

10.0 MATRIX OF SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

NOTE: This matrix is a summary of the Safety Management functions, responsibilities, and authorities identified in the FRAM and/or the EM FRA. This matrix captures the safety management functions, responsibilities, and authorities necessary to accomplish the intent of DOE directives, regulations, and safety management mechanisms, and directly quotes the safety management responsibilities assigned to the Field Element Manager or delegated by EM-1. Specific roles and responsibilities are contained in the various SRIPs, SRMs, and miscellaneous documents provided as references in the far right column of the matrix. Each DOE-SR organization is expected to be abreast of its roles and responsibilities for the assigned functions and to take the necessary action(s) as indicated. While many of the DOE-SR responsibilities are assigned to the Manager for review or implementation, line managers have the responsibility for doing the work in their assigned areas. In addition, the Primary Division/Offices (PDOs) or DOE-SR Lead Organizations are responsible for developing guidance related to their assigned functional areas and ensuring coordination and review with line and other organizations where appropriate. In many cases, DOE-SR Lead Organizations are also responsible for implementing programs, monitoring performance, and providing assistance to line managers in implementation.

The NNSA Act requires that, in carrying out the mission of the NNSA, the Administrator shall ensure that all operations and activities of the NNSA are consistent with the principles of protecting the environment and safeguarding the safety and health of the public and of the workforce of the NNSA. The Act also requires NNSA to comply with all applicable environmental, safety, and health statutes and substantive requirements and develop procedures to meet such requirements. As such, NNSA-Savannah River Site Office will comply with all Safety Management responsibilities for SRS work in their assigned areas as delegated by the FRAM, the NNSA-HQ FRAM, and the Savannah River Site Office FRAM. Currently, all safety management functions, responsibilities, and authorities for the Fissile Materials Disposition Office, SRS, reside with HQ Office of Fissile Materials Disposition.

A listing of organization acronyms used in this matrix is provided in Part 1, Subsection 3. The definition of codes used in the matrix below is provided in Part 1, Subsection 9.

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
1. PROVIDE DIRECTION						
1.1 DOE Strategic Plans, Including Mission Statements						
1.1.01 Implement the provisions of the Secretary's Strategic Plan, including the Department's mission statement.	GPRA 1993		I	OCPM (G, I, M)	I	SRM 130.2.1A

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
1.2	Secretarial Office Strategic Plans, Including Mission Statement						
1.2.01	Implement DOE and secretarial office strategic plans and mission statements.	GPRA 1993		I	OCPM (G, I, M)	I	SRM 130.2.1A SRM 300.1.1B Chapter 1, Section 1.1 EM PMP OPMP
1.2.02	(1) Maintain stewardship of Federal resources and ensure they are used efficiently and effectively to achieve intended program results; (2) Take systematic and proactive measures to establish cost-effective and appropriate management controls; (3) Establish and maintain a separate management control program; (4) Appoint a management control action officer to coordinate all planning, evaluating, and reporting related to the DOE Management Control Program. (1.2.01)	DOE O 413.1A 5.b.(1)-(4)		A	CFO (C, I, G, M)	I, C, M, R	DOE-SR 5-Year WMP SRM 300.1.1B Chapter 3, Section 3.1 SRM 130.2.1A Direct Implementation (DOE O 413.1A)
1.3	Cognizant Secretarial Office Mission Assignment to Field Element						
1.3.01	Review, provide input to, and implement program guidance developed by the PSO. (i.e., EM FRA)	DOE M 411.1-1C		A	HRMDD (C, G, I, M)	C, I, R	SRM 300.1.1B Chapter 1, Section 1.1
1.4	Budget for Program						
1.4.01	Prepare the proposed budget for the program office and coordinate with the Headquarters' Chief Financial Officer.	DOE O 520.1		C	CFO (G, I, M)	R, C	Direct Implementation (DOE O 520.1)

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1.4.02	(1) Conduct operations under their cognizance in a manner consistent with financial policy, procedures, and guidance promulgated by the CFO. (2) Ensure that the Field Element CFO office is organized and staffed to effectively support field financial management functions, including finance and accounting, budget and planning, and financial review. (3) Designate Field CFO position in coordination with the CFO. (4) Obtain advice, consultation, or concurrence on personnel actions related to Field CFO positions as set out in paragraph 5b(10). (5) Assist the LPSO, CSO, NNA, the Field CFO, and the CFO in resolving financial management issues. (6) Bring to the attention of the LPSO, CSO, or NNSA, and support the CFO and Field CFOs, in addressing reported potential or actual instances of improper financial management.	DOE O 520.1 5.d		A, M	CFO (G, I, C, M)	I, R	DOE-SR 5-Year WMP SRM 300.1.1B Chapter 1, Section 1.2 Chapter 3, Section 3.1 Direct Implementation (DOE O 520.1)
1.4.03	Ensure mission resource requirements for real property assets, including their plans and budgets, are prepared to meet the program missions, budgets, and planning estimates, and the results are documented in the Ten Year Site Plan. Perform a key role coordinating program and tenant activities and real property asset needs at the site.	DOE O 430.1B 5.		C	OCPM (G, I, M)	I, R	
1.4.04	Prepare and submit field budget data to Headquarters Element for use in the corporate review budget process.	DOE O 130.1 4.a.(1)		A	CFO (G, I, M)	R, C	Direct Implementation (DOE O 130.1)
1.4.05	Develop and maintain budget guidance, policy, and procedures for the field budget process, the field budget call, and the DOE Budget Formulation Instructions.	DOE O 130.1 5.e.(1)		I	CFO (G, I, M)	I	Direct Implementation (DOE O 130.1)
1.4.06	Maintain and issue current Field Office budget policies, practices, and procedures in support of the annual field budget process through Field Office directives and manuals.	DOE O 130.1 5.e.(2)		A	CFO (G, I, M)	I	SRM 130.2.1A Direct Implementation (DOE O 130.1)
1.4.07	Designate a principal point-of-contact for the budget formulation process.	DOE O 130.1 5.e.(3)		A	CFO (I)		Direct Implementation (DOE O 130.1)

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1.4.08	Oversee the field budget process practices and procedures for the Field Office and associated contractors. This includes proper oversight of budget formulation, documentation, cost estimating, and pricing validation reviews (as required) of contractor budget submissions.	DOE O 130.1 5.e.(4)		M	CFO (G, I, M)	M, R, C	Direct Implementation (DOE O 130.1)
1.4.09	Conduct budget validation reviews in a timely manner to ensure the data provided to Headquarters organizations for use in developing budgets have been reviewed and are deemed reasonable. As part of the field budget submission to Headquarters organizations, submit documentation of the Field Element budget review of contractor budget estimates. This documentation should report any relevant findings and actions to address such findings.	DOE O 130.1 5.e.(5)		I	CFO (G, I, M)	M	Direct Implementation (DOE O 130.1)
1.4.10	Facilitate interactions between Headquarters Elements and contractors involving field budget matters.	DOE O 130.1 5.e.(6)		I	CFO (G, I, M)	I	Direct Implementation (DOE O 130.1)
1.4.11	Ensure that field budget submissions are in compliance with guidance and reporting requirements issued in the field budget call and DOE Formulation Instructions.	DOE O 130.1 5.e.(7)		I	CFO (G, I, M)		Direct Implementation (DOE O 130.1)
1.4.12	Through the contracting officer, ensure compliance with DOE Order 130.1 by M&O and Environmental Restoration Management contracts.	DOE O 130.1 5.e.(8)		I	CFO (G, I, M)		Direct Implementation (DOE O 130.1)
1.4.13	Notify and provide the Office of the Budget with any requests for budget data received directly from Headquarters Elements not contained or referenced in the field budget call or not contained in supplementary field budget guidance issued by the CFO. Such notification is essential in determining whether the direct request is duplicative or adversely impacts the Department's field budget process.	DOE O 130.1 5.e.(9)		A	CFO (G, I, M, R, C)	R, C	Direct Implementation (DOE O 130.1)
1.4.14	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 5.h.(1)			OSS (G, I, M)	I	

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1.4.15 Ensure a qualified DOE Federal facilities management staff is assigned to implement DOE O 430.1B and to ensure accountability.	DOE O 430.1B 5.h.(2)		A	OCPM (G, I, M)	I	SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1
1.4.16 Develop components for the site's strategic plan that link real property assets to missions, and establish a rational basis for real property asset plans and budgets.	DOE O 430.1B 5.h.(3)		A	OCPM (G, I, M)	R, C	
1.4.17 Oversee implementation of the requirements in Order 430.1B at the site consistent with the annual program direction and guidance issued by the LPSO responsible for the site.	DOE O 430.1B 5.h.(4)		I	OCPM (G, I, M)	M	
1.4.18 Identify and report in FIMS mission essential real property assets that directly support these program defined mission requirements.	DOE O 430.1.B 5.h.(5)		I	OCPM (G, I, M)	R, C	
1.4.19 Review and submit the TYSP to the LPSO for approval.	DOE O 430.1.B 5.h.(6)		A	OCPM (G, I, M)	R, C	
1.4.20 Participate in the DOE certification program for real estate specialists.	DOE O 430.1.B 5.h.(7)		A	OSS (G, I, M)	I, M	SRM 300.1.1B Chapter 6, Section 6.1
1.4.21 Normally serve 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) Ensure applicable requirements found in order 430.1B are implemented through site contracts and subcontracts. (b) Establish and use agreed upon performance-based measures and expectations for real property assets.	DOE O 430.1.B 5.h.(a) and (b)		A	OCPM (G, I, M)		

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1.4.22 Monitor DOE O 430.1B implementation through the establishment, by contract or financial assistance agreement, of a site-specific performance measurement system. Through the performance measurement system, the site/field manager develops output-/outcome-based performance measures to drive achievement of the corporate and real property asset performance; lead in negotiating performance measures with contractors to meet defined performance; performs assessments of contractor performance in accordance with the performance measurement system; uses independent or line management oversight to verify effectiveness of assessments, identify deficiencies, and recommend corrective actions; and ensures population and validation of data in FIMS and that objectives of the condition assessment program are met.	DOE O 430.1.B 5.h.(9)(a)-(e)		I	OCPM (G, I, M)	I, M	
1.4.23 Coordinate the facilities management requirements and activities at the site including LPSO/CSOs/PSOs and other non-DOE tenants/owners. Secure agreements with non-DOE tenant/owners regarding their facilities and infrastructure responsibilities at the site.	DOE O 430.1.B 5.i.(1)		I	OCPM (G, I, M)	R, C	
1.4.24 Determine whether other site program needs can be met with property affected by program mission terminations.	DOE O 430.1.B 5.i.(2)		I	OCPM (G, I, M)		
1.4.25 Present a single, coordinated TYSP, including any tenant-specific TYSPs.	DOE O 430.1.B 5.i.(3)		I	OCPM (G, I, M)	R, C	
1.5 Resource Allocations to FEM						
1.5.01 Allocate resources consistent with the final approved budget to accomplish missions and safety initiatives.	DOE M 411.1-1C		A	HRMDD (G, I, M)	R, I	DOE-SR 5-Year WMP

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1.6 Technical Qualification and Competency						
1.6.01 The Federal Technical Capability Panel (FTCP) consists of senior managers designated as Agents to represent Headquarters and field elements with defense nuclear facility responsibilities. The Panel reports to the Deputy Secretary and is responsible for overseeing issues affecting the Department's FTCP. This includes overseeing the Technical Qualification Program (TQP), which includes the Safety System Oversight (SSO) Program, the Facility Representative (FR) Program and the Senior Technical Safety manager (STSM) Program.	DOE M 426.1-1A Chapter I, 2. and 2(a)		I	HRMDD (G, I, M)	R, C	SRM 300.1.1B Chapter 6, Section 6.1
1.6.02 Designate the positions and/or individuals in their respective organizations required to participate in the TQP and the Technical Qualification Standards that apply to them. Designate the positions and/or individuals in their respective organizations providing oversight of Safety Management Programs identified in the respective facility Documented Safety Analysis. Implement formal training and qualification programs, based on the appropriate Functional Area Qualification Standards, for personnel who provide management direction or oversight of contractor technical activities that could impact the safe operation of a defense nuclear facility. Identify the STSM positions. Ensure that individuals filling STSM positions meet the technical competency criteria. Establish a process to recruit, screen, and hire competent technical personnel to fill STSM positions. Verify competency of personnel in technical positions and approves qualification of personnel following demonstration of competency.	DOE M 426.1-1A Chapter I, 2.c.(2)		I	HRMDD (G, I, M, C)	R, C, M	SRM 300.1.1B Chapter 6, Section 6.1

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1.6.03 Establish a Safety System Oversight (SSO) Qualification Program as part of the TQP. Define safety system oversight requirements and ensure that SSO staffing needs are filled. Clearly define functions, responsibilities, and authorities of personnel assigned to perform safety system oversight and their interface/support of Facility Representatives. Ensure affected DOE and contractor managers understand their role and relationship to Facility Representatives and the contractor's Cognizant System Engineers, and providing the necessary access and support. Assign Qualifying Officials to sign site-specific Qualification Cards after verifying that the SSO candidate possesses the required level of knowledge or skills.	DOE M 426.1-1A Chapter I, 2.c.(2)		I	HRMDD (G, I, M, C)	I, R, C, M	SRM 300.1.1B Chapter 6, Section 6.1
1.6.04 Approve the annual Workforce Analysis and Staffing Plan. Develop and implement Staffing Plan performance indicators to be monitored on a quarterly basis.	DOE M 426.1-1A Chapter I, 2.c.(2)		A	HRMDD (C, G, I, M)	R, C	DOE-SR 5-Year WMP SRM 300.1.1B Chapter 3, Section 3.1
1.6.05 Establish a TQP for its organization.	DOE M 426.1-1A Chapter III, 2.		I	HRMDD (G, I, M)		SRM 300.1.1B Chapter 6, Section 6.1
1.6.06 Assist the FEM/PSO/LPSO in establishing or maintaining a formal STSM Program. Facilitate recruitment to fill open positions with technically competent individuals. Concur with STSM vacancy announcements to ensure the inclusion of adequate selection criteria. Concur with competitive selections for STSM positions where the individual has not previously qualified as an STSM.	DOE M 426.1-1A Chapter III, 2.c		C	HRMDD (G, I, M, C)	R, C	SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1
1.6.07 Approve training policies and procedures for their DOE element.	DOE O 360.1B 5.g.(1)		A	HRMDD (G, I, M, C)	R, C	SRM 300.1.1B Chapter 6, Section 6.2

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		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)						
1.6.08 Prioritize critical needs, provide resources for, plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes.	DOE O 360.1B 5.g.(2)		I	HRMDD (G, I, M, C)	C	SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.2 DOE-SR 5-Year WMP
1.6.09 Define mandatory training requirements for employees in their element, including manager and supervisor training among other responsibilities.	DOE O 360.1B 5.g.(3)		I	HRMDD (G, I, M)	R, C	SRM 300.1.1B Chapter 6, Section 6.2
1.6.10 Ensure efficient and effective management of training programs for their element's workforces.	DOE O 360.1B 5.g.(4)		I	HRMDD (G, I, M)	R, C	SRM 300.1.1B Chapter 6, Section 6.2
1.6.11 Designate training approval and authorization officials for their DOE elements.	DOE O 360.1B 5.g.(5)		A	HRMDD (G, I, M, C)		SRM 300.1.1B Chapter 6, Section 6.2
1.6.12 Assign responsibilities for training requirements and functions, including designation of a training official(s) and a DOE point of contact and an alternate for training programs.	DOE O 360.1B 5.g.(6)		I	HRMDD (G, I, M, C)		SRM 300.1.1B Chapter 6, Section 6.2
1.6.13 Approve their elements' participation in training agreements governing multi-element programs.	DOE O 360.1B 5.g.(7)		A	HRMDD (G, I, M, C)		SRM 300.1.1B Chapter 6, Section 6.2
1.6.14 Approving training agreements for their own elements' programs, agreements with other DOE elements on one-to-one basis, and local geographic area interagency and intergovernmental training-related agreements.	DOE O 360.1B 5.g.(8)		A	HRMDD (G, I, M)		SRM 300.1.1B Chapter 6, Section 6.2
1.6.15 Provide subject matter experts to meet training program requirements.	DOE O 360.1B 5.g.(9)		I	HRMDD (G, I, M, C)	I	SRM 300.1.1B Chapter 6, Section 6.2
1.6.16 Waive training completion and continued service obligations for Federal employees prior to separation from DOE, as appropriate.	DOE O 360.1B 5.g.(10)		A	HRMDD (G, I, M, C)		SRM 300.1.1B Chapter 6, Section 6.2

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1.6.17	Approved acceptance of training-related awards, honorariums, and/or other contributions towards costs of training from Internal Revenue Service recognized 501(c)(3) organizations, with advice from the Office of General Counsel, as required.	DOE O 360.1B 5.g.(11)		A	HRMDD (G, I, M, C)		SRM 300.1.1B Chapter 6, Section 6.2
1.6.18	Identify and submit resource requests to the Cognizant Secretarial Officer to provide for adequate implementation of personnel qualification programs.	DOE 5480.20A 7.c.(1)		A	SRPD (M, G, R, C)	I, M	SRIP 361.1
1.6.19	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 5480.20A 7.c.(2)			SRPD (I, M, G)	I, M	SRIP 361.1
1.6.20	Review and approve each Training Implementation Matrix for nuclear facilities.	DOE 5480.20A 7.c.(3)		A	SRPD (R, C, M)	I, R, C	SRIP 361.1
1.6.21	Assure that Operations Office staffing includes an adequate number of persons having expertise in the area of personnel training.	DOE 5480.20A 7.c.(4)		A	HRMDD (I, M)	I, M	SRIP 361.1 DOE-SR 5-Year WMP SRM 300.1.1B Chapter 3, Section 3.1
1.6.22	Assure that DOE contractors to whom with Order is applicable, implement the requirements of this Order.	DOE 5480.20A 7.c.(5)		A	SRPD (M, G)	I, M	SRIP 361.1
1.6.23	Review the certification and recertification of shift supervisors, senior reactor operators, reactor operators, and fissionable material handlers at Category A reactors and high-hazard non-reactor facilities.	DOE 5480.20A 7.c.(6)		M	SRPD (M, G)	I, M	SRIP 361.1
1.6.24	Approve contractor procedures which are established to grant exceptions to specific training or qualification requirements for an individual.	DOE 5480.20A 7.c.(7)		A	SRPD (R, C, M, G)	I, R, C, M	SRIP 361.1
1.6.25	Approve, on a case-by-case basis, contractor requests for certification extensions.	DOE 5480.20A 7.c.(8)		A	SRPD (R, C, M, G)	I, R, C, M	SRIP 361.1
1.6.26	Approve contractor assessments of the need for a simulator at Category A test and research reactors.	DOE 5480.20A 7.c.(9)		A	SRPD (R, C, M, G)	I, R, C, M	SRIP 361.1

