U.S. DEPARTMENT OF ENERGY

OFFICE OF HEALTH, SAFETY AND SECURITY

INTEGRATED WORK MANAGEMENT SYSTEM DESCRIPTION

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Integrated Work Management System Description

CONTENTS

1.0 **Introduction and Objective** 5

1.1 Scope 8

1.2 Change Control 9

1.3 Safety Performance Objectives, Measures and Commitments 9

2.0 **HSS Mission** 11

2.1 HSS General Functions 11

2.2 HSS General Functions and their sub-functions 12

2.2.1 Policy 12

2.2.2 Assistance 13

2.2.3 Training 15

2.2.4 Oversight 15

2.2.5 Enforcement 16

2.2.6 Management 17

3.0 **HSS Work Processes Overview** 19

3.1 HSS Organization 19

3.2 HSS Functions, Responsibilities and Authorities Matrix 22

3.3 HSS Work Practices Manual 22

3.3.1 Policy 24

3.3.2 Assistance 25

3.3.3 Training....26

3.3.4 Oversight....27

3.3.5 Enforcement....29

3.3.6 Management....29

4.0 **HSS Interfaces with Other Organizations**....31

4.1 Office of the Chief Information Officer (OCIO)....31

4.2 Office of Intelligence and Counterintelligence (IN)....31

4.3 National Nuclear Security Administration (NNSA)....31

4.4 DOE Inspector General (IG)....32

4.5 Defense Nuclear Facilities Safety Board (DNFSB)....32

4.6 Nuclear Regulatory Commission (NRC)....33

4.7 Occupational Safety and Health Administration (OSHA)....33

4.8 Environmental Protection Agency (EPA)....33

4.9 International Atomic Energy Agency (IAEA)....34

5.0 **HSS Action Plan to Achieve Full Implementation**....35

Appendices

Appendix A: HSS Organization Chart.....41

Appendix B: Cross-walk of Integrated Safety Management system requirements.....43

Appendix C: Cross-walk of Quality Assurance program requirements 49

Appendix D: Cross-walk of Environmental Management System requirements.....53

Appendix E: Acronyms and Abbreviations 55

Appendix F: HSS Functions, Responsibilities, and Authorities Matrix 59

1.0 Introduction and Objective

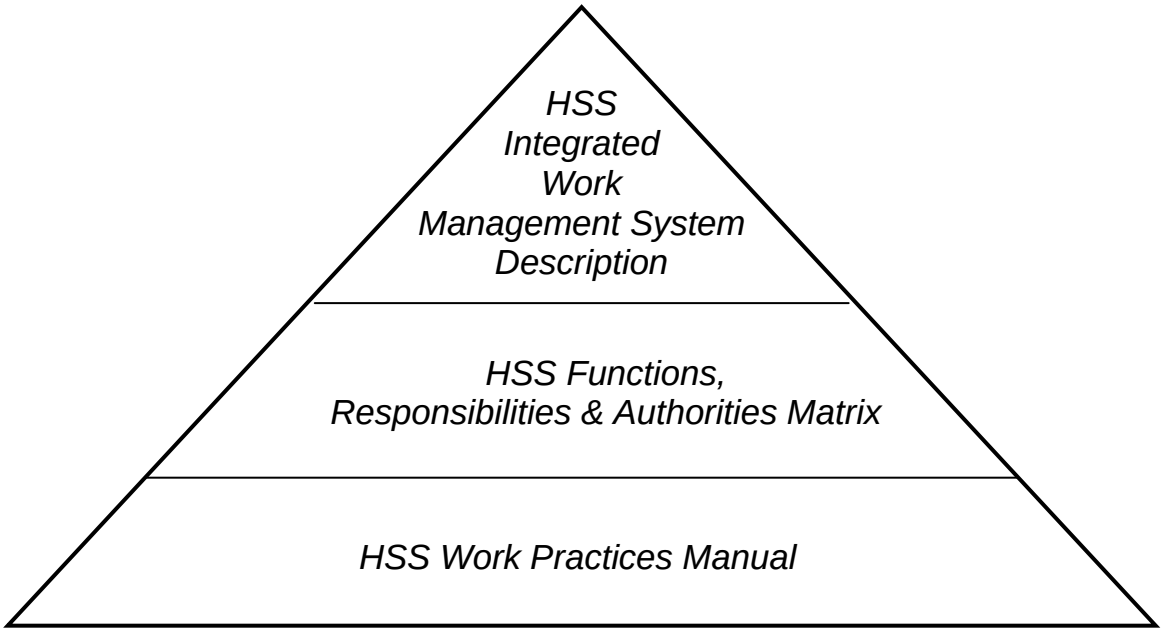
The purpose of the Integrated Work Management System (IWMS) Description is to provide an overview of the general functions of the Office of Health, Safety and Security (HSS) and the implementing mechanisms used to accomplish these functions effectively and efficiently. Moreover, this description is intended to clearly communicate the HSS integrated approach for performing work to its employees and to other DOE and external organizations.

