phone and fax numbers of the individual(s) to NARA (NWM), 8601 Adelphi Road, College Park, MD 20740-6001 or to RM.Communications@nara.gov. The name, title, and phone number of the official or officials authorized by the head of the agency to sign records disposition schedules and requests for transfer of records to the custody of the National Archives must also be submitted to NARA (NWM) or RM.Communications@nara.gov; (c) Issue a directive(s) establishing program objectives, responsibilities, and authorities for the creation, maintenance, and disposition of agency records. Copies of the directive(s) (including subsequent amendments or supplements) must be disseminated throughout the agency, as appropriate, and a copy must be sent to NARA (NWM); 	36 CFR 1220.32 Program content.	OTSAM	CBC Director Project Directors Asst. Directors	Records Management

Discipline and ISMS Core Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Programmatic Functions/ Notes
	<p>(d) Assign records management responsibilities in each program (mission) and administrative area to ensure incorporation of recordkeeping requirements and records maintenance, storage, and disposition practices into agency programs, processes, systems, and procedures;</p> <p>(e) Integrate records management and archival requirements into the design, development, and implementation of electronic information systems as specified in §1236.12 of this subchapter;</p> <p>(f) Provide guidance and training to all agency personnel on their records management responsibilities, including identification of Federal records, in all formats and media;</p> <p>(g) Develop records schedules for all records created and received by the agency and obtain NARA approval of the schedules prior to implementation, in accordance with 36 CFR parts 1225 and 1226 of this subchapter;</p> <p>(h) Comply with applicable policies, procedures, and standards relating to records management and recordkeeping requirements issued by the Office of Management and Budget, NARA, GSA, or other agencies, as appropriate (see §1222.22 of this subchapter);</p> <p>(i) Institute controls ensuring that all records, regardless of format or medium, are properly organized, classified or indexed, and described, and made available for use by all appropriate agency staff; and</p> <p>(j) Conduct formal evaluations to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations in this subchapter.</p>				

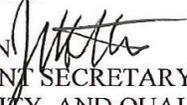
Appendix B
Delegations of Authority



Department of Energy
Washington, DC 20585

APR 05 2016

MEMORANDUM FOR JOHN SATTLER
DIRECTOR
SAFETY AND QUALITY DIVISION
OFFICE OF TECHNICAL SUPPORT AND ASSET
MANAGEMENT
ENVIRONMENTAL MANAGEMENT CONSOLIDATED
BUSINESS CENTER

FROM: JAMES A. HUTTON 
DEPUTY ASSISTANT SECRETARY FOR
SAFETY, SECURITY, AND QUALITY PROGRAMS

SUBJECT: Revised Delegation of Safety Authorities for Calendar Years
2016 and 2017

This memorandum and the attached delegation of specific authorities serves as a revision to the delegation of authorities previously provided to you on January 28, 2016. Specific revisions to your delegated authorities have been made in the area of Department of Energy (DOE) Order (O) 414.1D "Quality Assurance," and Title 10 Code of Federal Regulation (CFR) 830, "Nuclear Safety Management." All responsibilities previously outlined in my January 28, 2016 delegation of authority memorandum to you remain a condition of this revised delegation. The authorities listed in the attachment will expire on January 31, 2018.

This revised delegation is made in accordance with DOE O 450.2, *Integrated Safety Management*, appendix A, *Delegations of Authority to Perform Safety Management Functions*, and the Office of Environmental Management (EM) Standing Operating Policies and Procedures #44, *Environmental Management Process for Delegation of Safety Authorities*.

If you have any questions specific to the identified delegation of authorities revisions please contact Mr. Robert Murray, Director for the Office of Standards and Quality Assurance, at (202) 586-7267. All other questions specific to your delegated authorities should continue to be directed to Mr. Daniel Sigg, Acting Director for the Office of Safety Management, at (202) 586-4653.