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1.6.27	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 requirement of the FAQS for safety software. (b) Update qualifications of other personnel if their FAQS are revised to include safety software competencies.	DOE N 411.1 4.d.(1)		A	OSSES (G, I)	R, C	SRM 300.1.1B Chapter 6, Section 6.1
1.6.28	Conduct assessments according to the established schedule for safety software using approved CRADs, and report the results to the cognizant PSO.	DOE N 411.1 4.d.(2)			OSSES (G, I, M)	I	
1.6.29	Use the unreviewed safety question process to address assessment results that question the validity of the software previously used to support the safety analysis and design process.	DOE N 411.1 4.d.(3)			OSSES (G, I, M)	I, M, R, C	DOE-SR Quality Assurance Plan
1.6.30	Revise the field element FRA document to include Federal functions, responsibilities, and authorities for safety software.	DOE N 411.1 4.d.(4)		A	OSSES (I, M)	R, C	SRM 300.1.1B Chapter 1, Section 1.1
1.6.31	Ensure that DOE-approved contractor QA programs are applied to safety software, in accordance with applicable laws, regulations, DOE directives, and adopted industry standards.	DOE N 411.1 4.d.(5)		I	OSSES (G, I, M)	I, M	
2. DEFINE THE SCOPE OF WORK							
2.1 Policies, Orders, Notices, Manuals, Guides, and Page Changes							
2.1.01	Provide comments on directives systems documents as required.	DOE M 251.1-1A Chapter II, 1.f		A	OESH (I, G, M)	A, I	RevCom Manual
2.1.02	Review the Directive Management Documents (DMD) to identify significant issues, comment on the need for and feasibility of implementing the proposed directive, suggest alternate approaches, and comment on the preliminary cost documentation.	DOE M 251.1-1A Chapter II, 2.b.(5)		C	OESH (I, G, M)	A, I	RevCom Manual
2.1.03	Review the draft directive and provide comments to the Office of Primary Interest, which shall prepare the final draft for approval and provide feedback to the reviewers in accordance with Chapter III of this Manual (DOE M 251.1-1A).	DOE M 251.1-1A Chapter II, 2.b.(9)		C	OESH (I, G, M)	A, I	RevCom Manual

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2.1.04	Notify the Directives System Manager of documents that may improperly distribute information outside the Directives System.	DOE M 251.1-1A Chapter V, 2.a			OESH (G, M)	I	DOE M 251.1-1A, Chapter V (Direct Implementation) RevCom Manual
2.1.05	Approve exemptions from DOE Orders, Notices, and Manuals under their direction except environment, safety and health requirements for Category 1 Hazard Nuclear Facilities.	DOE M 251.1-1A Chapter VII, 4.a.(1)		A	OESH (G, I)	C, I	RevCom Manual
2.1.06	Departmental Elements and contractor organizations that will be affected by a directive shall have the opportunity to participate in the development, coordination, and sunset review of directives.	DOE O 251.1A 4.a		A	OESH (G, I)	I	RevCom Manual
2.1.07	Office of Primary Interest and commentors shall attempt to resolve conflicting positions on major issues. The Office of Primary Interest shall apprise the reviewer of how it proposes to address the issue before the directive is approved. The commentor shall have the option of referring to the Directives Management Board those issues where the proposed resolution is not satisfactory.	DOE O 251.1A 4.f		M	OESH (G, M)	I	RevCom Manual
2.2	Technical Standards for Use within DOE						
2.2.01	Report participation in VCS activities conducted in support of DOE missions and functions through the designated TSM and the TSP (use Form DOE F 1300.2)	DOE O 252.1 4.f		M	OESH (I, M)	I	Technical Standards Manual
2.2.02	Each DOE organization will select, use and adhere to appropriate voluntary consensus standards (VCSs), consistent with PL 104-113 and OMB A-119 (i.e., use suitable existing VCSs in lieu of developing new DOE Technical Standards), when choosing technical standards to support assigned DOE missions and functions, including the design, construction, testing, modification, operation, decommissioning, and remediation of DOE's facilities and activities.	DOE O 252.1 4.a		M	OESH (G, M, I)	I	Technical Standards Manual

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
2.2.03 Manage their organization's participation in the DOE TSP.	DOE O 252.1 5.b.(1)		M	OESH (G, I)		Technical Standards Manual
2.2.04 Designate a TSM to serve as the organization's point of contact for technical standards activities and coordinate with the TSP by participating in the TSMC.	DOE O 252.1 5.b.(2)		A	OESH (I)		Technical Standards Manual
2.2.05 Ensure that technical standards identified or developed by their elements for DOE-wide use products of the TSP or recognized standards development organizations.	DOE O 252.1 5.b.(3)		M	OESH (G)	I	Technical Standards Manual
2.2.06 Preferentially use appropriate voluntary consensus standards in lieu of developing internal DOE Technical Standards to support DOE missions and functions.	DOE O 252.1 5.b.(4)		M	OESH (G)	I	Technical Standards Manual
2.3 Rules						
2.3.01 Review and comment on proposed rules. Recommend technical and cost-saving improvements, where appropriate. Provide staff to participate on focus groups or technical development teams. (Implied by the Policy)	DOE P 410.1A 2.3			OESH (R, I)	R	Direct Implementation (DOE P 410.1A)
2.4 Contract Performance Expectations						
2.4.01 Approve the contract ES&H requirements. (EM delegated authority)	DEAR Clause 970.5204-2	A	A	OCM (I, C, R) SRPD (I, M, R, C)	I, M, R, C	SRIP 251.2

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
2.5	Organization FRA Documents						
2.5.01	Each line, support, oversight, and enforcement organization within the Department is responsible for establishing and documenting how the specific functions and responsibilities assigned to them in the Manual are properly discharged. Separate organizational and operating documents will be prepared by each organization to define how its functions are to be carried out and identify who had the responsibility and authority to do so.	DOE P 411.1 DOE M 411.1-1C 8.		A	HRMDD (G, I, M, R, C)	R, C, I	SRM 300.1.1B Chapter 1, Section 1.1
2.5.02	Establishing and documenting safety management functions with clear lines of responsibilities and authorities also is required to improve accountability for safety within the Department. Each Department organization responsible for a defined safety management function must communicate those functions and the associated responsibilities and authorities to their employees so that they are clearly understood.	DOE P 411.1		I	HRMDD (G, I, M, R, C)	R, C, I	SRM 300.1.1B Chapter 1, Section 1.1
2.5.03	Establish Memorandums of Understanding (MOUs) that define the agreed upon procedures governing operations of a particular site, facility or laboratory where multiple program offices conduct work.	DOE M 411.1-1C 5.		A	OCPM (G, I, M)	R, C, M	
2.5.04	Develop a FRA that captures delegations from the program offices (i.e., EM, Defense Programs, Nuclear Energy and Science) and specifically designates the organization within the field element that executes the delegated authority and function.	EM FRA, Rev. 3 3.0		I	HRMDD (G, I, M)	R, C	SRM 300.1.1B Chapter 1, Section 1.1
2.5.05	All delegations of authority must be in writing, which must be provided to the designee. The delegation may be rescinded by the delegating authority in writing at any time. Verbal delegations shall not be used unless covered by a written delegation. Permanent delegations are in effect until rescinded in writing by the delegating official. Temporary delegations specify when authority is to be terminated. Any time a DOE signature is required, the signing official shall have written authority. All delegations to individuals are documented in official memoranda of delegation that inform the individual of his/her delegated authorities.	EM FRA, Rev. 3 8.0		A	HRMDD (G, I, M)	I	SRM 300.1.1B Chapter 1, Section 1.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
2.5.06	The EM FRA is reviewed by EM and all other DOE organizations with interfaces with EM including EH, OA, DP, SC and all FEMs under EM's cognizance.	EM FRA, Rev.3 9.0		C	HRMDD (R, C)	R, C	SRM 300.1.1B Chapter 1, Section 1.1
2.6	Allocate Resources to Contractor						
2.6.01	Maintain a current program and funding baseline for budget execution. Accordingly, they shall insure that significant changes in budget execution are coordinated through the cognizant Secretarial Officer prior to implementation.	DOE O 135.1 5.1		I	CFO (C, G, I, M)		Direct Implementation (DOE O 135.1)
2.6.02	Reconcile totals in the funds control system to totals in the most recent Advice of Allotment.	DOE M 135.1-1 Attachment IV, 3.a			CFO (C, G, I, M)	R	Direct Implementation (DOE M 135.1-1)
2.6.03	Ensure the legal restrictions on the Advice of Allotment are not violated.	DOE M 135.1-1 Attachment IV, 3.b		I	CFO (G, I)		Direct Implementation (DOE M 135.1-1)
2.6.04	Accept and approve reimbursable agreements from other Federal or Non-Federal entities.	DOE M 135.1-1 Attachment IV, 3.c		A	CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)
2.6.05	Ensure all available funds allotted are made available for obligation.	DOE M 135.1-1 Attachment IV, 3.d			CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)
2.6.06	Ensure all commitments, obligations, and expenditures are promptly reported and recorded.	DOE M 135.1-1 Attachment IV, 3.e			CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)
2.6.07	Review monthly financial reports to detect legal or administrative funds control violations for immediate reporting to the Chief Financial Officer.	DOE M 135.1-1 Attachment IV, 3.f			CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)
2.6.08	Ensure commitments (reservations) are cleared in a timely manner.	DOE M 135.1-1 Attachment IV, 3.g			CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
2.6.09	Ensure outdated obligations are detected and cleared in a timely Manner.	DOE M 135.1-1 Attachment IV, 3.h			CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)
2.6.10	Reconcile hard-copy reports with system-generated data.	DOE M 135.1-1 Attachment IV, 3.i			CFO (G, I, M)		Direct Implementation (DOE M 135.1-1)
2.7	Prioritize Tasks						
2.7.01	Resources shall be effectively allocated to address safety, programmatic, and operational considerations.	DOE P 450.4 Component 2		A	HRMDD (Human Capital) (G, M) SRPD (G, M)	I	DOE-SR 5-Year WMP SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1 SRIP 223.4
2.7.02	Acquire and maintain sufficient knowledge of program activities in order to make informed decisions on safety resources for these activities.	DOE P 450.5 Policy		A	HRMDD (G, M)	I, M	SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1
3.	ANALYZE HAZARDS						
3.1	Identify and Analyze Hazards						
3.1.01	Before work is performed, the associated hazards shall be evaluated and an agreed-upon set of safety standards and requirements shall be established which, if properly implemented, will provide adequate assurance that the public, the workers, and the environment are protected from adverse consequences.	DOE P 450.4 Component 2		A, M	SRPD (G, M, I)	I, M, R, C	SRIP 251.2 SRIP 421.1 SRIP 425.1 SRIP 450.4
3.1.02	Hazards associated with the work are identified, analyzed and categorized.	DOE P 450.4 Component 3		A, M	SRPD (G, M, I)	I, M, R, C	SRIP 421.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
3.1.03	For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830. (EM delegated authority)	Title 10 CFR 830 Subpart B, 204(a)	A	C, R, I	SRPD (G, M, R, C)	I, R, M, G, C	SRIP 421.1
3.2	Categorize Facility/Activity Based on Hazards						
3.2.01	Approve final hazard categorization for category 2 and 3 nuclear facilities. (EM delegated authority)	Title 10 CFR 830 Subpart B, 202(b)(3) and Appendix A, F.3	A	A	SRPD (G, M, R, C)	I, R, C, M	SRIP 421.1
3.2.02	Ensure that the hazard classification of facilities is performed consistent with 10 CFR 830.202(b)(3).	Title 10 CFR 830		A, C, R, I	SRPD (G, M)	I, C, R, M	SRIP 421.1
3.3	Evaluate Environmental Impacts						
3.3.01	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 5.a.(1)		M	EQMD (G, M)	I, M	SRIP 450.1
3.3.02	Maintain a DOE NEPA Compliance Officer (NCO) for the office.	DOE O 451.1B 5.a.(2)		A	EQMD (I, M)		SRIP 450.1
3.3.03	Designate a DOE NEPA Document Manager at the start of each environmental assessment and environmental impact statement.	DOE O 451.1B 5.a.(2)		A	EQMD (I, M)	I	SRIP 450.1
3.3.04	Ensure that internal scoping procedures, a quality assurance plan and a public participation plan are prepared for the office.	DOE O 451.1B 5.a.(3)		M	EQMD (G)	I	SRIP 450.1
3.3.05	Include in new contracts and grants a provision that the awardee may not undertake on DOE's half an action that is subject to NEPA until DOE has notified the awardee that DOE has satisfied applicable NEPA requirements.	DOE O 451.1B 5.a.(4)		M	OCM (Contracts) (G, M) EQMD (G, M)	I, M	SRIP 450.1
3.3.06	Incorporate NEPA milestones in project planning documents.	DOE O 451.1B 5.a.(5)		M	EQMD (G, M)	I	SRIP 450.1
3.3.07	Incorporate NEPA compliance status information in internal budget review documents.	DOE O 451.1B 5.a.(6)		M	EQMD (G, M)	I	SRIP 450.1

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)	
		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)		DOE-SR Line Orgs (E)
3.3.08	Submit an annual NEPA planning summary to the Assistant Secretary for Environment, Safety and Health by January 31 of each year and make it available to the public.	DOE O 451.1B 5.a.(7)		A	EQMD (I)	C	SRIP 450.1
3.3.09	Determine that an environmental assessment or an environmental impact statement is appropriate or required.	DOE O 451.1B 5.a.(8)		A	EQMD (G, M)	I	SRIP 450.1
3.3.10	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 (FONSI) may not be delegated except as provided in this Order.	DOE O 451.1B 5.a.(9)		A	EQMD (G, M)	I	SRIP 450.1
3.3.11	When another agency is involved in preparation, determine whether DOE shall be a lead or cooperating agency.	DOE O 451.1B 5.a.(9).(a)		M	EQMD (G)	I	SRIP 450.1
3.3.12	Obtain 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.	DOE O 451.1B 5.a.(9).(b)		A	EQMD (G)	I	SRIP 450.1
3.3.13	Determine, 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.	DOE O 451.1B 5.a.(9).(c)		A	EQMD (G)	I	SRIP 450.1
3.3.14	Adopt another agency's environmental assessment [as appropriate].	DOE O 451.1B 5.a.(9).(d)		A	EQMD (G)	I	SRIP 450.1
3.3.15	When a commitment to mitigation is essential to render the impacts of a proposed action not significant, prepare a mitigation action plan for any such commitment before issuing the finding of no significant impact.	DOE O 451.1B 5.a.(9).(e)		A	EQMD (G)	I	SRIP 450.1
3.3.16	Track and annually report 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.	DOE O 451.1B 5.a.(9).(f)		A	EQMD (G, I)	I, C	SRIP 450.1
3.3.17	Request from the Assistant Secretary for Environment, Safety and Health (EH-1) delegation of approval or adoption authority for a specific environmental impact statement when appropriate to expedite the review and approval process.	DOE O 451.1B 5.a.(10)		A	EQMD (G, I)	I, C	SRIP 450.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
3.3.18	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 5.a.(11)		A	EQMD (G, I)	I, C	SRIP 450.1
3.3.19	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 Assistant Secretary for Environment, Safety and Health with a recommendation for a determination whether the proposed action may proceed.	DOE O 451.1B 5.a.(12)		A	EQMD (G)	I	SRIP 450.1
3.3.20	Incorporate NEPA values, to the extent practicable, in DOE documents prepared under the Comprehensive Environmental Response, Compensation, and Liability Act.	DOE O 451.1B 5.a.(13)		A	EQMD (G)	I	SRIP 450.1
3.3.21	When appropriate, request from EH-1 a variance from the DOE NEPA Regulations or a variance from this Order.	DOE O 451.1B 5.a.(14)		A	EQMD (G)	I	SRIP 450.1
3.3.22	After an environmental impact statement (EIS) determination, prepare an EIS and forward it to EH for approval.	DOE O 451.1B 5.b		A	EQMD (G, I)	I	SRIP 450.1
3.3.23	Submit a notice of intent to prepare an EIS to EH for issuances.	DOE O 451.1B 5.b.(1)		A	EQMD (G, I)	I	SRIP 450.1
3.3.24	Issue a record of decision for an EIS, after obtaining EH concurrence in its environmental content and ensuring that DOE counsel concurs in its legal adequacy.	DOE O 451.1B 5.b.(3)		A	EQMD (G, I)	I	SRIP 450.1
3.3.25	Prepare any mitigation plan required under DOE Regulations before taking an action that is the subject of a mitigation commitment made in a record of decision.	DOE O 451.1B 5.b.(4)		A	EQMD (G)	I	SRIP 450.1
3.3.26	Track an annually report progress made in implementing, and the effectiveness of, any mitigation commitment made in a record of decision.	DOE O 451.1B 5.b.(5)		A	EQMD (G)	I	SRIP 450.1
4.	DEVELOP AND IMPLEMENT CONTROLS						
4.1	Identify Standards and Requirements						
4.1.01	For hazard category 2 (and below) facilities review and approve the authorization agreement. (EM delegated authority)	DOE M 411.1-1C Table 6	A	A	OESH (M, R, C, G)	I, R, C	SRIP 450.4