The HSS Integrated Work Management System described in this document will enable HSS to accomplish the following objectives:

- enhance the effectiveness and efficiency of DOE's worker health, safety and security functions,
- enhance relationships with line programs,
- improve internal coordination, sharing and collaboration, and integration among the HSS functions, and
- clarify expectations and improve accountability.

Elements. The *IWMS Description* is one of three interrelated elements (see figure below) that collectively make up the HSS IWMS hierarchy of documents. The other two elements that flow from the IWMS Description in a fully integrated manner are:

- *HSS Functions, Responsibilities and Authorities* matrix, which provides HSS functions in more complete detail and ensures that all DOE directive responsibilities are assigned, and
- *HSS Work Practices Manual*, which contains HSS implementing procedures.



HSS INTEGRATED WORK MANAGEMENT SYSTEM

Drivers. Multiple existing DOE programs and directives drive HSS to develop this IWMS:

- DOE Manual 450.4-1, *Integrated Safety Management System Manual*, requires HSS to establish and maintain an Integrated Safety Management (ISM) system description and implementing mechanisms to implement HSS work activities necessary to implement the Department's ISM system.

- DOE Order 450.1, *Environmental Protection Program*, requires DOE elements to include an Environmental Management System (EMS) as part of their ISM system.

- DOE Order 414.1C, *Quality Assurance*, requires HSS to similarly establish and maintain an HSS Quality Assurance program (QAP) and implementing procedures related to the ten Quality Assurance (QA) criteria that define the Department's QA program.

- DOE Manual 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, requires HSS to establish and maintain its own functions, responsibilities and authorities document to define and assign HSS functions, responsibilities and authorities.

- Security Departmental Directives, such as the Integrated Security and Safeguards Management System (ISSM).

Commitment. HSS is committed rigorous and complete implementation of integrated safety management (ISM), quality assurance (QA), and environmental management system (EMS) both within HSS and throughout DOE. HSS will take those actions necessary to demonstrate this rigorous commitment, leading by example, monitoring our own performance, striving for continuous improvement, and helping others to improve as well.

Integration. The integrated HSS work management system is intended to provide a unified approach to meeting the requirements of these principal drivers, and is expected to result in improved organizational performance along multiple dimensions. Such integration is called for in the ISM Manual, the QA Order, and the EMS Order. Further, in Deputy Secretary Clay Sell's memo of January 4, 2007 on ISM implementation, he directed that program offices must integrate EMS and QAPs into ISM systems. Integration is also one of the stated goals in the formation of HSS. Secretary Bondman's August 2006 basis for creating HSS calls for: "an integrated approach to managing risks," as well as "an integrated management approach to safety and security," and "integration of policy, technical assistance, and oversight."

Effective integration reduces stove-piping and increases accountability, which were additional goals in forming HSS. HSS is poised to lead the change towards integrated management throughout DOE by setting an example for rigorous definition and implementation of IWMS and its lower-tier management system elements, and by demonstrating the effectiveness and sustainability of such a system.

Crosswalks. The *HSS IWMS Description*, along with the *HSS Functions, Responsibilities and Authorities* matrix and *HSS Work Practices Manual*, embody the HSS ISM system description and the HSS quality assurance program plan. Cross-walks are provided in the appendices B, C and D of this document to demonstrate how various ISM, EMS, and QA requirements are satisfied by the HSS's IWMS approach.

Table 1, in Appendix B describes major HSS ISM responsibilities contained in the DOE ISM Manual (DOE 450.4-1). The table also shows the categorization of these responsibilities in relation to HSS general functions and the lead HSS responsible organizations designated to ensure the satisfactory implementation of these responsibilities. In addition, the table displays necessary implementing mechanisms that exist or will be developed to meet these goals. Table 2 in Appendix B shows similar information regarding responsibilities associated with ISM guiding principles and core functions.

Appendix C uses the structure described for ISM, to present a cross walk of QA requirements contained in DOE O 414.1C, *Quality Assurance*, with HSS general functions, responsible organizations and implementing mechanisms.

In relation to both ISM and QA it is important to note that HSS plays major internal as well as institutional roles. The institutional roles crucial to continuous improvement in

safety and formality within the Department include activities such as the leadership of ISM Champion program and development and definition of a Department-wide QA program.

Appendix D contains a description of EMS requirements in relation to *HSS IWMS*. Pending completion of a major revision to DOE Order 450.1, *Environmental Management Program*, currently underway, identification of implementing mechanism for this area will be made and incorporated in a future revision of the *HSS IWMS Description.*

Internal and External Focus. The HSS IWMS addresses HSS roles and functions that focus internally within HSS as well as those that focus external to HSS. For example, within HSS, HSS must organize and manage itself so that its own work efforts are accomplished in a safe, secure, quality, and environmentally sound manner. Likewise, HSS is charged with responsibilities to facilitate and ensure that other DOE organizations perform their work in a safe, secure, quality, and environmentally sound manner. This HSS IWMS addresses both internally-focused functions as well as externally-focused functions.