Attachment

cc: Ralph Holland, EMCBC
Kenneth Armstrong, EMCBC



Bryan Bower, WVDP
Donald Metzler, MOAB
Steven Feinberg, SPRU
Kevin Bazzell, LBNL
John Jones, ETEC
Monica Regalbuto, EM-1
Lori Largen, EM-1 DCOS
Mark Whitney, EM-2
Frank Marcinowski, EM-2.1 (Acting)
Catherine Hampton, EM-3 (Acting)
Mark Gilbertson, EM-10 DAS
Kenneth Picha, Jr., EM-20 DAS
Christine Gelles, EM-30 DAS (Acting)
Gregory Sosson, EM-40 ADAS
Daniel Sigg, EM-41 (Acting)
Braj Singh, EM-41
Terrance Tracy, EM-42
Robert Murray, EM-43
Jimmy McMillian, EM-44
J. E. Surash, EM-50 DAS

Attachment

Delegation of Safety Authorities for Calendar Years 2016 and 2017 to John Sattler, Director of Safety and Quality Division, Office of Technical Support and Asset Management, EM Consolidated Business Center

1. Title 10 Code of Federal Regulations (CFR) 830, *Nuclear Safety Management*:

Subpart A, Quality Assurance Requirements:

Subpart A 830.121 (b)(1): Review and approve the Contractor's Quality Assurance Plans (QAPs). (Note: Unless approved or rejected within 90 days the document is regarded as approved.)

Subpart A 830.121 (b)(3) Review and approve annually submitted changes to the Contractor's DOE-approved QAP.

2. Title 10 CFR Part 835, Occupational Radiation Protection:

Subpart B 835.101 (a), (b), (h), and (i): Review and approve or direct changes to contractor Radiation Protection Programs (RPP) and Implementation Plans for 10 CFR Part 835.

Note: An initial RPP or an update shall be considered approved after 180 days of submission unless rejected by DOE at an earlier date.

3. Title 10 CFR Part 851, Worker Safety and Health Program:

Subpart B 851.11(b): Approve contractor Worker Safety and Health Programs (WSHP) submitted for the Office of Environmental Management (EM) small site contractors that are not otherwise approved by the Head of the Field Element as part of another landlord's prime contractor WSHP.

Subpart C Section 851.21 (b): Review and approve the contractor's proposed closure facility hazard controls or direct additional actions to either: (1) Achieve technical compliance; or (2) Provide additional controls to protect the workers within 90 days of receiving the document.

4. DOE O 232.2, *Occurrence Reporting and Processing of Operations Information*:

5.a.(1) and 5.e: Serve as Program Manager that includes authority for implementing the occurrence reporting requirements and EM HQ event notification guidance.

5. DOE O 414.1D, Quality Assurance:

5.b.(1): Notify cognizant contracting officers, (for other than field-issued contracts), of those contractors that should include the Contractor Requirements Document

(CRD) or its requirements, as appropriate. Direct the contracting officer, as necessary, to ensure appropriate quality requirements are implemented by the contractor.

5.b.(2): For Secretarial Officers, other than the NNSA, act as the approval authority or delegated such authority, as appropriate, for QAPs within the Secretarial Officer's organization, and the DOE field elements and contractors within the purview of that Secretarial Office. The NNSA Secretarial Officers act as the approval authority for QAPs within the Secretarial Officer's organization. (see note below)

5.b.(3): Provide direction and resources for implementing QA and safety software quality assurance (SSQA) requirements for work within your site's purview and ensure that the appropriate staff is qualified as specified in DOE O 414.1D, paragraph 4.c.

5.b.(6)(b): Review and approve new or revised QAPs for contractors within the purview of the Field Element.

5.b.(7): Ensure that the contractor QAPs are reviewed, and either rejected or approved within 90 calendar days of receipt. (Note: Requests for review/approval that are not approved or rejected within 90 calendar days from receipt will be deemed approved.)

5.b.(8): Ensure review of contractors' safety documentation for the facility or activity to validate that safety software has been properly identified.

5.b.(9) Ensure review of contractors' grading levels of safety software for approval by the QAP approval authority.

Note: Approval of the following small site DOE field office QAPs is the responsibility of the Consolidated Business Center: SPRU, Moab, WVDP, ETEC, and LBNL. PPPO, EM-LA and other DOE sites will continue to be the responsibility of Deputy Assistant Secretary for Safety, Security, and Quality Programs at EM-HQ.

6. DOE O 420.1C, Facility Safety:

5.a.(1): Ensure that the requirements of this order and the CRDs are implemented for facilities, activities, or programs under your cognizance.

7. DOE O 433.1B, Maintenance Management Program for DOE Nuclear Facilities:

5.a.(2): For Government-owned and Government-operated activities, serve as approval authority for nuclear maintenance management program documents prepared in accordance with the CRD, attachment 1.

8. DOE O 450.2, Integrated Safety Management:

5.b.(2): Review and approve Field Elements' Integrated Safety Management System Descriptions (ISMSD) and provide a copy of approved ISMSD to the EM HQ Office of Safety, Security, and Quality Programs upon request.