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.1.02	Each sight undergoing cleanup will be compliant with applicable requirements. A risk-based end state vision will be formulated in cooperation with regulations, and in consultation with affected governments, Tribal nations, and stakeholders (as appropriate). The vision will be followed-up with a site risk-based end state implementation strategy that includes an assessment of current cleanup strategies and baselines to align them with the end state vision. The site's cleanup strategy and baseline will be revised, as needed, using a graded approach to be consistent with the end state strategy and governing legal requirements.	DOE P 455.1 Policy		I	SGP (I, G, M)	R	Direct Implementation (DOE P 455.1)
4.1.03	Regulators shall be asked to concur and affected and interested governments shall be consulted in the development of the risk-based end states. Site managers will establish communication approaches for working with stakeholders for all phases of this effort in conjunction with preparation of their vision.	DOE P 455.1 Implementation		I	SGP (I, G, M)	R	Direct Implementation (DOE P 455.1)
4.1.04	To ensure protection of human health and the environment once the end state is achieved the Department shall address how it manages the impacts of future risks, uncertainties, and vulnerabilities, including the creation of contingency plans and the identification of responsible parties in the event that site conditions change after cleanup is completed. In the case of CERCLA sites, such plans should be integrated with the five-year reviews.	DOE P 455.1 Implementation		I	SGP (G, M)	R	Direct Implementation (DOE P 455.1)
4.1.05	Assess implementation of EMSs as a component of the implementation of DOE P 450.5, Line Environment, Safety and Health Oversight, dated 6-26-97. (Also applies to Field Element Manager)	DOE O 450.1 5.b.		A	EQMD (G, M)	I, M	SRIP 450.1
4.1.06	Report by December 31, 2005, to the Cognizant Secretarial Officer the status regarding whether the EMS requirements of DOE O 450.1 have been integrated into ISMSs by site contractors. Ensure contractors with approved ISMS descriptions update the ISMS descriptions, as necessary, to include the EMS requirements of this Order.	DOE O 450.1 5.d.(1) and (2)		A	EQMD (G, I, C)	I	SRIP 450.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.1.07	Obtain, as appropriate, local community advice relevant to aspects of Executive Order 13101; Executive Order 13221, "Energy Efficiency Standby Power Devices"; Executive Order 13123, "Greening the Government Through Efficient Energy Management;" Executive Order 13148; and Executive Order 13149, "Greening the Government Through Federal Fleet and Transportation Efficiency, " through new or existing outreach programs.	DOE O 450.1 5.d.(3)		I	EQMD (G)	I	SRIP 450.1
4.1.08	Incorporate, where appropriate, environmentally and economically beneficial landscape practices into all new landscaping programs, policies, and practices for facilities under their purview, in furtherance of compliance with Executive Order 13148.	DOE O 450.1 5.d.(4)		A	EQMD (G, I)	I	SRIP 450.1
4.1.09	Where appropriate, ensure implementation of centralized procurement and distribution programs (e.g., pharmacy) for purchasing, tracking, distributing, and managing materials with toxic or hazardous content at facilities under their purview.	DOE O 450.1 5.d.(5)		I	EQMD (G)	I	SRIP 450.1
4.1.10	Conduct operational assessments, such as Pollution Prevention Opportunity Assessments, of site operations to identify opportunities for source reduction, material segregation, recycle/reuse, or other P2 projects, using life-cycle assessment concepts and practices in determining ROI.	DOE O 450.1 5.d.(6)			EQMD (G, I, M)	I, M	SRIP 450.1
4.1.11	Ensure site annual budgetary processes include the funding and resources needed to implement this Order (DOE O 450.1), including P2 programs implementation and monitoring.	DOE O 450.1 5.d.(7)		A	EQMD (G)	I	SRIP 450.1
4.1.12	Notify the Director, Office of Strategic Materials, Office of Legacy Management as to the type and quantity of ODS transferred to the Department of Defense (DOD) ODS Reserve.	DOE O 450.1 5.d.(8)		I	EQMD (G)	I	SRIP 450.1
4.1.13	Monitor progress toward meeting the P2 requirements of paragraph 4b(3) of this Order, and make such information available annually to the office of Environment, Safety and Health.	DOE O 450.1 5.d.(9)		M	EQMD (G, M, I)	I, M	SRIP 450.1

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
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4.1.14 Develop and implement a program and procedures to maximize the use of safe alternatives to ODS whereby – (a) procurement of Class I ODS for all nonexempted uses is discontinued by December 31, 2010, consistent with Executive Order 13148, and (b) coordination is conducted within DOE and with DOD, as appropriate, before disposal of ODS removed or reclaimed from equipment (including disposal as part of a contract, trade, or donation), and for situations in which the recovered ODS is a critical requirement for DOD missions, the DOE facility transfers the ODS to DOD.	DOE O 450.1 5.d.(10)(a)(b)		M	EQMD (G)	I, M	SRIP 450.1
4.1.15 Consider P2 in the specification and acquisition of departmental supplies to cost effectively maximize procurement of environmentally preferable products.	DOE O 450.1 5.d.(11)		A	EQMD (G)	I, M	SRIP 450.1
4.1.16 Coordinate all acquisitions with the Department's "Green Acquisition Advocates" established pursuant to Acquisition Letter, AL-2000-03, dated 05/16/00, as appropriate.	DOE O 450.1 5.d.(12)		A	EQMD (G)	I, M	SRIP 450.1
4.1.17 Comply with the requirements of the Emergency Planning and Community Right-to-Know Act (EPCRA or Title III of Superfund Amendments and Reauthorization Act of 1986), 42 U.S.C. 11001, and the Pollution Prevention Act of 1990, 42 U.S.C. 13101.	DOE O 450.1 5.d.(13)		A	EQMD (G)	I, M	SRIP 450.1
4.1.18 Conduct environmental monitoring, as appropriate, to support the site's ISMS, to detect, characterize, and respond to releases from DOE activities; assess impacts; estimates 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 450.1 5.d.(14)		A	EQMD (G, M)	I, M	SRIP 450.1
4.1.19 Ensure the analytical work supporting environmental monitoring is implemented using – (a) consistent system for collecting, assessing, and documenting environmental data of known and documented quality; (b) a validated and consistent approach for sampling and analysis of radionuclide samples to ensure laboratory data meets program-specific needs and requirements within the framework of a performance-based approach for analytical laboratory work; and (c) and integrated sampling approach to avoid duplicative data collection.	DOE O 450.1 5.d.(15)(a), (b), (c)		A	EQMD (G, M)	I, M	SRIP 450.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.1.20	Ensure contractor ES&H self-assessment programs are established within the framework of DOE P 450.5 and continue to be effective.	DOE O 450.1 5.d.(16)		A	EQMD (G, M)	M	SRIP 223.4
4.1.21	Ensure, through the annual ISM review process [established pursuant to DEAR 970.5223-1(e)] that contractor ES&H performance objectives, performance measures, and commitments include appropriate environmental elements based on the environmental risks, impacts of activities at the site and established Departmental P2E2 goals. (P2E2 goals are contained in a memorandum signed by the Secretary on November 12, 1999, http://www.eh.doe.gov/P2)	DOE O 450.1 5.d.(17)		A	EQMD (G, M)	M	SRM 400.1.1B
4.1.22	Determine which contracts are affected by the requirements of this Order and ensure that the CRD is incorporated into only those contracts for which it is appropriate.	DOE O 450.1 5.d.(18)		A	EQMD (G)	I	SRIP 251.2
4.1.23	Implement the requirements of this Order and ensure that contractors under their purview fully implement and comply with the requirements of this Order.	DOE O 460.1B 5.c.(1)		I	WDED (C, G, I, M, R)	C, G, I, M, R	
4.1.24	Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE. (EM delegated authority)	Title 10 CFR 835 101(a) and (b)	A	A	SRPD (M, I, R, C)	R, C	Direct Implementation (Title 10 CFR 835)
4.1.25	For hazard category 2 and 3 nuclear facilities approve Unreviewed Safety Question (USQ) procedures and processes of the contractor. (EM delegated authority)	Title 10 CFR 830 Subpart B, 203(b) and (c)	A	A	SRPD (M, G, R, C, I)	I, R, C, M	SRIP 421.1
4.1.26	Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist. (EM delegated authority)	Title 10 CFR 830 Subpart B, 203(e)	A	A	SRPD (M, C, G)	I, R	SRIP 421.1
4.1.27	Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so. (EM delegated authority)	Title 10 CFR 830 Subpart B, 202(c)(2)	A	I	SRPD (I, M, C, G)	I, R	SRIP 421.1
4.1.28	For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required. (EM delegated authority)	Title 10 CFR 830 Subpart B, 206(b)(1) and (2)	A	A	SRPD (M, C, G)	I, R	SRIP 421.1
4.1.29	For hazard category 2 and 3 nuclear facilities approve the DSA reports and revisions thereto. (EM delegated authority)	Title 10 CFR 830 Subpart B, 207(b) and (d)	A	A	SRPD (M, C, G)	I, R	SRIP 421.1

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.1.30 Determine when an occurrence requiring notification within 72 hours shall lead to drug testing of involved employees.	DOE O 3792.3 5.f.(1)		A	HRMDD (G, I, M, C)	I	SRP-03-07 Direct Implementation (DOE 3750.1)
4.1.31 Concur in a determination by a supervisor that an employee who has been determined to have used illegal drugs should be returned to sensitive duties.	DOE O 3792.3 5.f.(2)		C	HRMDD (G, I, M, A)	I	SRP-03-07 Direct Implementation (DOE 3750.1)
4.1.32 Concur in a determination that the "reasonable suspicion" criteria for drug testing have been met.	DOE O 3792.3 5.f.(3)		C	HRMDD (G, I, M, A)	I	SRP-03-07 Direct Implementation (DOE 3750.1)
4.1.33 Approve administrative leave in accordance with Chapter III, Paragraph 5.d.(2), up to 10 days. Requests for longer periods must have the concurrence of the Director of Personnel.	DOE O 3792.3 5.f.(4)		A	HRMDD (G, I, M, C)	I	SRP-03-07 Direct Implementation (DOE 3750.1)
4.1.34 Review and approve Contractor Workplace Substance Abuse Programs, including provisions for testing designated positions.	DOE O 350.1 Chapter VIII, 4.e.(2)		A	CHROET (C, G, I, M)		
4.1.35 Review and approve in advance the annual costs associated with contractor Workplace Substance Abuse Programs.	DOE O 350.1 Chapter VIII, 4.e.(3)		A	CHROET (C, G, I, M)		
4.1.36 Approve contractor requests to conduct additional testing programs as permitted in Sections 10 CFR 707.5(e) and 707.7(d).	DOE O 350.1 Chapter VIII, 4.e.(4)		A	CHROET (C, G, I, M)		
4.1.37 Identify individuals whose judgment and reliability may be impaired by physical or mental/personality disorders, alcohol abuse, use of illegal drugs or the abuse of legal drugs or other substances, or any other condition or circumstances that may be of a security or safety concern.	10 CFR 712.1		A	OSSES (C, G, I, M)	M	SRP-03-07
4.1.38 Ensure that individuals who occupy positions affording access to certain materials, nuclear explosive devices, facilities, and programs meet the highest standards of reliability and physical and mental suitability.	10 CFR 712.1		I	OSSES (C, G, I, M)	M	

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.1.39	Review and approve the HRP implementation plan for sites/facilities under their cognizance and forward the plan to the Director, Security Policy Staff.	10 CFR 712 12(f)(1)		A	OSSES (C, G, I, M)	M	
4.1.40	Ensure that the HRP is implemented at the sites/facilities under their cognizance.	10 CFR 712 12(a) and (f)(2)		I	OSSES (C, G, I, M)	M	
4.2	Identify Controls to Prevent and Mitigate Hazards						
4.2.01	Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities. (EM delegated authority)	Title 10 CFR 830 Subpart B, 205(a)(2)	A	A	SRPD (M, G, C)	I, R	SRIP 421.1
4.2.02	DOE will review the content and quality of the safety basis documentation for Hazard Category 2 and 3 nuclear facilities, and assess the adequacy of the safety basis to ensure that workers, the public, and the environment are provided reasonable assurance of adequate protection from identified hazards.	Title 10 CFR 830		A	SRPD (M, G)	I, R	SRIP 421.1
4.2.03	Review each Documented Safety Analysis (DSA) to determine whether the rigor and detail of the DSA are appropriate for the complexity and hazards expected at the Cat 2 or 3 nuclear facility.	Title 10 CFR 830			SRPD (M, G)	I	SRIP 421.1
4.2.04	Evaluate the DSA by considering the extent it satisfies the provisions of the methodology used to prepare it, and whether it adequately addresses the criteria in 10 CFR 830.20(b).	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.2.05	Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.	Title 10 CFR 830			SRPD (M, G)	I, R, M	SRIP 421.1
4.2.06	Determine whether an incident, analysis, or proposes change/modification to systems, components, processes, operations, tests, or experiments involves a USQ.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.2.07	Document a process that delineates the flow of Technical Safety Requirements (TSRs) or TSR change submittals through the line for review, approval and concurrence responsibilities.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.2.08	Require that contractors prepare and update Documented Safety Analysis reports for each nuclear facility and nuclear operations under their jurisdiction (unless exempted) that establishes and evaluates the adequacy of the safety basis of the facility in accordance with the provisions of this Rule.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.2.09	Apply the graded approach for the facility, and the performance of safety reviews, appraisals, etc., to assure contractor compliance with the provisions of this Rule.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.2.10	Assure all commitments made in the approved DSA are carried out for the nuclear facilities and nuclear operations covered by the DSA.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.2.11	Ensure that all programs [criticality safety, nuclear safety, explosives safety, fire protection (FP), and natural phenomena hazard (NPH) mitigation] comply with requirements falling within the scope of this Order.	DOE O 420.1A 5.d			WDED (M) (NPH) SRPD (M) (Crit and Nuc Safety) OSSES (M) (FP and Explosive Safety)	I, M	SRIP 421.1 (Criticality and Nuclear Safety) SRIP 440.1 (Fire Protection)
4.2.12	Authority to review and approve contractor implementation of this Order (420.1A) (this does not include the authority to approve exemptions to this Order) and ensure all program comply with this Order [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]. (EM delegated authority)	DOE O 420.1A 5.d	A	A	WDED (I, R, C, M) (NPH) SRPD (I, R, C, M) (Crit and Nuc Safety) OSSES (I, R, C, M) (FP and Explosive Safety)	I, R, C, M	SRIP 421.1 (Criticality and Nuclear Safety) SRIP 440.1 (Fire Protection)

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.2.13 Approve Implementation Plans submitted to implement this Order [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation].	DOE O 420.1A 5.d		A	WDED (I, R, C, M) (NPH) SRPD (I, R, C, M) (Crit and Nuc Safety) OSSES (I, R, C,M) (FP and Explosive Safety)	I, R, M, C	SRIP 421.1 (Criticality and Nuclear Safety) SRIP 440.1 (Fire Protection)
4.2.14 As directed by the CSO, [fire protection, nuclear safety, criticality safety, natural phenomena hazard mitigation] that the requirement falls within the scope of this Order.	DOE O 420.1A 5.e			WDED (M) (NPH) SRPD (M) (Crit and Nuc Safety) OSSES (M) (FP and Explosive Safety)	I, M	SRIP 421.1 (Criticality and Nuclear Safety) SRIP 440.1 (Fire Protection)

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.2.15 Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised.	DOE O 420.1A 5.e			WDED (I, M) (NPH) SRPD (I, M) (Crit and Nuc Safety) OSSES (I, M) (FP and Explosive Safety)	I, R, M, C	SRIP 421.1 (Criticality and Nuclear Safety) SRIP 440.1 (Fire Protection)
4.2.16 Determine that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modification to drop old Order requirements from contract.	DOE O 420.1A 5.e			OCM (I, M)	R, C	
4.3 Establish Safety Envelope						
4.3.01 For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety basis and authorization basis documentation in accordance with 10 CFR Part 830. (EM delegated authority)	Title 10 CFR 830 Subpart B, 202(a) and (b) and Appendix A, E.2	A	A	SRPD (M, G)	I, R	SRIP 421.1
4.3.02 Ensure the safety basis for Hazard Category 2 or 3 nuclear facilities are adequate and comply with the safety basis requirements.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.3.03 Ensure the timely review of all safety basis documents for Hazard Category 2 and 3 nuclear facilities.	Title 10 CFR 830			SRPD (M, G)	I, R	SRIP 421.1
4.3.04 Approve Documented Safety Analysis reports and revisions thereto for Category 2 and 3 nuclear facilities.	Title 10 CFR 830		A	SRPD (M, C, G)	I, R	SRIP 421.1
4.3.05 Approve Technical Safety Requirements and revisions thereto for all nuclear facilities.	Title 10 CFR 830		A	SRPD (M, C, G)	I, R	SRIP 421.1
4.3.06 Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ has been determined to exist.	Title 10 CFR 830		A	SRPD (M, C, G)	I, R	SRIP 421.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.3.07	Prepare a Safety Evaluation Report concerning the safety basis of the facility. (EM delegated authority)	Title 10 CFR 830 Subpart B, Appendix A, 1.1	A	A	SRPD (M, C, G)	I, R	SRIP 421.1
4.3.08	Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made. (EM delegated authority)	Title 10 CFR 830 Subpart B, 207(b) and (d) and Appendix A, 1.1	A	A	SRPD (M, C, G)	I, R	SRIP 421.1
4.4	Safeguards and Security						
4.4.01	Ensure that all operations under their jurisdiction are implemented consistent with acceptable safeguards and security practices and in accordance with the Safeguards and Security directives.	DOE O 470.1 5.j		I	OSSES (G, I, M)	I	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.02	Ensure safeguards and security surveys of facilities under their purview are conducted.	DOE O 470.1 5.k.(1)(a)		I	OSSES (G, I, M)	I	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.03	Establish written delegations of authorities and responsibilities for administration of the facility survey, registration and clearance, and FOCI programs.	DOE O 470.1 5.k.(1)(b)		A	OSSES (G, I, M)		OSSES S&S Surveys Handbook
4.4.04	Designate a Facility Clearance Operations Manager (DOE employee) to manage the local program.	DOE O 470.1 5.k.(1)(c)		A	OSSES (C, I)		OSSES S&S Surveys Handbook
4.4.05	Designate a FOCI manager (DOE employee) to manage local program.	DOE O 470.1 5.k.(1)(d)		A	OSSES (C, I)		
4.4.06	Ensure the designation of a trained DOE employee as the FOCI point of contact in each contracting/procurement organization.	DOE O 470.1 5.k.(1)(e)			OSSES (I, M)		SRM 300.1.1B Chapter 6, Section 6.1
4.4.07	Ensure the designation of a trained DOE employee as the FOCI point of contact in the Chief Counsel office.	DOE O 470.1 5.k.(1)(f)			OSSES (I, M)		SRM 300.1.1B Chapter 6, Section 6.1
4.4.08	Develop local implementing procedures for the facility survey, registration and clearance, and FOCI programs.	DOE O 470.1 5.k.(1)(g)		A	OSSES (C, G, I, M)	R, C, I	OSSES S&S Surveys Handbook
4.4.09	Grant approval for facilities and register safeguards and security activities.	DOE O 470.1 5.k.(1)(h)		A	OSSES (C, G, I, M)	R, C	OSSES S&S Surveys Handbook