1.1 Scope

This IWMS applies to all work activities conducted by HSS. Initial development of the IWMS focused primarily on safety, health, and environmental functions. The next revision will ensure that all security functions are also addressed. The HSS work scope encompasses the following major elements:

- HSS staff organizations at DOE HQ;
- Headquarters Security operations including executive protection;
- National Training Center operations in Albuquerque, NM; and
- Safeguards and Security Performance Testing conducted in various DOE locations.

HSS policy activities pertain to all aspects of DOE health, safety and security except for:

- Emergency Management - managed by NNSA;
- Aviation Safety – managed by the Office of Management (MA); and
- Cyber Security - managed by the Office of the Chief Information Officer (OCIO).

HSS conducts independent oversight of all aspects of Departmental programs related to safeguards and security; cyber security, emergency management, and environment, safety, and health programs except for the following:

- Naval Nuclear Propulsion Program;
- Aviation Safety – independent oversight conducted by MA;

- Bonneville Power Administration (various aspects as defined in DOE Delegation Order No. 00-033.00A)
- Water Impoundment Structures and Dams Structural Integrity - independent oversight conducted by the Federal Energy Regulatory Commission (FERC) via a memorandum of agreement (MOA) with HSS.

1.2 Change Control

The Chief Health, Safety and Security Officer (HS-1) is responsible for approving changes to the *HSS IWMS Description*, including the *Functions, Responsibilities, and Authorities Matrix*. In this effort, he is supported by the Director, Office of Resource Management (HS-1.2), who is responsible for maintaining the IWMS, including the *Functions, Responsibilities, and Authorities Matrix*. The *HSS IWMS Description*, including the *Functions, Responsibilities, and Authorities Matrix,* will be reviewed at least annually, or more frequently, as required, and will be updated in response to the following:

- Changes in HSS functions dictated by DOE management or DOE directives, or
- Changes in HSS implementing mechanisms to accomplish assigned HSS functions.

The *HSS IWMS Description*, including the *Functions, Responsibilities, and Authorities Matrix,* will be maintained within the HSS document control system and, as a minimum, will be posted for all HSS personnel to access and distributed to all HSS office managers.

1.3 Safety Performance Objectives, Measures and Commitments

HSS uses indicators to measure the effectiveness of its management systems and the overall safety performance of its organization. Performance objectives provide long-term management system goals. Performance measures are used to track progress and monitor achievement of these performance objectives. Performance commitments are specific actions that will be taken to achieve these objectives. Further, as part of the DOE Policy 450.7, *Environment, Safety and Health (ESH) Goals*, HSS has a role in helping the Department to define its DOE-wide safety goals.

DOE Manual 450.4-1, *Integrated Safety Management System Manual*, requires HSS to establish and disseminate an annual set of safety performance objectives, measures and commitments to promote continuous improvement. As part of an annual ISM effectiveness review, the HSS performance against these benchmarks will be reviewed and the results will provide input into the next year's objectives, measures and commitments.

The Chief Health, Safety and Security Officer (HS-1) will be responsible for approving the annual HSS safety performance objectives, measures and commitments. In this effort, he is supported by the Director, Office of Health and Safety (HS-10), who will

lead the HSS team to develop these indicators annually. The target is to disseminate these annually before the start of the new fiscal year.

As part of the annual safety performance objectives, measures and commitments, HSS will describe major ongoing safety initiatives, as required by DOE Manual 450.4-1, *Integrated Safety Management System Manual.*

2.0 HSS Mission

HSS was formally established on October 1, 2006 by the Secretary of Energy. The HSS mission is to provide leadership for effective implementation and continuous improvement of health, safety and security programs, to protect public and worker health and safety, to protect the environment, and to protect the national security. HSS is the central DOE organization responsible for providing leadership and strategic vision to coordinate and integrate DOE health, safety, environment, and security programs. Specifically, HSS is responsible for policy development, technical assistance, training and education, complex-wide independent oversight, and enforcement. The Chief Health, Safety and Security Officer advises the Deputy Secretary and the Secretary on all matters related to health, safety and security across the complex.

2.1 HSS General Functions

HSS has six general functions that define HSS's work activities. Five of these functions come directly from the HSS mission. The sixth function is internal management of the HSS organization to ensure that these functions are accomplished. HSS performs the following general functions:

Policy (P) – prepares, revises, reviews, and provides technical interpretations and clarifications of DOE rules, directives and standards related to health, safety, security, and environment.

Assistance (A) – assists the Secretary, Deputy Secretary, and DOE line programs and their sites in implementing established DOE missions and programs in a safe, secure, healthy, and environmentally sound manner.

Training (T) – supports line programs through training and qualification of DOE personnel in the areas of health, safety, security, and the environment.

Oversight (O) – provides an independent assessment of the effectiveness of DOE policies and programs in safeguards and security, cyber security, emergency management, environment, safety, health, and other critical functions as requested by the Department's senior leaders.

Enforcement (E) – promotes overall improvement in the Department's nuclear safety, worker safety and health, and security programs through management, application, and implementation of the DOE statutorily required enforcement programs.

Management (M) – provides resources, direction and oversight for HSS activities to accomplish assigned functions. This function is focused entirely internally within HSS, whereas all other HSS functions are focused external to HSS.