Delegation of Authority Approved:



James A. Hutton
Deputy Assistant Secretary for
Safety, Security, and Quality Programs



Date

JAN 29 2016

Log# 00079-16

File# 1110



Department of Energy
Washington, DC 20585

JAN 28 2016

MEMORANDUM FOR BRYAN BOWER

DIRECTOR
WEST VALLEY DEMONSTRATION PROJECT OFFICE
ENVIRONMENTAL MANAGEMENT
CONSOLIDATED BUSINESS CENTER

FROM:

JAMES A. HUTTON 
DEPUTY ASSISTANT SECRETARY FOR
SAFETY, SECURITY, AND QUALITY PROGRAMS

SUBJECT:

Delegation of Safety Authorities for Calendar Years 2016
and 2017

This memorandum serves as your delegation of specific authorities listed in the attachment and supersedes those delegated by prior memoranda. This delegation is made in accordance with Department of Energy (DOE) Order (O) 450.2, *Integrated Safety Management, appendix A, Delegations of Authority to Perform Safety Management Functions*, and the Office of Environmental Management (EM) Standing Operating Policies and Procedures (SOPP) #44, *Environmental Management Process for Delegation of Safety Authorities*.

Designated authorities assigned through rules and DOE directives are established to ensure objective and consistent decisionmaking by appropriate levels of line management. You need to ensure that organizational lines of responsibilities, reporting, and communication for safety are clear among your staff while retaining the responsibility for outcomes. If you have any questions in executing your authorities, I encourage you to seek my input.

These authorities may be further delegated to Field Managers and Federal Project Directors of small sites. Further delegations of safety-related authorities are to be made in accordance with DOE O 450.2 and EM SOPP #44. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with the EM program and DOE policies and goals. The authorities listed in the attachment will expire on January 31, 2018.

If you have any further questions, please contact me or Mr. Daniel Sigg, Acting Director for the Office of Safety Management, at (202) 586-4653.

cc: Ralph Holland, EMCBC
Kenneth Armstrong, EMCBC
John Sattler, EMCBC
Donald Metzler, MOAB
Steven Feinberg, SPRU
Kevin Bazzell, LBNL
John Jones, ETEC
Monica Regalbuto, EM-1
Lori Largen, EM-1 DCOS
Gregory Sosson, CNS
Mark Whitney, EM-2
Frank Marcinowski, EM-2.1 (Acting)
Catherine Hampton, EM-3 (Acting)
Mark Gilbertson, EM-10 DAS
Kenneth Picha, Jr., EM-20 DAS
Steve Schneider, EM-20 ADAS (Acting)
Christine Gelles, EM-30 DAS (Acting)
Gregory Sosson, EM-40 ADAS
Bud Danielson, EM-40/CNS
Daniel Sigg, EM-41 (Acting)
Braj Singh, EM-41
Terrance Tracy, EM-42
Robert Murray, EM-43
Jimmy McMillian, EM-44
J. E. Surash, EM-50 DAS
Barton Barnhart, EM-60 DAS
Connie Flohr, EM-60 ADAS
Melody Bell, EM-70 (Acting)

Attachment

Delegation of Safety Authorities for Calendar Years 2016 and 2017 to Bryan Bower, Director for West Valley Demonstration Project Office and the EMCBC Staff

1. Title 10 Code of Federal Regulations (CFR) 830, *Nuclear Safety Management*:

Subpart A, Quality Assurance Requirements:

Subpart A 830.121 (b)(1): Review and approve the Contractor's Quality Assurance Plans (QAPs). (Note: Unless approved or rejected within 90 days the document is regarded as approved.)

Subpart A 830.121 (b)(3) Review and approve annually submitted changes to the Contractor's DOE-approved QAP.

Note: Approval of the DOE field office QAPs is the responsibility of the Deputy Assistant Secretary for Safety, Security, and Quality Programs at EM Headquarters (HQ).

2. Title 10 Code of Federal Regulations (CFR) 830, *Nuclear Safety Management*:

For work to be performed in a Department of Energy (DOE) nuclear facility, 10 CFR 830 Subpart B requires the contractor to submit to DOE for approval safety basis documents that meet the requirements of Subpart B with the issuance of a Safety Evaluation Report (SER). The following is a listing of the safety basis documents/elements delegated to you:

Subpart B 830.202 (b)(3): Review and approve final hazard categorization for category 2 and 3 nuclear facilities as required by DOE-STD-1027-92.