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.4.10	Terminate facility clearances and registrations of safeguards and security activities under their cognizance.	DOE O 470.1 5.k.(1)(i)		I	OSSES (C, G, I, M)	R, C	OSSES S&S Surveys Handbook
4.4.11	Maintain information in the Safeguards and Security Information Management System for all facilities for which they are either the Lead Responsible Officer or at which they have registered a safeguards and security activity.	DOE O 470.1 5.k.(1)(j)			OSSES (G, I, M)	I	OSSES S&S Surveys Handbook
4.4.12	Ensure affected Departmental Elements are notified when an activity is suspended or terminated.	DOE O 470.1 5.k.(1)(k)		I	OSSES (G, I)	I	OSSES S&S Surveys Handbook
4.4.13	Provide written notification to an approved facility whenever there is a change in the Lead Responsible Office.	DOE O 470.1 5.k.(1)(l)		I	OSSES (G, I)		OSSES S&S Surveys Handbook
4.4.14	Ensure that an effective program is instituted to plan, conduct, and follow up safeguards and security surveys and self-assessments.	DOE O 470.1 5.k.(2)(a)			OSSES (G, I, M)	M, I	SRIP 223.4 SRIP 223.6 OSSES S&S Surveys Handbook
4.4.15	Designate a Facility Survey Operations Manager (a DOE employee).	DOE O 470.1 5.k.(2)(b)		A	OSSES (C, I)		OSSES S&S Surveys Handbook
4.4.16	Develop local implementing procedures for the administration and conduct of surveys and self-assessments.	DOE O 470.1 5.k.(2)(c)		A	OSSES (C, G, I, M)	R, C, I	SRIP 223.4 SRIP 223.6 OSSES S&S Surveys Handbook
4.4.17	Provide input to the Safeguards and Security Information Management System current data for all surveyed facilities.	DOE O 470.1 5.k.(2)(d)			OSSES (G, I, M)	I	OSSES S&S Surveys Handbook
4.4.18	Provide sufficient resources for the survey program to support professional, administrative, technical, and clerical staffing requirements, equipment and materials, logistics requirements, and training and development.	DOE O 470.1 5.k.(2)(e)		I	OSSES (G, I, M)	R, C, M	SRM 300.1.1B Chapter 3, Section 3.1 DOE-SR 5-Year WMP OSSES S&S Surveys Handbook

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.4.19 Ensure that prior to working independently, persons assigned to perform survey and review duties possess appropriate knowledge, skills, and ability.	DOE O 470.1 5.k.(2)(f)			OSSES (G, I, M)		SRM 300.1.1B Chapter 6, Section 6.1 OSSES S&S Surveys Handbook
4.4.20 1) Ensure physical security programs under their cognizance are implemented in conformance with Department security policies. 2) Evaluate physical protection programs to ensure effectiveness and compliance with the Department's protection requirements. 3) Review procurement requests for new non-site-/non-facility-management contracts, and if appropriate, ensure that the clause at 48 CFR 952.204-2, Security Requirements, and the requirements of the CRD of this directive are included in the contract.	DOE O 473.1 5.a.(1)-(3)		I	OSSES (G, I, M)	I	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.21 Oversee physical protection programs to ensure DOE S&S interests are protected.	DOE O 473.1 5.l.(1)		I	OSSES (G, I, M)	I	
4.4.22 Ensure the development and maintenance of directives, plans, and procedures for the operation, maintenance, and testing of physical protection programs to protect S&S interests.	DOE O 473.1 5.l.(2)		I	OSSES (G, I, M)	I	
4.4.23 Oversee contractor development, implementation, and management of physical protection programs in conformance with this Order.	DOE O 473.1 5.l.(3)			OSSES (G, I, M)	I, M	
4.4.24 Ensure the physical protection program requirements of this Order, the associated Manual, and other S&S directives are implemented.	DOE O 473.1 5.l.(4)		I	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.25 Ensure the provisions established within this Order and the associated Manual are included in contracts.	DOE O 473.1 5.l.(5)		I	OSSES (I, M)		
4.4.26 Ensure DOE and contractor employees receive appropriate S&S-related training and are made aware of and understand their responsibilities for protecting S&S interests.	DOE O.473.1 5.l.(6)			OSSES (G, I, M)	I	SRIP 361.1
4.4.27 Inspect, test, and evaluate the physical protection programs, projects, and facilities of subordinate activities to ensure effectiveness and compliance with protection requirements.	DOE O 473.1 5.l.(7)			OSSES (G, I, M)	I	SRIP 223.4 OSSES S&S Surveys Handbook

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.4.28 Recommend to the director, Office of Security, through the lead program Secretarial offices, for publication in the Federal Register, property to be designated for "No Trespassing" posting under 42 USC 2278a, and ensure that "No Trespassing" notices are posted.	DOE O 473.1 5.l.(8)		C	OSSES (G, I, R)		
4.4.29 Provide physical protection for S&S interests while in transit.	DOE O 473.1 5.l.(9)			OSSES (G, I, M)	I	
4.4.30 Review procurement request for new non-site-/non-facility-management contracts, and if appropriate, ensure that the clause at 48 CFR 952.204-2, Security Requirements, and the requirements of the CRD of this Order are included in the contract.	DOE O 473.1 5.l.(10)		A	OSSES (G, I, M, R)		
4.4.31 Implement MC&A programs for all DOE activities under their jurisdiction in conformity with the requirements, procedures, and planning set forth in the DOE 470 series and set procedures and requirements for nuclear materials not specifically covered in the DOE 470 series.	DOE O 474.1A 5.f.(1)		I	OSSES (G, I, M)	I	
4.4.32 Require that an MC&A Plan be developed for each facility possessing nuclear materials and approve that plan and subsequent changes. Require development of, and compliance with, procedural directives implementing the MC&A Plan.	DOE O 474.1A 5.f.(1).(a)		I	OSSES (G, I, M)	R, C	

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.4.33 Ensure cost-effective overall protection at each site through integration, to the extent practicable, of MC&A systems, procedures, and operations with the associated physical protection systems, procedures, and operations. 1) Use the DOE Design Basis Threat to formulate site-specific threat statements for inclusion in applicable site-specific safeguards and security planning documents. 2) Ensure that vulnerability assessments are performed for Category 1 SNM locations and for other locations where roll-up to Category 1 is credible. 3) Approve a site-specific classified list of threats and targets developed by each contractor under their jurisdiction as appropriate for design and/or evaluation and validation of MC&A systems. 4) Develop procedures for the conduct and reporting of nuclear materials surveys in accordance with DOE O 470.1, Chapter IX, SURVEY PROGRAM. Conduct oversight tests and evaluations of MC&A provisions of contractors' safeguards programs.	DOE O 474.1A 5.f.(1).(b).1-4		A	OSSES (G, I, M, C)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.34 Ensure the maintenance of records and issuance of periodic reports reflecting nuclear materials transactions and inventories under their jurisdiction.	DOE O 474.1A 5.f.(c)			OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.35 Ensure that MC&A requirements are considered in all phases of design of new facilities and operations.	DOE O 474.1A 5.f.(d)		I	OSSES (G, I, M)	R, C, I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.36 Ensure that safeguards deficiencies are corrected.	DOE O 474.1A 5.f.(e)		I	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.37 Ensure that system assessment requirements are identified and met for facilities possessing nuclear materials.	DOE O 474.1A 5.f.(f)		I	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.4.38	Ensure that responsibilities and authorities for MC&A of nuclear materials are addressed in the Memorandums of Agreement and associated appendices, where they exist, between heads of Headquarters elements; Deputy Administrators, NNSA; and field elements.	DOE O 474.1A 5.f.(2)		A	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.39	Monitor material control indicators and review and analyze reportable occurrences experienced in operations under their jurisdiction.	DOE O 474.1A 5.f.(3)		M	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.40	Ensure that contractors and subcontractors under their jurisdiction evaluate all nuclear material control indicator, determine the probable cause of all nuclear material alarms, and take such corrective action as is deemed necessary.	DOE O 474.1A 5.f.(3)(a)		M	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.41	Report malevolent acts and other reportable occurrences to the Security Policy Staff; the Office of Defense Nuclear Security, NNSA; Deputy Administrators, NNSA; and affected heads of Headquarters elements, as appropriate consistent with the requirements of this Order and DOE O 232.1A, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION.	DOE O 474.1A 5.f.(3)(b)		A	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.42	Require, as appropriate, each contractor, facility, and DOE element under their reporting jurisdiction to determine the reasons for shipper/receiver differences, evaluate the significance of all such differences, and take appropriate corrective action.	DOE O 474.1A 5.f.(3)(c)			OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.43	Ensure that MC&A upgrade needs are identified, documented, and coordinated with affected heads of Headquarters elements and Deputy Administrators, NNSA, consistent with budgetary schedules.	DOE O 474.1A 5.f.(4)		A	OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook
4.4.44	Provide MC&A systems review and approval for all facilities prior to beginning new operations that might alter the performance of existing MC&A system.	DOE O 474.1A 5.f.(5)			OSSES (G, I, M)	I, M	SRIP 223.4 OSSES S&S Surveys Handbook

	DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.4.45 Require each DOE element and contractor under their reporting jurisdiction to accomplish the following: (a) Prepare and distribute promptly the appropriate forms for documenting nuclear materials transactions, inventories, and material balances and for submitting the information to the NMMSS, in accordance with DOE M 474.1-2; (b) Prepare additional data and reports required by the field element or Field Manager for NNSA Operations in the performance of its mission; (c) If notified of selection under the U.S.–IAEA Safeguards Agreement, prepare and submit Material Balance Reports (DOE/NRC F742) indicating the sources of receipts shown on line 22 (From Other Materials) and the destinations of removals shown on line 71 (Degradation to Other Materials); (d) Ensure that for exports other than for mutual defense, the receiver’s copies of DOE/NRC F741, Nuclear Material Transaction Report; DOE/NRC F741A, Nuclear Material Transaction Report; the special reprinted version of DOE/NRC F740M, Concise Note; and other appropriate versions of DOE/NRC F740M, as required, are included with the actual shipment; (e) Ensure that both shipper’s and receiver’s transaction data are provided to the NMMSS if the shipper or receiver is a foreign entity; (f) Review NMMSS output sufficient to verify data processed by the system; (g) Ensure that material balances held in contractors’ systems are reconciled with corresponding NMMSS balances and that data corrections are implemented to bring the systems into agreement; (h) Review proposed internal or computer-generated equivalent forms referred to in Paragraph 4b(6)(b) of this Order, and if the proposed equivalents are found to provide all inventories in the proposed equivalents are found to provide all the information on nuclear materials transactions, material balances, and inventories in the proper format, approve their use in lieu of the specified forms.	DOE O 474.1A 5.f.(6).(a)-(h)		A	OSSES (G, I, M)	R, C, I, M	SRIP 223.4 OSSES S&S Surveys Handbook

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SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.4.46	Ensure that this Order is implemented under existing and new contracts for operating facilities under the scope of this Order. Designate individual(s) to alert the contracting officer to each procurement falling within the scope of this Order. [Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33).]	DOE O 474.1A 5.f.(7)			OSSES (G, I)		SRIP 223.4 OSSES S&S Surveys Handbook
4.4.47	Through contracting officers, require that the Contractor Requirements Document be made a part of all appropriate contracts.	DOE O 474.1A 5.f.(8)			OSSES (G, I)		
4.4.48	Review and approve deviations to requirements of this Order according to procedures contained in DOE O 470.1, SAFEGUARDS AND SECURITY PROGRAM.	DOE O 474.1A 5.f.(9)		A	OSSES (G, I, M, C)	R, C	
4.4.49	Include in a procurement request package, for each procurement requiring the application of this Order, the following: (a) identification of the Order, (b) identification of the specific requirements with which a contractor or other awardee is to comply, or if this is not practicable, identification of the specific paragraphs or other portions of this Order with which a contractor or other awardee is to comply; and (c) requirements for the flowdown of provisions of this Order to any subcontract or subaward.	DOE O 474.1A 5.g.(1)(a)-(c)			OCM (I)		
4.4.50	For application to awarded management and operating or integrated management contracts, heads of Departmental elements, including NNSA, may set forth this information in written communication to the contracting officer rather than in a procurement request package.	DOE O 474.1A 5.g.(2)			OCM (I)		
4.4.51	Identify individuals whose official duties fall within the definition of a "PSAP" position" at a DOE site/facility under their cognizance.	DOE O 472.1C 5.h.(1)			OSSES (G, I, M)	I	
4.4.52	Ensure that a PSAP Implementation Plan is prepared for each site/facility with PSAP positions and provide the plan to the Director, Office of Security, for review and comment.	DOE O 472.1C 5.h.(2)		A	OSSES (G, I, M)		
4.4.53	Review and approve PSAP Implementation Plans and ensure that a PSAP is implemented at the site/facility within 30 working days after the Plan is approved.	DOE O 472.1C 5.h.(3)		A	OSSES (G, I, M)		
4.4.54	Approve PSAP Implementation Plan changes and notify the Director, Office of Security, of such changes.	DOE O 472.1C 5.h.(4)		A	OSSES (I, G, M)		

		DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)						
4.4.55	Recommend to the Director, Office of Security, additional positions for designation as PSAP positions as they are identified as justified.	DOE O 472.1C 5.h.(5)		C	OSSES (I, G, M, R)	
4.4.56	Process requests for individuals to occupy PSAP positions and perform other responsibilities consistent with 10 CFR 710, Subpart B.	DOE O 472.1C 5.h.(6)			OSSES (I, G, M)	
4.4.57	Ensure implementation, administration, and operation of program activities for all covered contractors, subcontractors, access permittees, and staff under their cognizance consistent with this Order, DOE M 472.1-1B, and 10 CFR 710.	DOE O 472.1C 5.i.(1)			OSSES (I, G, M)	I
4.4.58	Ensure training complies with the requirements in DOE M 472.1-1B.	DOE O 472.1C 5.i.(2)			OSSES (I, G, M)	SRM 300.1.1B Chapter 6, Section 6.1 SRIP 361.1
4.4.59	Prior to submitting a request for investigation to an investigative agency for an individual under their cognizance: (a) determine the position access authorization requirements and the type of investigation to be conducted; (b) ensure that the access authorization justification and security forms are adequate and complete; (c) verify that the request from a management and operating contractor, or other specified contractor, is accompanied by the pre-employment or pre-processing checks required by 48 CFR 970.2201(b)(1)(ii) and that, except for foreign nationals, each contractor request is accompanied by verification of the individual's United States citizenship (see Attachment 2, paragraph 3b); (d) establish a personnel security file for the individual and enter appropriate data into the DOE personnel security data management system; (e) determine whether current investigative reports exist that can be obtained and used by DOE as a basis for determining the individual's access authorization eligibility; (f) determine whether the individual is being concurrently processed for an access authorization or security clearance by another agency; and (g) verify that funds are available to reimburse the appropriate investigative agency.	DOE O 472.1C 5.i.(3)(a)-(g)		I	OSSES (I, G, M)	
4.4.60	Initiate requests directly with the OPM and the FBI for initial investigations; reinvestigations; supplemental, additional, or upgrade investigations; and cancellations of investigations in progress.	DOE O 472.1C 5.1.(4)			OSSES (I, G, M)	

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.4.61 Implement procedures requiring DOE supervisors and DOE contractors under their cognizance to provide notification to a designated DOE personnel security official of the following conditions affecting an applicant's or employee's access authorization status (i.e., notification shall not be provided if the individual does not hold, or is not in process for, a DOE access authorization): (a) verbal notification within 8 working hours and written confirmation within the next 10 working days when aware of an individual's hospitalization or other treatment for a mental illness or other condition that may cause a significant defect in the individual's judgment or reliability; (b) verbal notification within 2 working days and written confirmation within the next 10 working days when aware of information of personnel security interest. Such information must be characterized as reliable and relevant and create a question as to an individual's access authorization eligibility as exemplified in 10 CFR 710.8 (see the reverse side of DOE F 5631.18, "DOE Security Acknowledgment"); and (c) verbal notification within 2 working days and written confirmation within the next 10 working days when an individual's DOE access authorization should be terminated.	DOE O 472.1C 5.i.(5)(a)-(c)		C	OSSES (G, I)	I	
4.4.62 Request the Director, Office of Security, to approve initiation of an investigation of a foreign national under their cognizance proposed for employment in a position that will require the incumbent to possess a DOE access authorization.	DOE O 472.1C 5.i.(6)		C	OSSES (G, I)		
4.4.63 Refer to the Director, Office of Security, DOE access authorization request for other Federal agency employees, consultants, and contractors; members of Congress and congressional staffers; and State governors and Lieutenant governors.	DOE O 472.1C 5.i.(7)			OSSES (G, I)		
4.4.64 Provide to the Director, Office of Security, for processing "Data Report on Spouse/Cohabitant" forms completed by individuals under their cognizance who marry or cohabit after having been granted, or while being processed for, DOE access authorizations.	DOE O 472.1C 5.i.(8)			OSSES (G, I)		