2.2 HSS General Functions and their sub-functions

For each of these top-level general functions, HSS has identified a list of the critical sub-functions that must be accomplished to satisfactorily accomplish the main functions. These are identified below.

2.2.1 Policy

HSS prepares, revises, reviews, and provides technical interpretations and clarifications of DOE rules, directives and standards related to health, safety, security, and environment. The tasks that support this function are:

- Develops Policies – Develops DOE policies (i.e., regulations, policies, orders, and manuals) needed to establish the requirements for the health, safety and security of DOE facilities and personnel and the public;
- Develops Policy Guidance – Issues guidance and clarifications in the form of guides, technical standards, and technical interpretations and clarifications that provide acceptable methods for meeting the requirements contained in approved policy;
- Supports Development of Non-HSS Policies – Reviews and comments on proposed DOE directives to identify impacts on environment, safety, health, and security;
- Reviews Regulatory Actions – Reviews and approves certain internal DOE regulatory actions, including policy deviations, exemptions, waivers, alternate methods, and variances; and
- Reviews Policy Deviations – Reviews and provides recommendations and comments on certain policy deviations, exemptions, waivers, alternate methods, and variances to address situations where DOE facilities must use alternate approaches to meet existing requirements in DOE rules or directives.
- Supports Development of External Standards – Participates in the review and development of standards by external organizations to meet needs not covered by existing DOE policy and guidance or to supplement existing DOE policy and guidance;
- Supports Development of External Regulations – Reviews, and solicits and submits DOE comments on proposed regulations from external regulators to ensure that such regulation are appropriate for DOE operations; and
- Supports Development of External Policy – Participates with other agencies, safety, scientific organizations in the development of national and international environment, safety, health, and security policy, standards and guidance.

2.2.2 Assistance

HSS provides support to DOE organizations external to HSS in their efforts to comply with regulations and implement policies, directives and standards, and to identify and resolve complex-wide and office/site-specific issues related to the Department's security, safeguards, nuclear safety, as well as health and safety of workers, the general population, and protection of the environment. In particular, HSS focuses its assistance role on line programs with direct responsibility for facility operations and safety, and DOE mission accomplishment through the operations of these facilities. In addition, HSS also provides specific services to DOE senior executives, such as the Secretary and the Deputy Secretary, to meet organizational obligations imposed externally. Key functions under this general function are grouped into three primary focuses: providing direct assistance to line management, providing DOE-wide tools and services, and providing analysis and reports to line management.

Provides Direct Assistance to Line Managers – Provides assistance to line managers in implementing health, safety, security, and environmental requirements, in resolving health, safety, security, and environmental issues, and in improving health, safety, security, and environmental performance.

- Supports line programs and site offices in resolving health, safety, security and environmental issues and concerns.
- Supports line organizations in the areas of health, safety, security and environment for the conduct of work authorizations for project design and construction, facility and process start-ups, and waste management.
- Serves as DOE Co-Champion to promote implementation and continuous improvement of Integrated Safety Management throughout DOE.
- Supports line managers in understanding and resolving technical and management issues raised by the Defense Nuclear Facilities Safety Board.
- Supports line managers in implementing effective Facility Representative and Safety System Oversight Programs within their organizations.
- Supports line managers in recruiting, selecting, developing, and retaining technical capable personnel by participating in and supporting the Federal Technical Capability Panel.
- Assists DOE sites and facilities in effectively implementing external environmental, safety, health and security requirements and goals.

Provides DOE-wide Tools and Services – establishes, maintains, and provides DOE – wide tools and services for use by HSS and line programs in meeting health, safety, security, and environmental requirements and in achieving desired health, safety, security and environmental performance.

- Establishes and maintains DOE-wide information systems for health, safety and environmental matters, including the Occurrence Reporting and Processing System (ORPS), the Computerized Accident/Incident Reporting System (CAIRS),

the Radiation Exposure Monitoring System (REMS), the Corrective Action Tracking System (CATS), and the Noncompliance Tracking System (NTS).

- Establishes and maintains DOE-wide information systems for safeguards and security matters, including the Nuclear Materials Management and Safeguards System (NMMSS), the Safeguards and Security Information Management System (SSIMS), the DOE-wide clearance database (e-DISS+), and the DOE Foreign Access Central Tracking System (FACTS).
- Provides DOE-wide safety services including the differing professional opinion (DPO) program, accident investigation program, Federal Employee Occupational Safety and Health (FEOSH) program, DOE Laboratory Accreditation program (DOELAP), Analytical Services program, Human Performance Improvement training and projects, and the DOE -Voluntary Protection Program (DOE-VPP).
- Provides DOE-wide security services, including the Foreign Visits and Assignments (FV&A) Program, the Executive Protection Program, the personnel security program, protection of HQ facilities, and the deployment of safe, advanced security technologies.
- Provides DOE-wide quality assurance services, including the Suspect Counterfeit Items program, the Software QA registry, and the High Efficiency Particulate Air (HEPA) Filter Test Facility (FTF).
- Provides DOE-wide health services, including the Employee Assistance Program (EAP), the Human Reliability Program (HRP), the occupational medicine program, the Energy Employees Occupational Illness Compensation Program (EEOICP), the Former Workers Screening Program, the Beryllium registry, epidemiological surveillance, international health study programs mandated by legislation and international agreements, and plans and training to prevent or mitigate the health and safety impacts of potential emergencies, disasters, and public health events.
- Provides DOE-wide environmental services including maintenance of the Residual Radiation (RESRAD) code, and support of protection of cultural resources, pollution prevention, and air and water quality programs
- Provides DOE-wide nuclear safety services by supporting facility safety (including fire safety and natural phenomena hazards), nuclear safety basis (including technical safety requirements and criticality safety) and safety management (including conduct of operations) programs.