Subpart B 830.202 (c)(2) and 830.207(d): Review and approve the Documented Safety Analysis (DSA) and revisions thereto.

Subpart B 830.203 (b) and (c): Review and approve Unreviewed Safety Question (USQ) procedures and processes of the contractor for hazard category 2 and 3 nuclear facilities.

Subpart B 830.203 (e): Review and approve any action determined to involve a USQ for hazard category 2 and 3 nuclear facilities.

Subpart B 830.204 (a): Review and approve the methodology, with the Office of Environment, Health, Safety, and Security concurrence, used to prepare the DSA for hazard category 2 and 3 nuclear facilities, unless the contractor uses a methodology set forth in table 2 of appendix A to subpart B of 10 CFR Part 830.

Subpart B 830.205 (a)(2) and 830.207(d): Review and approve Technical Safety Requirements and revisions thereto for hazard category 2 and 3 nuclear facilities.

Subpart B 830.206 (b)(1) and (2): Review and approve the preliminary DSAs, including nuclear safety design criteria for hazard category 2 and 3 nuclear facilities.

3. Title 10 CFR Part 835, Occupational Radiation Protection:

Subpart B 835.101 (a), (b), (h), and (i): Review and approve or direct changes to contractor Radiation Protection Programs (RPP) and Implementation Plans for 10 CFR Part 835.

Note: An initial RPP or an update shall be considered approved after 180 days of submission unless rejected by DOE at an earlier date.

4. DOE O 232.2, *Occurrence Reporting and Processing of Operations Information*:

5.a.(1) and 5.e: Serve as Program Manager that includes authority for implementing the occurrence reporting requirements and EM HQ event notification guidance.

5. DOE O 414.1D, Quality Assurance:

5.b.(1): Notify cognizant contracting officers, (for other than field-issued contracts), of those contractors that should include the Contractor Requirements Document (CRD) or its requirements, as appropriate. Direct the contracting officer, as necessary, to ensure appropriate quality requirements are implemented by the contractor.

5.b.(3): Provide direction and resources for implementing QA and safety software quality assurance (SSQA) requirements for work within your site's purview and ensure that the appropriate staff is qualified as specified in DOE O 414.1D, paragraph 4.c.

5.b.(6)(b): Review and approve new or revised QAPs for contractors within the purview of the Field Element.

5.b.(7): Ensure that the contractor QAPs are reviewed, and either rejected or approved within 90 calendar days of receipt. (Note: Requests for review/approval that are not approved or rejected within 90 calendar days from receipt will be deemed approved.)

5.b.(8): Ensure review of contractors' safety documentation for the facility or activity to validate that safety software has been properly identified.

5.b.(9) Ensure review of contractors' grading levels of safety software for approval by the QAP approval authority.

Note: Approval of the DOE field office QAPs is the responsibility of the Deputy Assistant Secretary for Safety, Security, and Quality Programs at EM HQ.

6. DOE O 420.1C, Facility Safety:

5.a.(1): Ensure that the requirements of this order and the CRDs are implemented for facilities, activities, or programs under your cognizance.

7. DOE O 425.1D, Verification of Readiness to Start Up or Restart Nuclear Facilities:

For nuclear facilities, activities, or operation startup or restart actions, you are designated as the Startup Authorization Authority (SAA) for the following:

4.b.(1): SAA for a newly constructed Hazard Category 3 nuclear facility (not activity or operation) with a new DSA and associated TSRs. If other DOE Orders require a higher level of startup authorization than DOE O 425.1D, the Head of the Field Element will recommend startup authority to the higher-level official.

4.b.(2): SAA for the restart of a Hazard Category 3 nuclear facility following conversion of an existing facility.

4.b.(3): SAA for the restart of a nuclear facility, activity, or operation that has upgraded its Hazard Categorization to Hazard Category 3.

4.b.(5): SAA for the restart of a nuclear facility following a shutdown due to violation of a Safety Limit approved by a HQ official.

4.b.(6): SAA for the restart of a Hazard Category 2 or 3 nuclear facility, activity, or operation following an extended shutdown.

4.b. (7): SAA for the restart of a Hazard Category 2 or 3 nuclear facility, activity, or operation following shutdown because of substantial process, system, or facility modifications.