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SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.4.65	For access to Secret and/or Confidential National Security Information, and/or Formerly Restricted Data involved in DOE contracts and subcontracts, accept written assurances that the facility personnel engaged in DOE work possess a final security clearance from another Federal agency at the appropriate level for access to National Security Information.	DOE O 472.1C 5.i.(9)			OSSES (G, I)		
4.4.66	For the purpose of granting access to Confidential Restricted Data involved in DOE contracts and subcontracts, accept written assurances that facility personnel engaged in DOE work possess a final security clearance from another Federal agency at the appropriate level for access to National DOE M 472.1-1B.	DOE O 472.1C 5.i.(10)			OSSES (G, I)		
4.4.67	Render a favorable Foreign Ownership, Control, or Influence determination for covered contractors prior to taking a final access authorization action.	DOE O 472.1C 5.i.(11)			OSSES (G, I)		
4.4.68	Transmit request for interim access authorization to the Director, Office of Security.	DOE O 472.1C 5.i.(12)		C	OSSES (G,I)	I	
4.4.69	Delegate authorities and responsibilities in writing to all DOE employees conducting program activities covered by this Order, DOE M 472.1-1B, or 10 CFR 710 and maintain a current record of the following: (a) DOE employees authorized to grant, continue, extend, reinstate, transfer, upgrade, downgrade, and/or terminate access authorizations; (b) DOE and DOE contractor employees authorized to review personnel security files; and (c) DOE and DOE contractor employees authorized to access data contained in the DOE personnel security data management system. [NOTE: Delegations may be made in a DOE employee's official position description.]	DOE O 472.1C 5.i.(13)(a)-(c)		A	OSSES (G, I, M)		
4.4.70	Grant, continue, extend, reinstate, transfer, upgrade, downgrade, and terminate access authorizations for individuals under their cognizance in all cases except those processed under 10 CFR 710 procedures.	DOE O 472.1C 5.i.(14)		A	OSSES (G, I, M)	I	

		DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	
<p align="center">SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)</p>						
4.4.71	Render determinations, in accordance with 10CFR 710 procedures, to: (a) suspend processing an access authorization application or terminate an individual's access authorization; (b) suspend an individual's access authorization, and (c) grant, reinstate, deny, or revoke an access authorization when the individual does not, or fails to, request a hearing before a DOE hearing officer or when the individual's administrative review case is remanded to the manager by the hearing officer for a determination.	DOE O 472.1C 5.i.(15)(a)-(c)		A	OSSES (G, I, C)	
4.4.72	Inform individuals in writing whose access authorization eligibility has been favorably resolved following a personnel security interview or other action, when individuals request such "written notification.	DOE O 472.1C 5.i.(16)		A	OSSES (G, I)	
4.4.73	Effect appropriate actions and notifications when the access authorization of an individual under their cognizance is suspended, granted, revoked, reinstated, denied, or terminated under 10 CFR 710 procedures.	DOE O 472.1C 5.i.(17)		A	OSSES (G, I)	
4.4.74	Accept investigations and reports on the character, associations, and loyalty of individuals made by OPM, FBI, or another Federal agency that conducts personnel security investigations, provided that such investigations meet the scope and extent of DOE standards as specified in DOE M 472.1-1B.	DOE O 472.1C 5.i.(18)			OSSES (G, I, M)	
4.4.75	Ensure, to the extent practicable, that personal history information on employment forms completed by DOE employees and applicants for employment is consistent with information reflected on existing or new personnel security forms. The comparability review shall be completed prior to forwarding personnel security forms to an investigative agency or effecting other personnel security actions.	DOE O 472.1C 5.i.(19)			OSSES (G, I)	
4.4.76	Maintain and protect personnel security files containing copies of investigative reports and other pertinent and relevant data on individuals who are processed for access authorizations.	DOE O 472.1C 5.i.(20)			OSSES (G, I)	
4.4.77	Approve and maintain records of the review of personnel security files by authorized other agency personnel and other routine users under DOE implementing regulations for the Privacy Act.	DOE O 472.1C 5.i.(21)		A	OSSES (G, I)	
4.4.78	Ensure that all access authorization transactions effected for individuals under their cognizance are accurately recorded in the DOE personnel security data management system.	DOE O 472.1C 5.i.(22)			OSSES (G, I)	

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.4.79	Ensure that investigative reports on DOE employees and applicants for employment under their cognizance are reviewed and adjudicated by the appropriate servicing personnel office for employment suitability issues prior to access authorization eligibility determinations.	DOE O 472.1C 5.i.(23)			OSSES (G, I)		SRM 300.1.1B Chapter 3, Section 3.1
4.4.80	Arrange with other office managers to provide operational and/or administrative support services or assistance when the location of an individual or facility justifies such an arrangement as a practical matter of convenience, economy, or benefit to DOE.	DOE O 472.1C 5.i.(24)			OSSES (I, G)		
4.4.81	Request Director, Office of Security, approval for the use of locally generated forms in the conduct of personnel security activities.	DOE O 472.1C 5.i.(25)			OSSES (I, G)		
4.4.82	Ensure that all individuals under their cognizance performing personnel security activities are aware of the prohibition against reprisal or discrimination toward any individual who has made a protected disclosure or engaged in protected activities.	DOE O 472.1C 5.i.(26)			OSSES (I, G)		
4.4.83	Review procurement requests for new non-site/facility management contracts and, if appropriate, ensure that the clause at 48 CFR 952.204-2, Security, and the requirements of the CRD of this directive are included in the contract.	DOE O 472.1C 5.i.(27)			OSSES (I, G)		
4.4.84	Prepare a PSAP Implementation Plan and manage PSAP activities consistent with 10 CFR 710, Subpart B, which includes the identification of PSAP positions at sites/facilities under their cognizance.	DOE O 472.1C 5.k.(1)		A	OSSES (I, G, M)		
4.4.85	Conduct a drug testing program for PSAP position applicants and incumbents in accordance with 10 CFR 707.	DOE O 472.1C 5.k.(2)			OSSES (I, M)		SRP-03-07 Direct Implementation (DOE 3750.1)
4.4.86	Ensure that supervisory reviews and medical assessments are conducted and recommendations offered for PSAP position applicants and incumbents during the conduct of initial and annual reviews, and at any other time, as appropriate.	DOE O 472.1C 5.k.(3)			OSSES (I, G)	I	
4.4.87	Immediately notify the PSAP Approving Official of information that represents a security concern regarding a PSAP employee.	DOE O 472.1C 5.k.(4)			OSSES (I, G)	I	

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
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4.4.88 Access by foreign nationals to DOE cyber systems must be approved by an official designated by the DOE site manager or Lead Program Secretarial Officer (LPSO) who is accountable for the approval decision. This approval must 1) identify the specific cyber system(s) to which access is granted and the anticipated time period of the access, and 2) must be based on a documented assessment of risks and an identification of access controls. The risk assessment, cyber system access controls, and approval must be included in the security plan required by DOE N 142.1, UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS, or in other documentation, e.g., the site's Cyber Security Program Plan, or a visit-specific plan), if the site is exempt from DOE N 142.1.	DOE N 205.2 3.a			OSSES (I, G, M)	I	
4.4.89 DOE site managers and LPSOs must ensure access by foreign nationals to the cyber systems described in the approval is periodically audited consistent with the documented risk upon which approval is based.	DOE N 205.2 3.b		I	OSSES (I, G)		
4.4.90 Non-resident foreign nationals from Sensitive Countries are not permitted access, from other than a DOE site or DOE contractor premise, to cyber systems containing "Unclassified Controlled Nuclear Information (UCNI)" or "Naval Nuclear Propulsion Information (NNPI)." Doe site managers and LPSOs are responsible for ensuring that DOE networked systems containing UCNI or NNPI have protective measures to prevent unauthorized access.	DOE N 205.2 3.c			OSSES (I, G)	I	
4.5 Emergency Management						
4.5.01 Implement emergency management policy and requirements and maintain programs and systems consistent with policy and requirements.	DOE O 151.1B 8.a		I	OSSES (I, G, M)	I	SRIP 150.3
4.5.02 Establish and maintain an effective, integrated emergency management program.	DOE O 151.1B 8.b			OSSES (I, G, M)	I	SRIP 150.3

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.5.03	Partner with the Cognizant Secretarial Officers, the Assistant Secretary for Environment, Safety and Health, and the Director, Office of Emergency Operations to establish and maintain performance measures and criteria to implement this Order for facilities and activities under their cognizance, and to ensure that these performance measures and criteria are incorporated in contractual arrangements.	DOE O 151.1B 8.c			OSSES (G, I, M)	I, M	SRIP 150.3
4.5.04	Approve and submit approved site Emergency Plans to the Director, Office of Emergency Operations and the Cognizant Secretarial Officer(s).	DOE O 151.1B 8.c.(1)		A	OSSES (G, I)	R, C, I	SRIP 150.3
4.5.05	Approve and submit approved Emergency Planning Zones to the Director, Office of Emergency Operations, and the Program Secretarial Officer(s).	DOE O 151.1B 8.c.(2)		A	OSSES (G, I)	R, C, I	SRIP 150.3
4.5.06	Coordinate with the Program Secretarial Officer(s) to ensure resources are available to implement this Order for facilities and activities under their cognizance.	DOE O 151.1B 8.d			OSSES (G, I)	R, C	SRIP 150.3
4.5.07	Ensure development of appropriate emergency plan implementing procedures for timely and accurate emergency classification, notification, and reporting of emergency events for facilities under their cognizance. Establish pre-authorization criteria when possible.	DOE O 151.1B 8.e			OSSES (G, I, M)	R, C, I	SRIP 150.3
4.5.08	Ensure emergency public information planning is integrated with the development and maintenance of Emergency Plans.	DOE O 151.1B 8.f			OSSES (G, I, M)	R, C, I	SRIP 150.3
4.5.09	Ensure effective communication systems and protocols are coordinated and maintained with the Headquarters Operations Center regarding emergencies involving or affecting facilities or materials under DOE/NNSA jurisdictions or requiring DOE/NNSA assistance.	DOE O 151.1B 8.g			OSSES (G, I, M)	I	SRIP 150.3
4.5.10	Review and approve Emergency Readiness Assurance Plans (ERAPs) that cover facilities under their supervision; prepare the Cognizant Field Element annual ERAP; submit it to the Program Secretarial Officer and the Director, Office of Emergency Operations, for inclusion in the annual report of the Deputy Secretary on the status of the Emergency Management System.	DOE O 151.1B 8.h		A	OSSES (G, I, M)	I	SRIP 150.3

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
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4.5.11 Where applicable, predesignate a DOE/NNSA employee as (1) the On Scene Coordinator when DOE/NNSA is the lead agency for Federal responses under the National Contingency Plan or its replacement; (2) the On Scene Commander when DOE/NNSA is the Lead Federal Agency under the Federal Radiological Emergency Response Plan or its replacement, and/or; (3) the Senior Energy Official to coordinate Departmental activities under appropriate Federal plans.	DOE O 151.1B 8.i.(1)-(3)		C	OSSES (G, I)	I	SRIP 150.3
4.5.12 Participate in the development and implementation of mutual assistance agreements with State, Tribal, and local authorities.	DOE O 151.1B 8.j		I	OSSES (G, I)	I	SRIP 150.3
4.5.13 Ensure that hazards assessments and hazards surveys for emergency planning purposes are adequately performed and documented.	DOE O 151.1B 8.k			OSSES (G, I, M)	I	SRIP 150.3
4.5.14 Ensure Cognizant Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises.	DOE O 151.1.B 8.l		I	OSSES (G, I, M)	I	SRIP 150.3
4.5.15 Conduct periodic assessments of facility emergency management programs and/or periodically review contractor self-assessment programs to ensure compliance with DOE directives and policy; provide the results/conclusions to the Program Secretarial Officer and the Director, Office of Emergency Operations. Ensure a maximum of one assessment per site per year.	DOE O 151.1B 8.m			OSSES (G, I, M)	I	SRIP 150.3
4.5.16 During an emergency, conduct appropriate and necessary emergency actions.	DOE O 151.1B 8.n		I	OSSES (G, I, M)	I	SRIP 150.3
4.5.17 Implement corrective actions lessons learned from actual emergency responses and based on findings from evaluations, assessments, and appraisals.	DOE O 151.1B 8.o		I	OSSES (G, I, M)	I	SRIP 150.3
4.5.18 Establish and maintain an Emergency Operations Center to respond to emergency events. Every Emergency Operations Center must be equipped with compatible communication, photo/video, and automatic data processing support specified by the Director, Office of Emergency Operations.	DOE O 151.1B 8.p			OSSES (G, I, M)	I	SRIP 150.3

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4.5.19	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 151.1B 8.q			OSSES (G, I, M)	I	SRIP 150.3
4.5.20	Assign senior representatives to the Emergency Management Advisory Committee.	DOE O 151.1B 8.r			OSSES (I)		SRIP 150.3
4.5.21	Comply with the requirements of the DOE 5530-series Orders or their replacements, which establish requirements for the radiological emergency response assets programs.	DOE O 151.1B 8.s		I	SRPD (I)	I	WSRC 18Q, DOE Region 3 RAP
4.5.22	Notify contracting officers of affected site/facility management contracts to incorporate the CRD of this Order into those contracts.	DOE O 151.1B 8.t			OSSES (I)	I	SRIP 150.3
4.6	Packaging and Transportation						
4.6.01	Review and approve, in writing, onsite Transportation Safety Documents and transportation and package quality assurance programs.	DOE O 460.1B 5.c.(2)		A	WDED (C, G, I, M, R)	C, G, I, M, R	
4.6.02	Review and process through the responsible Secretarial Officer/Deputy Administrator, NNSA, requests for DOE exemptions, DOT exemptions and renewals, and NRC packaging certificates.	DOE O 460.1B 5.c.(3)		A	WDED (C, G, I, M, R)	C, G, I, M, R	
4.6.03	Review and process Safety Analysis Reports for Packagings through the Secretarial Officer/Deputy Administrator, NNSA, responsible for the facilities or activities applying for package certification.	DOE O 460.1B 5.c.(4)			WDED (C, G, I, M, R)	C, G, I, M, R	
4.6.04	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 460.1B 5.c.(5)			WDED (G, I, M, R)	C, G, I, M, R	
4.6.05	Support development of programs to share packaging and transportation safety successes and problems.	DOE O 460.1B 5.c.(6)			WDED (G, I)	G	
4.6.06	Obtain waivers from tribal, State, and local transportation laws, rules, and regulations, as needed to meet safety requirements. Copies of all such requests and waivers shall be provided to the responsible Secretarial Officer/Deputy Administrator, NNSA.	DOE O 460.1B 5.c.(7)		A	WDED (C, G, I, M, R)	C, G, I, M, R	
4.6.07	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 5.e.(1)			WDED (G, I, M, R)	I, M	Direct Implementation (DOE O 460.2A)

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4.6.08	Obtain waivers from State, Tribal and local transportation requirements, as needed to meet programmatic requirements, and provide copies of all such requests and waivers to the Office of Environmental Management and the NNSA Deputy Administrator for Defense Programs for field organizations.	DOE O 460.2A 5.e.(2)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.09	Secure copies of exemptions and approvals by contractors and provide copies to the office of Environmental Management or for NNSA organizations to the Deputy Administrator for Defense Programs.	DOE O 460.2A 5.e.(3)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.10	Issue Price-Anderson Amendments Act indemnity agreement certificates to carriers, upon their request, or notify the requesting carriers and/or the referring organization that a shipment is not covered by an indemnity agreement. NOTE: When the NRC and the consignor or consignee have entered into a licensee indemnity agreement or when it is not known whether an indemnity agreement exists, refer carriers' certification requests to the Director of the NRC Regional Office listed in Appendix D of 10 CFR Part 20.	DOE O 460.2A 5.e.(4)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.11	Negotiate with carriers or authorize cost-type contractors to negotiate with carriers concerning rates, classification ratings, services, and related transportation matters when only their own field organizations will be affected, and maintain documentation of actions taken.	DOE O 460.2A 5.e.(5)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.12	Advise other field organizations; the Office of Environmental Management; the Deputy Administrator for Defense Programs; cognizant PSOs, SOs, and LPSOs; and the NNSA Deputy Administrators of significant freight rate changes and new or changing State, Tribal, or local laws, rules, or regulations (i.e., fees, bans, or petitions).	DOE O 460.2A 5.e.(6)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.13	Issue bills of lading when required and authorize contractor employees to issue bills of lading within prescribed limitations.	DOE O 460.2A 5.e.(7)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.14	Conduct contractor/subcontractor evaluations of compliance with transportation and packaging requirements at least every 3 years.	DOE O 460.2A 5.e.(8)			WDED (G, I, M, R)	G, I, M, R	Direct Implementation (DOE O 460.2A)

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.6.15	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 5.e.(9)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.16	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.	DOE O 460.2A 5.e.(10)			WDED (G, I, M, R)	G	Direct Implementation (DOE O 460.2A)
4.6.17	Conduce site-wide transportation planning and develop reports that identify transportation needs.	DOE O 460.2A 5.e.(11)			WDED (G, I, M, R)	G, I, M, R	Direct Implementation (DOE O 460.2A)
4.6.18	Once notified, incorporate the CRD into affected site/facility management contracts via the laws, regulations, and DOE directives clause.	DOE O 460.2A 5.h			OCM (I, M)		Direct Implementation (DOE O 460.2A)
4.6.19	Ensure the Safety Analysis Report for Packaging (SARP) and Transportation Safety Analysis Report (TSRA) are submitted to the NNSA Services Center's National Security Department (NSD) at least 9 months prior to the first require shipment date.	DOE O 461.1A 5.h.(1)			WDED		* Provides support to NNSA for this function, as requested
4.6.20	Ensure HAR's are submitted to the NNSA Service Center's NSD at least 2 months before the first required shipment date. As the HAR is not used for fissile contents, the review period is much shorter.	DOE O 461.1A 5.h.(2)			WDED		* Provides support to NNSA for this function, as requested
4.6.21	Provide subject matter experts to serve as members on a TSRP.	DOE O 461.1A 5.h.(3)			WDED		* Provides support to NNSA for this function, as requested
4.6.22	Provide support to external organizations conducting safety appraisals at DOE operations/field offices, area/sites offices, and contractor sites/facilities.	DOE O 461.1A 5.h.(4)			WDED		* Provides support to NNSA for this function, as requested
4.6.23	Maintain current copies of all OTCs, OTAs, certificates of compliance and their respective SERs for packaging and transfer operations performed at their sites and/or by contractors they manage.	DOE O 461.1A 5.h.(5)			WDED		* Provides support to NNSA for this function, as requested