<u>Provides Analysis and Reports to Line Managers</u> – collects, compiles, analyzes, synthesizes, and reports on health, safety, security and environmental issues and performance to inform line programs where attention is needed.

- Identifies and evaluates cross-cutting worker safety and health, nuclear safety and environmental issues, and communicates these issues to line managers and actions needed to address these issues (recent examples include laser safety, electrical safety, and suspect/counterfeit parts).
- Performs analysis on a variety of relevant data streams, including ORPS, CAIRS, REMS, CAMP, NTS, DNFSB, and Independent Oversight findings, and identifies concerns and trends to stakeholders.

- Reports to DOE line managers and other stakeholders on DOE-wide performance and trends on health, safety, security and environmental matters, and the effectiveness of actions to address these issues.
- Manages and conducts epidemiologic investigations to assess health implications of exposures to hazardous materials for workers.

2.2.3 Training

HSS analyzes, designs, develops, delivers, and evaluates training in the areas of health, safety, security, and the environment for DOE. The tasks that support this function are:

- Analyzes Training Needs – Analyzes the training needs of DOE in the areas of health, safety, security and the environment. Evaluates currently available courses and determine gaps in training availability.

- Develops Training – Designs and develops training, if necessary, to address the identified needs of the DOE in the areas of health, safety, security and environment.

- Delivers Training – Schedules, delivers and recommends training. Training is delivered through in-residence, mobile training teams, or distance learning formats. Training curriculum includes specialized firearm training to DOE protective forces at the NTC Live Fire Range.

- Evaluates Feedback for Improvement – Evaluates the delivered training and uses the feedback for continuous improvement.

- Provides Training-Related Qualifications – Provides documentation to officials for qualification, training program approval, accreditation, and site certification.

- Provides Training-Related Assistance – Provides training assistance to departmental elements as requested.

2.2.4 Oversight

HSS provides an independent assessment of the effectiveness of DOE policies and programs in safeguards and security, cyber security, emergency management, environment, safety, health, and other critical functions as requested by the Department's senior leaders. Assessment refers to a number of oversight activities including announced inspections, follow-up reviews, special studies or reviews, and unannounced inspections (red teaming). The assessments are designed to complement line management's responsibility for safety and security line oversight and self-assessments. HSS uses the following approach to perform its independent oversight activities.

- Schedules Assessments – Determines the subject areas to be assessed by reviewing operational data, and analysis of data from other sources to identify

trends and areas for focus; selects sites to be assessed based on risk and time since last inspection, events, or other ranking factors; and publishes an annual assessment schedule.

- Plans Assessments – Develops and maintains protocols, guides and CRADs for performing assessments; identifies key changes and initiatives; holds planning meetings and develops inspection plans, makes data call requests and signs a technical assessment protocol (TAP), as needed, for scheduled assessments; and conducts scoping and planning visits.

- Conducts Assessments – Performs programmatic and technical reviews; conducts daily team meetings; provides continuous feed back to counterparts on concerns and emerging issues; and maintains a computer security penetration testing laboratory for cyber security evaluations.

- Reports on Assessments – Obtains site comments on draft report and issues final assessment report; briefs senior Department management and external stakeholders (congress, DNFSB, etc) on assessment results and program status; and prepares reports on the implementation performance of ISM, EMS, and other programs for the Department.

- Follows-up on Assessments – Provides comments on proposed corrective actions; ensures findings and corresponding corrective actions are tracked to completion; and captures inspection and corrective actions tracking records.

- Evaluates Feedback to Improve Future Assessments – Provides feedback to policy organizations where policy revisions appear to be warranted; provides feedback to enterprise-level assistance, training and program organizations to facilitate improvements based on oversight findings; and evaluates each completed assessment to identify lessons learned to improve the assessment process.

2.2.5 Enforcement

HSS promotes overall improvement in the Department's nuclear safety, worker safety and health, and security programs through management and implementation of the DOE statutorily required enforcement programs by encouraging DOE contractors to meet health, safety and security requirements, by encouraging them to report on and correct non-compliances, and by holding them publicly and financially accountable when they do not.

- Reviews Non-compliances – reviews non-compliances on the Non-compliance Tracking System (NTS), ORPS reports and elsewhere to determine appropriate cases for tracking to closure or for commencing an investigation.

- Plans Investigations – for cases selected for investigation, develops plans to ascertain probative evidence sufficient to sustain a potential Notice of Violation and implements those plans.