8. DOE O 433.1B, Maintenance Management Program for DOE Nuclear Facilities:

5.a.(2): For Government-owned and Government-operated activities, serve as approval authority for nuclear maintenance management program documents prepared in accordance with the CRD, attachment 1.



Department of Energy
Washington, DC 20585

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FILE # 1110

MEMORANDUM FOR DIRECTOR
CONSOLIDATED BUSINESS CENTER

FROM: MARK GILBERTSON
DEPUTY ASSISTANT SECRETARY
FOR SITE RESTORATION

SUBJECT: Delegation of Environmental Authorities

This memorandum serves as delegation of environmental authorities to the Director, Consolidated Business Center. This delegation is based on the Office of Environmental Management procedures in the Standing Operating Policy and Procedures: *Environmental Management Process for Delegation of Environmental Authorities.*

Designated authorities assigned through Department of Energy Orders are established to ensure objective and consistent decision making by appropriate levels of line management. Decisions and associated actions must be consistent with the policy and goals of this organization. Accordingly, the continuance of these delegations will be contingent upon compliance with the environmental agreements, milestones, and decision documents process established in April 2007.

The specific environmental authorities delegated to the position are detailed in the attachment. These delegated authorities, which will remain in effect until superseded by a subsequent delegation, may not be further delegated below the level specified in the attachment without my prior approval.

If you have any questions in executing your authorities, please contact me or Mr. Richard F. Moorer, Director, Office of Environmental Compliance, at (202) 586-5350.

Attachment

Attachment

**Delegation of Environmental Authorities for
Office of Environmental Management
Director, Consolidated Business Center**

You are delegated the environmental authorities listed below. These delegations, which will remain in effect until superseded by a subsequent delegation, are predicated on the following requirements and management expectations. Prior to entering into negotiations with regulators, you must obtain approval from the Acquisition Executive for any reasonably expected increases to a project's life-cycle cost, schedule, or scope. You are required to coordinate all regulatory negotiations with the Office of Environmental Compliance (EM-11) in accordance with the Office of Environmental Management's (EM) April 2007 "Guidance for Environmental Agreements, Milestones, and Decision Documents" (AMDD). In addition, proposed response actions may be subject to an EM internal remedy review.¹

- A. Approve/sign, for submission to the Environmental Protection Agency (EPA)/State on behalf of the Department of Energy (DOE), administratively or judicially enforceable environmental agreements such as:
- 1) Consent Decrees or Consent Agreements;
 - 2) Administrative or Consent Orders;
 - 3) Federal Facility Compliance Agreements (FFCA); and
 - 4) Environmental Permit Applications/Agreements.

The authority in section A may NOT be further delegated.

- B. Approve/sign, for submission to the EPA/State on behalf of the DOE, FFCA decision documents such as:
- 1) Resource Conservation and Recovery Act (RCRA) Statement of Basis, and Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Proposed Plans;
 - 2) RCRA Permits and CERCLA Records of Decision; and
 - 3) Explanation of Significant Differences.

The authority in section B may NOT be further delegated.

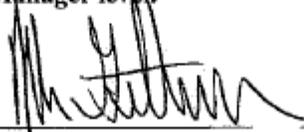
¹ The EM internal remedy review process was initiated in 1999 to ensure remediation alternatives being considered are technically sound and reasonable given anticipated budgets, and that complex-wide impacts and national policy implications are fully considered.

C. Approve, for submittal to the EPA/State on behalf of DOE, assessment/ implementation documents required by compliance agreements and associated decision documents such as:

- 1) Preliminary Assessment/Site Investigation Reports;
- 2) RCRA Facility Assessment Reports;
- 3) Baseline Risk Assessments;
- 4) Sampling and Analysis Plans;
- 5) Facility Investigation/Corrective Measures Study Reports;
- 6) Engineering Evaluation/Cost Analysis Reports;
- 7) Remedial Investigation/Feasibility Study Reports;
- 8) Remedial Design/Remedial Action Work Plans;
- 9) Corrective Measures Implementation Plans;
- 10) Progress/Completion Reports;
- 11) Remedy Review Reports; and
- 12) Close-out Plans.

The authority in section C may be further delegated to the Federal Project Director or the Federal Facility Agreement Manager level.

Delegation of Authority Approved:


Mark Gilbertson
Deputy Assistant Secretary
for Site Restoration

4/17/12
Date

EMCBC RECORD OF REVISION

DOCUMENT TITLE: EMCBC Functions, Responsibilities and Authorities (FRA)

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
0	Initial formatted document	All	6/27/16