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.6.24 Conduct management appraisals of packaging and transportation safety programs under their cognizance at least every 24 months.	DOE O 461.1A 5.h.(6)			WDED		* Provides support to NNSA for this function, as requested
4.6.25 Ensure all personnel who support and/or perform packaging and transportation operations are trained and qualified.	DOE O 461.1A 5.h.(7)			WDED		* Provides support to NNSA for this function, as requested SRM 300.1.1B Chapter 6, Section 6.1
4.6.26 Ensure each site has DOE personnel that are assigned and trained to oversee compliance with the requirements of this Order and that oversight is performed and documented.	DOE O 461.1A 5.h.(8)			WDED		* Provides support to NNSA for this function, as requested SRM 300.1.1B Chapter 6, Section 6.1
4.6.27 Review contractor packaging procedures and quality assurance plans related to packages/packagings that contain a Type B quantity of radioactive material before their submission to the NNSA Service Center's NSD for review and approval.	DOE O 461.1A 5.h.(9)			WDED		* Provides support to NNSA for this function, as requested
4.6.28 Review and approve the contractor packaging and transportation plans.	DOE O 461.1A 5.h.(10)			WDED		* Provides support to NNSA for this function, as requested
4.6.29 Review, assess the adequacy of, tie-down procedures used in contractor-operated conveyances used onsite.	DOE O 461.1A 5.h.(11)			WDED		* Provides support to NNSA for this function, as requested

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SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.6.30	Use and promote the use of the protocols contained in SG 500, and ensure the implementation of applicable DOE Orders and manuals in the conduct of operations that are governed by this Order.	DOE O 461.1A 5.h.(12)			WDED		* Provides support to NNSA for this function, as requested
4.6.31	Ensure current version of directives are included in contracts with contractors who prepare items for shipment in the TSS, ship items in the TSS, operate OST-approved vehicles, and/or use DOE/NNSA package certification and/or offsite transportation authorization products and services.	DOE O 461.1A 5.h.(13)			OCM		* Provides support to NNSA for this function, as requested
4.6.32	Notify contracting officers when this Order applies to specific contracts, and ensure the CRD is incorporated, as appropriate.	DOE O 461.1A 5.h.(14)			OCM		* Provides support to NNSA for this function, as requested
4.6.33	Review and forward, via the NNSA Service Center, contractor requests for exemptions from the requirements of this Order to the Deputy Administrator for Defense Programs.	DOE O 461.1A 5.h.(15)			WDED		* Provides support to NNSA for this function, as requested
4.6.34	Ensure TSRs are submitted to OST on a timely basis to facilitate movement of national security materials on planned shipment dates.	DOE O 461.1A 5.h.(16)			WDED		* Provides support to NNSA for this function, as requested
4.7	Waste Management						
4.7.01	Responsible for implementing the requirements of this Order (DOE O 435.).	DOE O 435.1 5.			WDPD (I, M, R)	I, M	SRM 435.1.1A
4.7.02	Develop, document, implement, and maintain a Site-Wide Radioactive Waste Management Program.	DOE M 435.1-1 2.F.(1)			WDPD (A, R, I, M)	R, I, M	SRM 435.1.1A
4.7.03	Ensure a Radioactive Waste Management Basis is developed and maintained for each DOE radioactive waste management facility, operation, and activity; and ensure review and approval of the basis before operations begin.	DOE M 435.1-1 2.F.(2)			WDPD (C, R, A)	A, I, M	SRM 435.1.1A
4.7.04	Ensure implementation of waste minimization and pollution prevention programs.	DOE M 435.1-1 2.F.(3)			WDPD (I, M, R)	I, M	SRM 435.1.1A

	DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.7.05 DOE radioactive 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 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 action taken under the Comprehensive (CERCLA). It is DOE's policy to incorporate NEPA values into the CERCLA documentation; (e) Headquarters shall be notified of any exemption allowing use of a non-DOE disposal facility and the Office of the Assistant Secretary for Environmental Safety and Health (EM-1) shall be consulted prior to the disposal facility exemption being executed; and (f) host States and States Compacts where non-DOE facilities are located shall be consulted prior to approval of an exemption to use such facilities and notified prior to shipments being made.	DOE M 435.1-1 2.F.(4)(a)			WDPD (A, I, M, G)	A, M, R	SRM 435.1.1A

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.7.06	Ensure the management and disposal of radioactive waste resulting from environmental restoration activities, including decommissioning, meet the substantive requirements of DOE O 435.1, Radioactive Waste Management, and this Manual. Field Elements performing environmental restoration activities involving development and management of radioactive waste disposal facilities under the CERCLA process shall: (a) submit certification to the Deputy Assistant Secretary for Environmental Restoration that compliance with the substantive requirements of DOE O 435.1 have been met through application of the CERCLA process; and (b) submit the decision document, such as the Record of Decision, or any other document that serves as the authorization to dispose, to the Deputy Assistant Secretary for Environmental Restoration for approval.	DOE M 435.1-1 2.F.(5) & (5)(a)-(b)			SGP (G, I, M)	I, M	SRM 435.1.1A
4.7.07	Ensure development, review, approval, and implementation of the radioactive waste acceptance requirements for facilities that receive waste for storage, treatment, or disposal.	DOE M 435.1-1 2.F.(6)			WDPD (A, G, I, M)	I, M	SRM 435.1.1A
4.7.08	Ensure development, review, approval, and implementation of a program for waste generation planning, characterization, certification, and transfer.	DOE M 435.1-1 2.F.(7)			WDPD (A, G, I, M)	I, M	SRM 435.1.1A
4.7.09	Ensure development, review, approval, and implementation of closure plans for radioactive waste management facilities in accordance with the applicable requirements in the waste-type chapters of this Manual.	DOE M 435.1-1 2.F.(8)			WDPD (A, G, I, M)	R	SRM 435.1.1A
4.7.10	Ensure defense-in-depth principles are incorporated where potential uncertainties or vulnerabilities warrant their use when reviewing and approving radioactive waste management activities and documents.	DOE M 435.1-1 2.F.(9)			WDPD (C, M, R, I)	A, I, M, R	SRM 435.1.1A
4.7.11	Ensure oversight of radioactive waste management facilities, operations, and activities is conducted.	DOE M 435.1-1 2.F.(10)			WDPD (I)	I	SRM 435.1.1A
4.7.12	Ensure 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 (safety class and safety significant) structures, systems, and components.	DOE M 435.1-1 2.F.(11)			WDPD (A, M, R, I)	M, R	SRM 435.1.1A SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.7.13	Ensure ALARA principles for radiation protection are incorporated when reviewing and approving radioactive waste management activities.	DOE M 435.1-1 2.F.(12)			WDPD (R, M)	R, M	SRM 435.1.1A
4.7.14	Ensure 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 M 435.1-1 2.F.(13)			WDPD (A, C, M, I)	M, I	SRM 435.1.1A
4.7.15	Ensure 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 M 435.1-1 2.F.(14)			WDPD (A, G, I, M)	I	SRM 435.1.1A
4.7.16	Ensure radioactive waste is disposed in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis. Review 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. Conduct performance assessment and composite analysis maintenance.	DOE M 435.1-1 2.F.(15)		A	WDPD (A, G, I, M)	A, I, M	SRM 435.1.1A
4.7.17	Ensure monitoring is conducted for all radioactive waste management facilities as required. Ensure that disposal facilities are monitored, as appropriate, for compliance with conditions of the disposal authorization statement.	DOE M 435.1-1 2.F.(16)			WDPD (A, G, I, M)	I, M	SRM 435.1.1A
4.7.18	Ensure, 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 M 435.1-1 2.F.(17)			WDPD (I, M)	I, M	SRM 435.1.1A
4.7.19	Ensure that waste incidental to reprocessing determinations are made by either the "citation" or "evaluation" process described in Chapter II of this Manual. Ensure consultation and coordination with the Office of Environmental Management for waste determined to be incidental to reprocessing through the "evaluation" process.	DOE M 435.1-1 2.F.(18)			WDED (A, G, I, M)	I, M	SRM 435.1.1A

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.7.20	Ensure 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 may be generated. Headquarters shall be notified of the decisions to generate a waste with no identified path to disposal.	DOE M 435.1-1 2.F.(19)		A	WDPD (A, G, I, M)	I, M	SRM 435.1.1A
4.7.21	Ensure 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.	DOE M 435.1-1 2.F.(20)			WDPD (A, G, I, M)	I, M	SRM 435.1.1A
4.8	Environmental Restoration						
4.8.01	EM line managers at the field offices, rather than regulatory authorities, whenever possible, should Initiate discussions or actions between DOE and the regulatory authorities regarding compliance and cleanup issues.	Memo, June 16, 1997, Alm to Field		I	SGP (I)	I, R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.02	Involve appropriate Headquarters organizations early in negotiations to assure that draft (environmental) agreements adequately reflect the Department's positions and policies. Involve field counsel in the negotiation and approval process for new (environmental) agreements and agreement modifications.	Memo, June 16, 1997, Alm to Field		I	SGP (I)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.03	Serve as lead for the Department in (environmental) agreement negotiations.	Memo, June 16, 1997, Alm to Field		I	SGP (I)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
4.8.04 Develop and submit Negotiation Strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements. (EM delegated authority)	Memo, June 16, 1997, Alm to Field	A	I	SGP (I, G)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.05 Develop the initial draft of the (environmental) agreement. Submit draft agreement to the lead EM Program Manager for review.	Memo, June 16, 1997, Alm to Field		I	SGP (I)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.06 Submit final (environmental) agreement to lead DAS for approval.	Memo, June 16, 1997, Alm to Field		I	SGP (G)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.07 Release agreement for public comment.	Memo, June 16, 1997, Alm to Field		I	SGP (G)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.08 Promptly submit unilateral order to the appropriate DAS(s) with recommendation to accept or file appeal.	Memo, June 16, 1997, Alm to Field		I	SGP (G)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
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4.8.09 Approve (environmental) agreement modifications where modification does not (1) result in increased funding requirements; (2) involve policy provisions, (3) establish EM precedent or have system-wide impacts, or (4) impacts the 2006 Plan vision. Coordinate determination with HQ through the EM Program manager.	Memo, June 16, 1997, Alm to Field		I	SGP (I)	R	Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.10 Notify Program Manager (HQ) when a Notice of Violation has been issued.	Memo, June 16, 1997, Alm to Field		I	EQMD (I)		Review and Approval Guidance for Environmental Cleanup and Compliance Agreements, June 1997
4.8.11 Execute the Federal Facility Compliance Act (FFCA) Site Treatment Plan and Consent Order. (EM delegated authority)	NCP/RCRA Permit	A	I	EQMD (I, G)	R	SRIP 450.1
4.8.12 Execute the Federal Facility Agreement (FFA) on behalf of DOE. (EM delegated authority)	NCP/RCRA Permit	A	I	SGP (I)	R	SRIP 450.1
4.8.13 Approve FFA execution documents for submission to the EPA/State including: (1) Preliminary Assessment/Site Investigations; (2) RCRA Facility Assessment Report; (3) Remedial Investigation/Feasibility Study; (4) RCRA Facility Investigation/Corrective Measures Study Work Plans; (5) RCRA Facility Investigation/Corrective Measures Study Report; (6) Risk Assessments; and (7) Initial Screening of Alternatives. (EM delegated authority)	NCP/RCRA Permit	A	A	SGP (A, I, G, M)	R	SRIP 450.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
4.8.14	Approve Resource Conservation and Recovery Act (RCRA) closure/post closure plans, corrective action permits/orders, and RCRA operating permits. (EM delegated authority)	NCP/RCRA Permit	A	A	EQMD (R, I, G, M)	R, M	SRIP 450.1
5. PERFORM WORK							
5.1 Confirm Readiness							
5.1.01	Shut down work if a clear and present danger exists. Implement procedures to allow workers, through their supervisors, to stop work when they discover employee exposures to imminent danger conditions or other serious hazards. The procedure shall ensure that any stop work authority is exercised in a justifiable and responsible manner.	DOE O 440.1A 4.g		A	Fac Rep Council (G, I, M)	C	SRIP 420.1
5.1.02	DOE line management must determine (and ensure that contractor management determines) if Operational Readiness Reviews are required for startup or restart of nuclear facilities using the requirements in DOE O 425.1C, 4.a.(1).(a)-(f).	DOE O 425.1C 4.a.(1)		A	SRPD (I, G)	I, M, R, C	SRIP 425.1
5.1.03	DOE line management must evaluate (and ensure that contractor management evaluates) the need for performing a Readiness Assessment prior to restart.	DOE O 425.1C 4.a.(2)		I, R	SRPD (I, G)	I, M, R, C	SRIP 425.1
5.1.04	Startup authority for a new hazard category 3 nuclear facility. If other DOE Orders require a higher level of startup authorization than this Order, the official described in this Order will recommend startup to the higher-level official. (EM delegated authority)	DOE O 425.1C 4.a.(3).(a)	A	A, C, I, R	SRPD (I, G)	I, M, R, C	SRIP 425.1
5.1.05	For shutdowns directed by a DOE management official for safety or other appropriate reason, approval to restart must be granted by an official of a level commensurate with the official ordering the shutdown, unless a higher level is designated by the cognizant Secretarial Officer.	DOE O 425.1C 4.a.(3).(b)		C, I, R	SRPD (I, G)	I, M, R, C	SRIP 425.1
5.1.06	Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification. (EM delegated authority)	DOE O 425.1C 4.a.(3).(c) and (d)	A	A, C, I, R	SRPD (I, G)	I, M, R, C	SRIP 425.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
5.1.07	For facility shutdowns due to operations outside the safety basis, the official approving restart must be commensurate with the approval authority for the safety basis. If the safety basis was approved by a field official, the operations office manager (or designee) must approve restart.	DOE O 425.1C 4.a.(3).(e)		C, I, R	SRPD (I, G)	I, M, R, C	SRIP 425.1
5.1.08	For startups or restarts of nuclear facilities for which Operational Readiness Reviews were required because a DOE official deemed it appropriate, the official approving startup or restart must be of a level commensurate with the official directing the review. If a field official directed an Operational Readiness Review, the operations office manager (or designee) must approve the startup or restart.	DOE O 425.1C 4.a.(3).(f)		A, C, I, R	SRPD (G)	I, M, C, R	SRIP 425.1
5.1.09	Approve Startup Notification Reports (SNR) if you are the startup authority; otherwise, make recommendation regarding approval. (EM delegated authority)	DOE O 425.1C 4.a.(4).(b)	A	A	SRPD (I, C, G, R)	I, M, R, C	SRIP 425.1
5.1.10	For Operational Readiness Reviews, DOE line management must require contractors to prepare the following documents: startup/restart notification reports, plans of action, Operational Readiness Review implementation plans, and final reports. DOE line management must prepare its plans of action, and ensure the Operational Readiness Review team leaders prepare Operational Readiness Review implementation plans and final reports. The resolution of all findings from the Operational Readiness Reviews must be documented and maintained with the plans of action, implementation plans, and final reports.	DOE O 425.1C 4.b.(1)		A, C, I, R	SRPD (G)	I, M, C, R	SRIP 425.1
5.1.11	Develop (and ensure the contractor develops) the breadth of the Operational Readiness Review and document it in each plan of action.	DOE O 425.1C 4.b.(2)		A, C, I, R	SRPD (G)	I, M, C, R	SRIP 425.1
5.1.12	Ensure the contractor's plan of action specifies the prerequisites for starting the responsible contractor's Operational Readiness Review.	DOE O 425.1C 4.b.(3)		A, C, I, R	SRPD (G)	I, M, C, R	SRIP 425.1

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
5.1.13 Appoint (and ensure that contractor management appoints) Operational Readiness Review teams in accordance with the following qualifications and training requirements: (1) technical knowledge of the area assigned for evaluation, including experience working in the technical area; (2) knowledge of performance-based assessment processes and methods; and (3) knowledge of facility-specific information.	DOE O 425.1C 4.b.(4)(a).1-3		A, C, I, R	SRPD (G)	I, M, C, R	SRIP 425.1
5.1.14 Require that the DOE Operational Readiness Review team to determine (and ensure that the contractor's Operational Readiness Review team determines) the criteria and review approaches to be used for their review based on the approved breadth given in their plan of action. Ensure that the team (both DOE and contractor) documents the criteria and review approaches in their Operational Readiness Review Implementation Plan.	DOE O 425.1C 4.b.(5)		A	SRPD (G)	I, M, R, C	SRIP 425.1
5.1.15 Require that the DOE Operational Readiness Review team leader approve (and ensure that the contractor's Operational Readiness Review team leader approves) their respective implementation plans and use the implementation plans to conduct the Operational readiness Reviews. Require that the DOE Implementation Plan be provided to HQ for review and comment. Require the contractor to provide its Operational Readiness Review Implementation Plan to HQ for review and comment.	DOE O 425.1C 4.b.(6)		A	SRPD (G)	I, M, R, C	SRIP 425.1
5.1.16 Document their actions to verify operations office and contractor readiness, including review of closure of contractor Operational Readiness review findings, assessments of completion of defined prerequisites, and other assessments performed to ascertain readiness.	DOE O 425.1C 4.b.(7)(b)		A	SRPD (G)	I, M, R, C	SRIP 425.1
5.1.17 Upon completion of the contractor or DOE Operational Readiness Review, DOE line management must ensure the DOE Operational Readiness Review team leader prepares and approves a final report.	DOE O 425.1C 4.b.(8)		A	SRPD (G)	I, M, R, C	SRIP 425.1
5.1.18 Ensure the contractor has satisfactorily resolved all prestart findings of the DOE Operational Readiness Review prior to startup or restart of the facility.	DOE O 425.1C 4.b.(11)		A	SRPD (G)	I, M, R, C	SRIP 425.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
5.1.19	Establish procedures for their offices (and ensure the contractor establishes procedures) that specify when a Readiness Assessments is required and that provide requirements for conducting readiness assessments, including procedures by which contractors will gain operations office approval for the startup or restart of nuclear facilities.	DOE O 425.1C 4.c.(1)		A	SRPD (G)	I, M, R, C	SRIP 425.1
5.2	Perform Work Safely						
5.2.01	Recruit, deploy, develop, and retain Federal personnel with the demonstrated technical capability to safely accomplish the Department's missions and responsibilities.	DOE P 426.1 Purpose and Scope			HRMDD (I, G, M)	I, M, R, C	DOE-SR 5-Year WMP SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1
5.2.02	Employees who exercise supervisory functions shall, to the extent of their authority, furnish employees employment and a place of employment which are free from recognized hazards that are causing or are likely to cause death or serious physical harm.	Title 29 CFR 1960.9			SRPD (I, M, G)	I, M	SRIP 440.3
5.2.03	Employees who exercise Supervisory functions shall to the extent of their authority, ...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 program.	Title 29 CFR 1960.9			SRPD (I, M, G)	I, M	SRIP 440.3
5.2.04	Ensure that program-specific worker protection goals and objectives are developed and resources are provided. (EM delegated authority)	DOE O 440.1A 5.a.(1)	A	A	SRPD (I, M, G)	I, M, R	SRIP 440.3
5.2.05	Ensure that worker protection policies and requirements are effectively implemented. (EM delegated authority)	DOE O 440.1A 5.a.(2)		A	SRPD (I, M)	I, M, R	SRIP 440.3
5.2.06	Develop or participate in recognition programs that encourage the improvement of worker protection programs. (EM delegated authority)	DOE O 440.1A 5.a.(3)		A	SRPD (I, M)	I, M, R	SRIP 440.3

		DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)						
5.2.07 Ensure through the Contracting Officer that contractors implement effective worker protection programs.	DOE O 440.1A 5.b.(1)		A	SRPD (G, M) OCM (Contracts) (G, M)	I, M	SRM 130.2.1A
5.2.08 Review contractor worker protection program budgets and provide recommendations to the funding official on the appropriateness of the budget request.	DOE O 440.1A 5.b.(2)		A	SRPD (C, G)	I, M	SRM 130.2.1A
5.2.09 Provide contractors with technical direction on and criteria for the development of contractor goals, objectives, and performance measures. (worker protection programs)	DOE O 440.1A 5.b.(3)		A	SRPD (I, M, R)	I	Direct Implementation (DOE O 440.1A)
5.2.10 Hold DOE line personnel accountable for providing technical direction to contractors (worker protection programs) that is consistent with the requirements contained in this Order.	DOE O 440.1A 5.b.(4)		I	DMB (I, M, G) DMC (I, M, G)	I	SRM 300.1.1B Chapter 5, Section 5.2
5.2.11 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 440.1A 5.b.(5)		A	SRPD (G)	I	
5.2.12 Review and forward to DOE Headquarters 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 440.1A 5.b.(6)		A	SRPD (G, M, I)	I	SRIP 223.4 SRIP 430.1
5.2.13 Ensure that unannounced worker protection inspections of contractor workplaces are conducted at least annually.	DOE O 440.1A 5.c.(1)		A	SRPD (I)	I	Direct Implementation (DOE O 440.1A)

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
5.2.14 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 ensure that appropriate actions have been taken to preclude recurrence.	DOE O 440.1A 5.c.(2)		A	Fac Rep Counsel (G, M, I)	I, M	SRIP 420.1
5.2.15 Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Order or by modifying the contract to incorporate the CRD (Attachment 2) requirements.	DOE O 440.1A 5.c.(3)		A	SRPD (M, R, G, I)	R, M	SRIP 251.2
5.2.16 Ensure that initiators of procurement requests specify therein whether requirements in the CRD (Attachment 2) are to be applied to the resulting award or subawards.	DOE O 440.1A 5.c.(4)		I	OCM (I, M, C)	I	Direct Implementation (DOE O 440.1A)
5.2.17 Designate a project manager for each construction project.	DOE O 440.1A Attachment 1, 1.b.(1).(a)		A	OCPM (C, G, I, M, R)	R, C	SRM 300.1.1B Chapter 6, Section 6.1 SRM 410.1.1D
5.2.18 Ensure that project managers are provided with the training, resources, and technical support necessary to perform the duties prescribed by this Order.	DOE O 440.1A Attachment 1, 1.b.(1).(b)		I	OCPM (C, G, I, M, R)	R, I	SRM 300.1.1B Chapter 6, Section 6.1 SRM 410.1.1D
5.2.19 Develop formal written agreements/implementing instructions as needed to delineate the respective construction safety responsibilities/duties of DOE project management and technical, support staffs as well as affected site contractors.	DOE O 440.1A Attachment 1, 1.b.(1).(c)			WDED (G, M)	R, C, I, M	
5.2.20 Review safety and health programs developed for site maintenance and operational activities to determine their applicability and cost effectiveness on construction projects.	DOE O 440.1A Attachment 1, 1.b.(1).(d)			WDED (G, M)	R, C, I, M	
5.2.21 Direct the development and implementation of a system for evaluating the effectiveness of construction contractor safety and health programs on fixed-price construction projects and apply this system to the determination of bidder responsibility on future construction projects. (Refer to Federal Acquisition Regulation 36.201.)	DOE O 440.1A Attachment 1, 1.b.(1).(e)			WDED (G, M)	R, C, I, M	

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
5.2.22	Ensure that applicable requirements of this Order are specified within construction project acquisition documents.	DOE O 440.1A Attachment 1, 1.b.(1).(f)			OCM (I, G, M)	R, C	
5.2.23	Implement a comprehensive fire protection program with the objective of providing an acceptable level of safety from fire and related hazards for DOE Federal personnel and for the public.	DOE O 440.1A Attachment 1, 2.a.		I	OSSES (I, C, G, M)	R, C, I	
5.2.24	Ensure effective implementation and control of the firearms safety program.	DOE 440.1A Attachment 1, 3.b.(1)(a)		I	OSSES (I, G, M)	R, C, I	
5.2.25	Approve the location and use of the contractor's live fire ranges.	DOE O 440.1A Attachment 1, 3.b.(1)(b)		A	OSSES (C, I)		
5.2.26	Implement a comprehensive and effective industrial hygiene program to reduce the risk of work-related disease or illness.	DOE O 440.1A Attachment 1, 5.			SRPD (I, M, R, G)	I, M, R	SRIP 440.3
5.2.27	Establish safety policies and procedures to ensure pressure systems are designated, fabricated, tested, inspected, maintained, repaired, and operated by trained and qualified personnel in accordance with applicable and sound engineering principles	DOE 440.1A Attachment 1, 6.a.		A	WDED (I, R, M)	I, R	
5.2.28	Implement a Motor Vehicle Safety Program to protect the safety and health of all drivers and passengers in Government-owned or leased motor and powered industrial equipment (i.e., for trucks, tractors, platform lift trucks, and other similar specialized equipment powered by an electronic or an internal combustion engine,	DOE 440.1A Attachment 1, 7.			SRPD (G)	I	SRIP 440.3
5.2.29	Implement Federal employee occupational safety and health (FEOSH) requirements [and programs that meet the requirements of section 19 of the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR part 1960, and amplifying DOE directives].	DOE M 411.1-1C 2. DOE O 440.1A		A	SRPD (I, G)	I	SRIP 440.3
5.2.30	Require that contractors prepare and submit chronic beryllium disease prevention programs (CBDPPs) to their DOE Field Element Manager before beginning beryllium activities.	Title 10 CFR 850 10(a)		A	SRPD (I, M)		M&O Contract WSRC 4Q, Procedure 209
5.2.31	Review and approve all contractor CBDPPs.	Title 10 CFR 850 10(b)		A	SRPD (I, R, C)		M&O Contract WSRC 4Q, Procedure 209

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
5.2.32 Review the CBDPP at least annually.	Title 10 CFR 850 10(c)			SRPD (I)		Direct Implementation (Title 10 CFR 850)
5.2.33 Give the labor organization timely notice of the development and implementation of the CBDPP and any updates thereto; and, upon timely request, bargain concerning implementation of this part, consistent with Federal labor laws.	Title 10 CFR 850 10(d)		I	SRPD (M, R)		Direct Implementation (Title 10 CFR 850)
5.2.34 Ensure that radiation exposures to its workers and the public and releases of radioactivity to the environment are maintained below regulatory limits and deliberate efforts are taken to further reduce exposures and releases as low as reasonably achievable.	DOE P 441.1 3.			SRPD (I, M)	I, M	SRIP 223.4 SRIP 430.1 SRIP 441.1
5.2.35 Implement provisions of this Order (Radiation Protection of the Public and Environment) for their respective activities.	DOE 5400.5 9.(3).(a)		A	EQMD (G, I)	I, M	SRIP 450.1
5.2.36 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 5400.5 9.(3).(b)		A	EQMD (G, I)	I, M	SRIP 450.1
5.2.37 Process specific requests for exceptions (Radiation Protection) to this Order, pursuant to paragraph II.la(4) (DOE O 5400.5)	DOE 5400.5 9.(3).(c)		A	EQMD (G, I)	I, M	SRIP 450.1
5.2.38 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 EH-1 at the earliest practicable time.	DOE 5400.5 9.(3).(d)		A	EQMD (G)	I, M	SRIP 450.1
5.2.39 Ensure that Program Manager oversee the conduct of operations at those facilities under their cognizance in accordance with the requirements of this Order (DOE 5480.19). (per EM FRA)	DOE 5480.19 6.a.(3)			SRPD (I, M)	I, M	SRIP 430.1
5.2.40 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. (DOE O 5480.19)	DOE 5480.19 6.c.(1)			SRPD (I)	I, M	SRIP 430.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
5.2.41	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 (DOE 5480.19) and the direction received from the Program Manager.	DOE 5480.19 6.c.(2)		A	Fac Rep Council (C, G, I, M)	M	SRIP 430.1
5.2.42	Approve documentation prepared by the field element and contractor to demonstrate conformance to the guidelines in Attachment 1, Guidelines for the Conduct of Operations at DOE facilities.	DOE 5480.19 6.c.(3)		A	SRPD (I, R, C)	I, R, C	SRIP 251.2
5.2.43	Assure compliance with the mandatory standards of this Order. (Environmental Protection, Safety and Health Protection Standards)	DOE 5480.4 8.b.(1)			EQMD (I, G, M)	I	SRIP 450.1
5.2.44	Notify EH-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.	DOE 5480.4 8.b.(2)		I	EQMD (I, G, M)		SRIP 450.1
5.2.45	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 (DOE O 5480.4).	DOE 5480.4 8.b.(3)		C	EQMD (I, G, M)	I	SRIP 450.1
5.2.46	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.	DOE 5480.4 8.b.(4)			EQMD (I, G, M)	I	SRIP 450.1
5.2.47	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.	DOE 5480.4 8.b.(5)			EQMD (I, G, M)	I	SRIP 450.1
5.2.48	Identify needs to EH-1 for new standards to address environment, safety, and health concerns.	DOE 5480.4 8.b.(6)			EQMD (I, G)		SRIP 450.1

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
5.2.49 Ensure 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 433.1 5.a		A	NMED (I, C, M)	R, C, I	DOE-SR 5-Year WMP SRM 300.1.1B Chapter 3, Section 3.1 Direct Implementation (DOE O 433.1 and DOE G 433.1-1)
5.2.50 Ensure 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, and environmental protection objectives.	DOE O 433.1 5.b		I	NMED (I, C, M)	R, C, I	Direct Implementation (DOE O 433.1 and DOE G 433.1-1)
5.2.51 Ensure that the responsibility, authority, and accountability for maintenance are clearly defined, appropriately assigned, and executed.	DOE O 433.1 5.c		I	NMED (I, C, M)	R, C, I	Direct Implementation (DOE O 433.1 and DOE G 433.1-1)
5.2.52 Ensure that DOE operational awareness review and analysis capability exists for evaluation of maintenance program performance and effectiveness.	DOE O 433.1 5.d		I	NMED (I, C, M)	R, C, I	Direct Implementation (DOE O 433.1 and DOE G 433.1-1)
5.2.53 Ensure 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.	DOE O 433.1 5.e		I	NMED (I, C, M)	R, C, I	Direct Implementation (DOE O 433.1 and DOE G 433.1-1)
5.2.54 Ensure that the requirements and standards for maintenance of nuclear facilities are incorporated into contracts and subcontracts, including support services contracts, as appropriate.	DOE O 433.1 5.f		I	NMED (I, C, M)	R, C, I	Direct Implementation (DOE O 433.1 and DOE G 433.1-1)

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
5.2.55	Develop and implement effective aviation operations, airworthiness, security, and safety programs that meet the requirements of this Order (DOE O 440.2B)	DOE O 440.2B 5.f.(1)		I	OSSES (I, G, M)		SRM 440.2.1B
5.2.56	Ensure the effectiveness of contractor aviation operations, airworthiness, and safety programs.	DOE O 440.2B 5.f.(4)			OSSES (I, G, M)		SRM 440.2.1B
5.2.57	Appoint an Aviation Program Manager or Aviation Safety Officer or both, depending upon the scope of operations, number of aviation operations conducted or aircraft assigned.	DOE O 440.2B 5.f.(5)		I	OSSES (I, G)		SRM 440.2.1B
5.2.58	Recommend a person to the Director, Office of Aviation Management for appointment to the Aviation Board of Directors.	DOE O 440.2B 5.f.(6)		C	OSSES (I, R, C)		SRM 440.2.1B
5.3	Quality Assurance						
5.3.01	(1) Develop and implement approved Quality Assurance Programs (QAP) governing the work under their purview, including software development/use, in accordance with requirements defined in paragraph 4 of this Order (DOE O 414.1B); suspect/counterfeit items (S/Ci) prevention requirements; and the Corrective Action Management Program (CAMP) requirements. (2) Identify the senior management position assigned this responsibility.	DOE O 414.1B 5.c.(1)		A	SRPD (1) (I, R, G, M) MGR (2) (A)	I, M	SRM 414.1.1C
5.3.02	Submit QAPs to the appropriate Secretarial Officer for review, resolution of differences of opinion, and approval.	DOE O 414.B 5.c.(2)		A	SRPD (G, I, M, C)	I, C, M	SRM 414.1.1C
5.3.03	Review and where delegated authority to do so, approve new and revised QAPs for contractors within their purview. The scope and rigor of review must be graded based on the status of the contractor's prior quality performance (e.g., past regulatory/contract noncompliance, performance metrics, or any third-party QAP certification). QAPs must be reviewed and approved or rejected within 90 days of receipt. Review and approve annual updates. (EM delegated authority)	10 CFR 830 Subpart A, 121(b)(1), (2), (3) DOE O 414.1B 5.c.(3) [Also 5.b.(5) and (6)]	A	A	SRPD (C, G, M, I)	I, M	SRM 414.1.1C

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
5.3.04	Perform independent assessments of contractor organizations to evaluate the adequacy and QAP implementation effectiveness. 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 414.1B 5.c.(4)			SRPD (I, M, G)	I, M	SRM 414.1.1C
5.3.05	Periodically report management assessment results to their organizations' Secretarial Officer describing the effectiveness of field element and contractor QA implementation.	DOE O 414.1B 5.c.(5)		A	SRPD (I, G, M)	I, M	SRM 414.1.1C
5.3.06	Prepare and implement a Corrective Action Plan (CAP) to address all findings in the CAMP assessment report and enter, track, and report the status of the CAP in the Corrective Action Tracking System (CATS).	DOE O 414.1B 5.c.(6)			SRPD (I, G, M)	R, M, C, I	SRM 414.1.1C
5.3.07	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 414.1B 5.c.(7)			SRPD (I, G, M)	R, M, C, I	SRM 414.1.1C
5.3.08	Implement suspect and counterfeit (S/CI) controls as part of the DOE's Quality Assurance Program to the extent commensurate with the risks posed by the facility to ensure that the controls contribute to a hazard-free workplace.	DOE O 440.1A Attachment 1, 8. DOE O 414.1B Attachment 3		M	DECP (R)	M	Direct Implementation (DOE Order 440.1A and DOE O 414.1B)
6.	COLLECT FEEDBACK AND PURSUE IMPROVEMENT						
6.1	Lessons Learned Program						
6.1.01	Implement Department policy concerning lessons learned in accordance with this technical standard.	DOE-STD-7501-99 4.3.3		M	SRPD (I, M)	I, M	WSRC Contract WSRC 1B Procedure 4.14

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
6.1.02	Provide resources for developing, implementing, and maintaining a tailored lessons learned program at their organization level, and coordinating with the Headquarters Lessons Learned Lead Office, as defined in this technical standard.	DOE-STD-7501-99 4.3.3		M	SRPD (I, M)	I, M	WSRC Contract WSRC 1B Procedure 4.14
6.1.03	Identify and provide support to Lessons Learned Manager(s) /Coordinator(s) who facilitate implementation and operation of Lessons Learned Programs.	DOE-STD-7501-99 4.3.3			SRPD (I, M)	M	WSRC Contract WSRC 1B Procedure 4.14
6.1.04	Ensure that the lessons learned program is incorporated into organizational responsibilities.	DOE-STD-7501-99 4.3.4			SRPD (I, M)	M	WSRC Contract WSRC 1B Procedure 4.14
6.1.05	Assign and support personnel under their supervision to administer the lessons learned infrastructure mechanisms that the organization establishes.	DOE-STD-7501-99 4.3.4			SRPD (I, M)	M	WSRC Contract WSRC 1B Procedure 4.14
6.1.06	Ensure that actions planned or initiated to address lessons learned are implemented.	DOE-STD-7501-99 4.3.4			SRPD (I, M)	M	WSRC Contract WSRC 1B Procedure 4.14
6.1.07	Ensure that lessons learned information is included in the planning and execution of work within the scope of their responsibility.	DOE-STD-7501-99 4.3.4			SRPD (I, M)	M	WSRC Contract WSRC 1B Procedure 4.14
6.1.08	Evaluate effectiveness of lessons learned programs and report to senior management.	DOE-STD-7501-99 4.3.4			SRPD (I, M)	M	SRIP 223.4
6.1.09	Implement the DOE Contractor Employee Protection Program in accordance with 10 CFR 706, Subparts B and C	10 CFR 708 Subparts B and C		A	OCR (G, I, M)	I	SRIP 442.1
6.1.10	Designate the management position or positions responsible for developing and implementing the ECP.	DOE O 442.1A 5.b.(1)		A	MGR (A)		SRIP 442.1
6.1.11	Direct the ECP and provide adequate resources and training for effective implementation.	DOE O 442.1A 5.b.(2)			OCR (G, I, M)	I	SRIP 442.1 SRM 300.1.1B Chapter 3, Section 3.1 Chapter 6, Section 6.1 DOE-SR 5-Year WMP