- Identifies potential violations – Where probative evidence is deemed sufficient, drafts Investigation Summary Reports and provides these to the contractor with sufficient specificity to permit adequate notification of potential violations.

- Conducts enforcement conferences – conducts enforcement conferences with contractors under investigation to permit obtainment of further probative evidence potential affecting the outcome of the matter, including mitigation and escalation.

- Coordinates enforcement outcomes – coordinates enforcement outcomes with field and program office personnel.

- Provides orientation – provides orientation sessions to the DOE and contractor community to familiarize applicable personnel with the enforcement process.

2.2.6 Management

HSS provides direction, resources, and continuous improvement for HSS activities to accomplish assigned functions.

- Planning, Organizing, Integrating, and Coordinating – defines and plans HSS work; establishes HSS organization; assigns roles and responsibilities; establishes management systems and implementing mechanisms to assure work is accomplished in safe, secure, quality, and environmentally sound manner; ensures that ISM and QA requirements for HSS are met; coordinates and integrates work activities across HSS offices; communicates to HSS employees.

- Operations Management – manages HQ security operations; manages safety and security training facilities, including live-fire range, and manages the Federal Employee Occupational Safety and Health (FEOSH) program for HSS personnel.

- Self-Assessment and Continuous Improvement – performs period self-assessment on HS functions; reviews other sources of feedback on HSS; manages HSS issues and corrective actions; prepares annual ISM declaration for HSS; identifies and pursues HSS improvement opportunities; prepares and monitors annual safety performance objectives, measures, and commitments.

- Finance and Contracts – obtains and manages financial resources for HSS work activities; prepares budget and provides briefings and information to DOE Management, Office of Management and Budget (OMB), and Congress; provides budget reports; procures goods and services needed for HSS; manages HSS contracts.

- Human Resources – recruits, selects, and retains highly capable personnel for the HSS organization; performs employee performance evaluations; coordinates HSS employee development and technical qualification, including completion of the technical qualification program requirements; develops staffing plans, controls, and analyses in support of the HSS operations, and ensures effective implementation of Departmental policies for personnel-related activities such as performance management, labor management issues, affirmative action, executive succession, employee development, and training.

- Administration and Infrastructure – provides information management resources and infrastructure; provides centralized administrative and management (e.g., managing records, travel, leave/Flexiplace, facility space); provides required administrative reports; develops HSS workflow management procedures and administrative policies and procedures, manages records; manages travel; manages HSS correspondence and concurrences.

3.0 HSS Work Processes Overview

As described above, the *IWMS Description* is one of three related elements that make up the HSS IWMS. The other two elements flow from the IWMS and are fully integrated with the IWMS:

- *HSS Functions, Responsibilities and Authorities* matrix, which defines clear roles and responsibilities for HSS offices to implement the HSS functions, which are articulated in detail, and
- *HSS Work Practices Manual,* which provides HSS implementing procedures used by HSS offices to implement the assigned HSS functions.

In addition to these mechanisms, the HSS Organizations, HSS staff and their expertise are primary vehicles for effectively implementing the general functions assigned to HSS.

3.1 HSS Organization

HSS accomplishes its functions through its organizational elements, which are assigned clear roles and responsibilities as detailed in the HSS FRA matrix. With the staffing of each office with an adequate number of qualified and experienced personnel, the office directors are able to organize and direct the performance of HSS work activities effectively. The current HSS organization chart is shown in Appendix A. HSS is organized into the following offices:

Office of the Chief Health, Safety and Security Officer (HS-1) – This office provides overall direction and management of the HSS organization in pursuit of its functions. The Chief Health, Safety and Security Officer is responsible for the performance of all HSS general functions and has specific responsibilities in the Management function.

Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board (HS-1.1) – This office provides cross-organizational leadership in resolving technical and management issues raised by the Defense Nuclear Facilities Safety Board (DNFSB). This office primarily performs work activities in the HSS Assistance function.

Office of Resource Management (HS-1.2) – This office supports the HSS infrastructure in the areas of financial management, procurement management, information management, quality assurance, human resources, administrative services, and strategic and program planning. This office primarily performs work activities in the HSS Management function.

Office of Security Operations (HS-1.3) – This office protects personnel, facilities, property, classified information, and sensitive unclassified information for DOE Headquarters facilities. This office performs work activities in the HSS Assistance function, in the area of Operational Activities.

Office of Departmental Personnel Security (HS-1.4) – This office supports line management by ensuring that personnel security programs are implemented effectively and consistently Department-wide. This office manages access authorization data systems, oversees the human reliability program for personnel with applicable access authorizations, and performs access authorization adjudication activities for the Department. This office performs work activities in the HSS Policy, Assistance, and Training functions.

Office of Health and Safety (HS-10) – This office establishes DOE policy for worker safety and health, assists the line with implementing these policies and resolving worker safety and health issues, conducts health studies, collects and analyzes occupational health and exposure information, and implements medical surveillance and screening programs for current and former workers. This office performs work activities in the HSS Policy, Assistance, and Training functions.

Office of Nuclear Safety and Environment (HS-20) – This office establishes nuclear safety and environmental protection policy and assists the line with implementing these policies and resolving nuclear safety and environmental protection issues. This office performs work activities in the HSS Policy, Assistance, and Training functions.

Office of Corporate Safety Analysis (HS-30) – This office assists the line programs with through enterprise-level safety and quality assurance programs and provides analysis of Department-wide performance on health, safety, security and environmental protection. This office also administers the Federal Employee Occupational Safety and Health (FEOSH) program within HSS. This office performs work activities in the HSS Assistance and Training functions.

Office of Enforcement (HS-40) – This office promotes overall improvement in the Department's nuclear safety, worker safety and health, and security programs through management and implementation of the DOE statutorily required enforcement programs. This office performs work activities in the HSS Policy, Assistance, Training, and Enforcement functions.

National Training Center (HS-50) – This office, the Department's Center of Excellence for Security and Safety Training and Professional Development, designs, develops, and implements state-of-the-art security and safety training programs for Department federal and contractor personnel nationwide. This office performs work activities in the HSS Training function and in the internal HSS Management function for operations of the NTC.

Office of Independent Oversight (HS-60) – This office provides an independent assessment of the effectiveness of policies and programs in safeguards and security; cyber security; emergency management; environment, safety and health (ES&H); and other critical functions of immediate interest to the Department's senior leadership. This office primarily performs work activities in support of the HSS Oversight function.

Office of Security Policy (HS-70) – This office develops safeguards and security policy, assists DOE organizations in implementing these policies, and also manages the DOE Foreign national Visits and Assignments and Foreign Ownership, Control or Influence (FOCI) programs. This office performs work activities in the HSS Policy and Assistance functions.

Office of Security Technology and Assistance (HS-80) – This office assists Headquarters and field elements in planning site protection strategies and by coordinating with domestic authorities to provide safeguards and security technical assistance, technical systems support, and new technology development and deployment opportunities. This office also maintains the DOE Design Basis Threat Policy and associated guidance documents. This office primarily performs work activities in support of the HSS Assistance functions with responsibilities in the Policy function related to the Design Basis Threat Policy directives.

Office of Classification (HS-90) – This office develops and interprets Government-and Department-wide policies, performs document reviews for DOE and other US Government Departments and Agencies, assists the line with ensuring the accurate identification of information and documents that must be classified or controlled, and provides training to DOE and other U.S. Departments and Agencies. This office performs work activities in the HSS Policy, Assistance, and Training functions.

Table: Cross-walk from HSS Offices to primary HSS General Functions performed

HSS Offices	**Policy (P)**	**Assistance (A)**	**Training (T)**	**Oversight (O)**	**Enforcement (E)**	**Management (M)**
HS-1	X	X	X	X	X	X
HS-1.1		X				
HS-1.2						X
HS-1.3						X
HS-1.4	X	X	X			
HS-10	X	X	X			
HS-20	X	X	X			
HS-30		X	X			
HS-40					X	
HS-50			X			X
HS-60				X		
HS-70	X	X				
HS-80	X	X				
HS-90	X	X				

3.2 HSS Functions, Responsibilities and Authorities Matrix

The *HSS FRA Matrix* is included as part of the *HSS IWMS Description* and is provided in Appendix F. DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, and the associated manual, DOE M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, dated 12-31-03, define DOE safety[1] management functions, responsibilities, and authorities to ensure work is performed safely and efficiently. These two documents require DOE senior management responsible for line, support, oversight, and enforcement functions to develop, issue, and maintain documents that define their organizational functions, responsibilities, and authorities. Each organizational-level functions, responsibilities, and authorities document must define the safety management function for the organization and clearly identify who within the organization has the responsibility and authority to perform those functions. This document (the *IWMS Description* including the *FRA matrix*) satisfies HSS's requirements for implementing DOE P and M 411, referenced above.

The *HSS Functions, Responsibilities and Authorities* matrix defines clear roles and responsibilities for HSS offices to implement the HSS functions. These are organized by activities, such as "Accident Investigation" and "Voluntary Protection Program." The origin of this list of activities is the DOE FRAM (DOE M 411.1-1C). Additions and adjustments were made as needed. For each identified responsibility, the primary HSS general function is also identified, as well as the governing DOE directive, standard, or other source document. The HSS FRA matrix is organized into two parts to differentiate the HSS responsibilities for helping other Departmental elements in ensuring health, safety and security with those for internal HSS management.

The Chief Health, Safety and Security Officer (HS-1) is responsible for approving changes to the HSS *Functions, Responsibilities, and Authorities Matrix*. The Director, Office of Resource Management (HS-1.2), supports HS-1 in this role by maintaining the HSS *Functions, Responsibilities, and Authorities Matrix*. The *Matrix* will initially be issued as a draft and will be finalized in the next revision of the *IWMS Description*.