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
6.1.12	Ensure implementation of ECPs required by contract for contractors under their jurisdiction.	DOE O 442.1A 5.b.(3)			OCR (G, I, M)	I	SRIP 442.1
6.1.13	Use management assessment results to verify the adequacy and implementation of the ECP and improve performance.	DOE O 442.1A 5.b.(4)			OCR (G, I, M)	I	SRIP 442.1
6.2	Occurrence Reporting and Processing System (ORPS)						
6.2.01	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. (EM delegated authority)	DOE O 231.1A 5.c.(3).(a) DOE M 231.1-2 4.2.a	A	A	SRPD (I, M)	A, I, M	SRIP 430.1
6.2.02	Ensure training programs are established for both DOE and contractor personnel. (EM delegated authority)	DOE M 231.1-2 4.2.e	A	A	SRPD (I, G, M)	I, M	SRM 300.1.1B Chapter 6, Section 6.1
6.2.03	Ensure that occurrence reporting requirements listed in the Contractor Requirements Document (CRD) for DOE M 231.1-2 are applied as appropriate to contracts within 3 months after this Order is approved.	DOE O 231.1A 5.b.(5)(a)		A	SRPD (I, G, M, R, C)	I, M, R, C	SRIP 251.2
6.2.04	Ensure that agreements for carrying out occurrence reporting requirements of this Order are established with responsible Secretarial Officers or Deputy Administrators, NNSA.	DOE O 231.1A 5.b.(5)(b)		A	SRPD (C, G, R, I)	I, R, C	Direct Implementation (DOE O 231.1A)
6.2.05	Assess contractor capability and performance is carrying out the occurrence reporting requirements of this Order and take actions to correct any weaknesses.	DOE O 231.1A 5.b.(5)(c)			SRPD (M)	M	SRIP 223.4
6.2.06	Provide technical support as necessary to facility representatives or line management staff responding to reportable occurrences.	DOE O 231.1A 5.b.(5)(d)			SRPD (G, I)	I	SRIP 430.1
6.2.07	Direct facility representatives and/or line management designees to fulfill the occurrence reporting responsibilities required by this Order.	DOE O 231.1A 5.b.(5)(e)		I	SRPD (M)	I	SRIP 430.1
6.2.08	Ensure that agreements are established with responsible Secretarial Officers or Deputy Administrators (NNSA) on the working relationship between the Secretarial Officer or Deputy Administrator and the Field Element for the purpose of carrying out the requirements of this Manual. (Occurrence Reporting and Processing of Operations Information)	DOE M 231.1-2 4.5.a		A	SRPD (C, G, I, R)	I, R, C	Direct Implementation (DOE M 231.1-2)

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
6.2.09	Assess capability and performance of the facility personnel in carrying out the requirements of this Manual, (Occurrence Reporting), in accordance with established agreements with the responsible Secretarial Officers or Deputy Administrators (NNSA).	DOE M 231.1-2 4.5.b			SRPD (M)	I, M	SRIP 430.1
6.2.10	Provide technical support as necessary to Facility Representatives and line management staff in responding to any reportable occurrence, in accordance with established agreements with the responsible Secretarial Officers or Deputy Administrators (NNSA).	DOE M 231.1-2 4.5.c			SRPD (G, I)	I	SRIP 430.1
6.2.11	Designate and direct Facility Representatives and Designees to fulfill the responsibilities required by this Manual. (Occurrence Reporting and Processing of Operations Information)	DOE M 231.1-2 4.5.d			SRPD (M)	I	SRIP 430.1 SRM 300.1.1B Chapter 6, Section 6.1
6.2.12	Ensure the requirements in the Contractor Requirement Document (CRD) for DOE M 231.1-2 are applied to applicable contracts within 3 months after approval of this Order.	DOE M 231.1-2 4.5.e		A	SRPD (I, G, M, R, C)	I, M, R, C	SRIP 251.2
6.2.13	Ensure initiators of procurement requests identify in procurement requests whether the requirements in the CRD for DOE M 231.1-2 are to be applied to the award or sub awards resulting from the procurement request and any special instructions for the application of the CRD.	DOE M 231.1-2 4.5.f			OCM (I, M)	I, C	
6.2.14	Notify the cognizant Secretarial Officer or Deputy Administrator (NNSA) of all Significance Category 1 Occurrences. (EM delegated authority)	DOE M 231.1-2 4.6.i			SRPD (I, M, R, G)	I	
6.3	Environment, Safety, and Health Reporting						
6.3.01	Meet reporting requirements listed in DOE M 231.1-1A (ES&H Reporting) and DOE M 231.1-2.	DOE O 231.1A 5.b			SRPD (I, M, R, G)	I, M	SRIP 231.1 SRIP 430.1 SRIP 441.1

SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)	DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
6.3.02 Report annually on progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision; and (b) prepare an annual NEPA planning summary.	DOE O 231.1A 5.b.(1)(a)-(b)		A	EQMD (G, I)	I, C	SRIP 231.1
6.3.03 Environmental Protection Program Reporting. Ensure that the reporting requirements of DOE O 450.1, Executive Order 13148, and Executive Order 13101 are achieved. (DOE M 231.1-1A, Chapter I)	DOE O 231.1A 5.b.(2)		A	EQMD (G, I)	I, C	SRIP 231.1
6.3.04 Prepare summaries of environmental data annually to characterize site environmental management performance. (DOE M 231.1-1A, Chapter I.)	DOE O 231.1A 5.b.(3)		A	EQMD (G, I)	I, C	SRIP 231.1
6.3.05 Report information on accidents that results in DOE employee fatalities or multiple hospitalizations to the Assistant Secretary for Environment, Safety and Health. (See requirements in 29 CFR 1960.70, "Reporting of Serious Accidents.")	DOE O 231.1A 5.b.(4)			SRPD (G, I)	I	SRIP 231.1
6.4 Assessments						
6.4.01 Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.	DOE O 414.1B 4.b.(9)			SRPD (Technical) CHREOT (Self- Assessments)	I, M	SRM 414.1.1C SRIP 223.4 SRIP 223.6
6.4.02 Plan and conduct independent assessments to measure item and service quality and the adequacy of work performance, and to promote improvement.	DOE O 414.1B 4.b.(10)(a)			SRPD (Technical) CHREOT	I, M	SRM 414.1.1C SRIP 223.4 SRIP 223.6

		DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)	Driver (A)					
6.4.03 Establish sufficient authority and freedom from line management for independent assessment teams.	DOE O 414.1B 4.b.(10)(b)			SRPD (Technical) CHREOT	I, M	SRM 414.1.1C SRIP 223.4 SRIP 223.6
6.4.04 Ensure that persons conducting independent assessments are technically qualified and knowledgeable in the areas to be assessed.	DOE O 414.1B 4.b.(10)(c)			SRPD (Technical) CHREOT	I, M	SRM 414.1.1C SRIP 223.4 SRIP 223.6
6.4.05 Review draft appraisal reports for factual accuracy, and prepare corrective action plans within the time frames prescribed in this Order.	DOE O 470.2B 5.d.(2)			OESH		Assigned on a case-by-case basis
6.4.06 Take timely and appropriate corrective action to address the findings identified in the appraisal report by ensuring corrective action plans are coordinated with the Cognizant Secretarial Officer (CSO) and Cognizant Line Manager; develop to address the findings identified by the appraisal report; submitted within prescribed time frames; approved by the appropriate official at the field element with a recommendation for approval by the CSO; provide to the CSO, or designee, for approval; and implemented and tracked to completion and closure (through verification).	DOE O 470.2B 5.d.(3)			OESH		Assigned on a case-by-case basis
6.4.07 Provide, to the Office of Independent Oversight and Performance Assurance (OA), the requested documentation, points of contact, and information concerning programs under their jurisdiction; ensure necessary support, access to sites, facilities, and operations, and requested work space for the appraisal team in support of OA appraisal activities; and participate in special study groups.	DOE O 470.2B 5.d.(4)			OESH		Assigned on a case-by-case basis
6.5 Accident Investigations						
6.5.01 Categorize the type of accident investigation to be conducted in accordance with Attachment 2. The categorization of all Type A and Type B accident investigations shall be reported in a timely manner to the Office of the Deputy Assistant Secretary for Oversight.	DOE O 225.1A 5.c.(3)			SRPD (G, M)	C, I, R	SRIP 225.1
6.5.02 Serve as Appointing Officials for Type B or delegated Type A Accident Investigation Boards.	DOE O 225.1A 5.c.(4)		A, I	SRPD (G, M)		SRIP 225.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
6.5.03	Ensure establishment of accident investigation capability by trained contractor readiness team(s) (see Attachment 1). This includes the responsibility for providing training required to assure readiness to assist in DOE accident investigations.	DOE O 225.1A 5.c.(5)		A	SRPD (G, M)	I	SRIP 225.1
6.5.04	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 225.1A 5.c.(6)		A	SRPD (G, M)	I	SRIP 225.1
6.5.05	Provide cooperation with and assistance to DOE Accident Investigation Boards.	DOE O 225.1A 5.c.(7)		A	SRPD (G, M)	I	SRIP 225.1
6.5.06	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 225.1A 5.c.(8)		A	SRPD (G, M)	I	SRIP 225.1
6.5.07	Review draft Type A and Type B investigation reports for factual accuracy within the time frame allowed for the investigation.	DOE O 225.1A 5.c.(9)			SRPD (G, M)	I, R	SRIP 225.1
6.5.08	Develop lessons learned for Type B accident investigations when serving as the Appointing Official.	DOE O 225.1A 5.c.(10)		A	SRPD (G, M)	I	SRIP 225.1
6.5.09	Initiate actions to address applicable lessons learned from investigations conducted at other DOE sites.	DOE O 225.1A 5.c.(11)			SRPD (G, I)	R	SRIP 225.1
6.5.10	Ensure that corrective action plans are: (a) developed to address judgments of need identified by the Board and submitted to the responsible Secretarial Officer (program office) and to the Office of the Deputy Assistant Secretary for Oversight, nominally within 30 calendar days of report acceptance by the Appointing Official; and (b) submitted to the responsible Secretarial Officer for approval; (c) submitted to the Office of the Deputy Assistant Secretary for Oversight for review; and (d) implemented and tracked to completion.	DOE O 225.1A 5.c.(12)		A	SRPD (C, G, I, M)	I, M	SRIP 225.1
6.5.11	Provide biannual (in January and July of each year) status reports of accident investigation corrective actions to the Office of the Deputy Assistant Secretary for Oversight until all corrective actions are completed.	DOE O 225.1A 5.c.(13)		A	SRPD (C, G, I, M)	M, R	SRIP 225.1

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
6.6	Make Changes to Improve						
6.6.01	Be accountable for becoming and remaining cognizant of all relevant sources of information bearing upon their activities; i.e., for maintaining contact with other organizations and facilities that have similar activities, both within and external to DOE, and from whom best current practices can be learned. (per EM FRA)	DOE M 411.1-1C DOE P 450.4 DOE-STD-7501-99		I, M	DMB (G, I, M) DMC (G, I, M)	I, M	Direct Implementation of Appropriate Driver
6.6.02	Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and the lessons learned. (per EM FRA)	DOE O 470.2B DOE-STD-7501-99 DOE O 414.1B		I, M	DMB (G, I, M) DMC (G, I, M)	I, M	Direct Implementation of Appropriate Driver
6.6.03	Develop and maintain a process to ensure that information from various feedback sources are evaluated in an integrated manner and corrective actions are prioritized based upon importance. (per EM FRA)	DOE P 450.4		I, M	DMB (G, I, M) DMC (G, I, M)		Direct Implementation (DOE P 450.4)
6.6.04	Encourage and promote the sharing of environment, safety, and health information and resources.	DOE P 450.1			OESH (G, I, M)	I, M	Direct Implementation (DOE P 450.1)
6.7	Line Management Oversight						
6.7.01	Maintain operational awareness of contractor work activities, typically through DOE local line managers and staff such as facility representatives, subject matter experts, and other specialists.	DOE P 450.5 2.a			SRPD (I, M, G)	I, M	SRIP 223.4 SRIP 430.1
6.7.02	Review (contractor) performance against formally established ES&H performance measures, other ES&H performance indicators, and using contractor self-assessments.	DOE P 450.5 2.b		M	SRPD (I, M)	I, M	SRIP 223.4 SRIP 430.1 EM PMP PEMP
6.7.03	Review and assess (contractor) in support of required readiness assessments, operational readiness reviews, Safety Management System documentation and onsite verifications reviews, and authorization basis document reviews.	DOE P 450.5 2.c		M	SRPD (I, M)	I, M	SRIP 223.4 SRIP 430.1 SRIP 421.1 SRIP 425.1

		DOE-SR Responsibility and Assignments				DOE-SR Implementing Procedures/Documents (F)
		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)						
6.7.04 Conduct a periodic, value-added appraisal of sufficient frequency and duration to confirm the contractor's safe performance of work and the effectiveness of the self-assessment program. A cost-effective appraisal meeting the intent of this policy might need to be no more than 2 weeks in duration and no more than once a year at each site. The scope of periodic appraisals, including additional areas of review, is determined by field elements with input from Headquarters and the contractor. DOE uses the analysis of contractor self assessment results, performance measures and operational awareness, as input to scoping the annual appraisal. Appraisals by non-line organizations, such as EH, or external organizations, such as the Environmental Protection Agency and state agencies, are fully considered and not ordinarily duplicated. The appraisals are conducted primarily by DOE employees. Issues identified by unresolved during a periodic appraisal are referred to local DOE personnel (facility representatives, etc.) for further examination.	DOE P 450.5 2.d		I	SRPD (G, R)	I, M	SRIP 223.4 SRIP 430.1
6.7.05 Conduct for-cause reviews, as necessary.	DOE P 450.5 2.e		M	SRPD (I, M, G)	I	SRIP 223.4 SRIP 430.1 SRIP 225.1
6.8 Price Anderson Enforcement						
6.8.01 Refer potential nuclear safety violations to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820.70, "Procedural Rules for DOE Nuclear Activities," where appropriate. Provide information and support investigations. Participate in enforcement conferences with the office of Enforcement and Investigation. (per EM FRA)	Price Anderson Amendment Act Title 10 CFR 820			SRPD (G, I, M)	I, M	EH-6 Guidance Documents
6.9 Interface with Defense Nuclear Facility Safety Board						
6.9.01 Designate a single point of contact with the authority to represent his/her organization and work with the Departmental Representative and his/her staff in Board-related matters.	DOE M 140.1-1B 3.d.(1)		A	OESH (G, R, C)		Direct Implementation (DOE M 140.1-1B)

		DOE-SR Responsibility and Assignments					
SAFETY MANAGEMENT FUNCTIONS (Field Element Manager responsibility and authorities)		Driver (A)	Delegated CSO ¹ Authorities (B)	Manager, DOE-SR (C)	PDO/ DOE-SR Lead Orgs (D)	DOE-SR Line Orgs (E)	DOE-SR Implementing Procedures/Documents (F)
6.9.02	Ensure contractors (management and operating contractors, weapons laboratory contractors, integrating contractors, environmental restoration and management contractors, etc.) acknowledge and implement their interface responsibilities as delineated in this Manual (see Attachment 1, Contractor Requirements Document).	DOE M 140.1-1B 3.d.(2)		I	OCM (G, I)	I	Direct Implementation (DOE M 140.1-1B)
6.9.03	Resolve conflicts between Departmental personnel and Board staff. If difficulty persists, notify the Departmental Representative.	DOE M 140.1-1B 3.d.(3)		I	OESH (G)		Direct Implementation (DOE M 140.1-1B)
6.9.04	For each Board recommendation or letter requesting action and for each Departmental commitment to the Board, manage the response, planning, implementation, tracking, and closure of the recommendation, action request, and/or associated commitments.	DOE M 140.1-1B 3.f.(1)		A	OESH (G, I, M)	R, C, I	Direct Implementation (DOE M 140.1-1B)
6.9.05	Provide status updates to the Safety Issues Management System.	DOE M 140.1-1B 3.f.(2)			OESH (G, I, M)	R, C, I	Direct Implementation (DOE M 140.1-1B)
6.9.06	Prepare, coordinate, and transmit a closure package to the Board upon commitment completion.	DOE M 140.1-1B 3.f.(3)		A	OESH (G, I, M, R)	R, C, I	Direct Implementation (DOE M 140.1-1B)
6.9.07	Delegate day-to-day activities to a working level manager or technical lead, if desired.	DOE M 140.1-1B 3.f.(4)		A	OESH (I)		Direct Implementation (DOE M 140.1-1B)
6.9.08	Keep the cognizant Secretarial Officer informed of any issues that need senior management attention.	DOE M 140.1-1B 3.f.(5)		A	OESH (G, I, R)	I	Direct Implementation (DOE M 140.1-1B)
6.9.09	For cross-organizational issues, coordinate with the appropriate Headquarters and field managers in the other organization to implement the safety issue resolutions, consistent with the boundaries and authorities established by the controlling plan, commitment documents, or organizational memorandums of agreement.	DOE M 140.1-1B 3.f.(6)		A	OESH (G, I, R)	I	Direct Implementation (DOE M 140.1-1B)

Footnote 1 Limited CSO authorities have been delegated, without further re-delegation, to Jeffrey Allison, Manager, DOE-SR from Paul Golan, Acting Assistant Secretary for Environmental Management, "Delegation of Authority," dated December 17, 2004 (delegations expire December 31, 2005).