3.3 HSS Work Practices Manual

The *HSS Work Practices Manual* provides HSS implementing procedures used by HSS offices to implement the assigned HSS functions. With the formation of HSS from former organizations, HSS inherited some implementing procedures. HSS is in the process of converting applicable ones to new HSS procedures and protocols. HSS plans to issue its *HSS Work Practices Manual* by September 2007. This manual will include standard operating practices (SOPs) for development of the administrative and technical practices needed to implement the HSS functions. The *HSS Work Practices Manual* will be issued as a control copy to identified HSS managers and will also be available in a

[1] As used in DOE P 411.1 and DOE M 411.1-1C the term "safety" encompasses "environment, safety, and health" functions to the extent that those functions relate to the safe management of DOE facilities or activities.

user-friendly format on the HSS Intranet for ready reference and use by all HSS employees. Development of the Manual will be documented in the IWMS Action Plan contained in Section 4.

In a number of areas, HSS needs to develop formal procedures to guide its work activities. In other instances however, well-established procedures exist, that may or may not have been formally documented. At present, HSS is moving rapidly towards institutionalizing good management practices and implementing the existing DOE ISM, QA and EMS requirements that call for formal, standards-based approaches for ensuring that work is done safely and efficiently.

In preparing this document and in order to identify the needed improvements, each HSS major function was analyzed and the existing HSS implementing procedures and methods were reviewed for completeness and adequacy, as described below. Where additional actions are identified to update processes and procedures, these actions are described in this report. Section 4.0 provides an action plan for full implementation of necessary actions, as well as assignment of responsible managers and target completion dates.

At the highest level, the generic process for performing any work activity at HSS should satisfy ISM, QA, and EMS requirement and be performed in a safe and quality manner. In order to ensure this, HSS requires adoption of the following steps for completing any HSS activity:

Plan the work: Based on expected and emergent DOE needs and requirements, HSS determines the need for work activities within a given function and establishes the scope of work to be performed. HSS identifies its responsibilities and requirements that define and constrain its work activities. HSS management sets priorities and schedules for work activities. Some functions are within HSS control, other functions are responsive to outside schedules.

Do the work: Once work has been defined and planned, HSS uses established processes to perform work activities. These processes have been largely formalized and adapted to the type of work activities being performed. To the extent practicable, stakeholders are involved in most of the phases of work performance. Work processes are integrated across HSS offices.

Assess work effectiveness: After HSS performs a work activity, it assesses the effectiveness of this work activity. HSS uses various assessment methods to determine whether the work activity was effective and whether changes need to be made during future work activities.

Corrective Action and Continuous Improvement: Based on the assessment of effectiveness, HSS takes action to correct problems and to improve work processes, including the integration of HSS activities. Continuous improvement is achieved by continually monitoring the effectiveness of work activities in relation to current and anticipated DOE operations and needs.

These fundamental process steps for effectively performing work activities will be embedded into HSS's standard operating procedures.

3.3.1 Policy

The Department has established top-level processes for developing DOE directives and technical standards. To take better advantage of these processes and to formalize existing practices, HSS needs to develop four HSS-level implementing procedures in the area of policy development:

- *Policy Procedure #1 – Develop Policy, Requirements and Guidance Documents.* This activity is guided broadly by external procedures, such as applicable DOE directives on directives and standards, and the Administrative Procedures Act. The HSS procedure will focus on internal coordination steps, both "vertically" (what needs to be reviewed and approved by what level of HSS management at what stage of development) and "horizontally" (how to achieve timely and adequate coordination across affected and knowledgeable HSS offices). Current status: Parts of the existing HS-11 procedure can be excerpted and adapted for use.

- *Policy Procedure #2 – Review and comment on Proposed External Regulations.* Current status: HS-20 has a general procedure in place for how HS-20 conducts this activity, but it is not documented.

- *Policy Procedure #3 – Review and comment on proposed DOE Directives.* This procedure would focus on review and comment of non-HSS directives to make sure that health, safety, environment and security matters are adequately addressed. The DOE Directives Order (DOE O 251.1B, Departmental Directives Program) provides the framework for HSS to provide review and comment on non-HSS directives. The HSS procedure will describe how HSS implements this process, and systematically and proactively assures that draft directives are reviewed by the right people in a timely manner, and that different comments within HSS are integrated and resolved appropriately. Current status: a current HSS procedure does not exist.

- *Policy Procedure #4 – Review and Recommend Action on Exemptions, Waivers, Alternative Methods, and Variances; approve certain DOE regulatory actions.* Existing directives provide the framework; the HSS procedure will describe the analysis, review, and approval process for HSS actions. Current status: a current HSS procedure does not exist.

- *Policy Procedure #5 – Represent the Department in the development of national or international environmental, health, safety and security policy and guidance.* Current status: a current HSS procedure does not exist.

Action items associated with these activities are presented in Section 4.

3.3.2 Assistance

HSS assistance functions are grouped into three general areas: (1) providing direct assistance to line management, (2) providing DOE-wide tools and services, and (3) providing analysis and reports to line management. In many instances HSS assistance efforts consist primarily of ongoing mature services which are evaluated and refined in support of continuous improvement. User feedback, lessons learned and surveys serve as mechanisms for continuous improvement.

Provides Direct Assistance to Line Managers. HSS provides direct assistance via a number of routes. In several cases, the form and methods for HSS's assistance are well described by existing DOE directives and standards. For example, the DOE ISM champion roles and expectations are well defined by DOE Manual 450.4-1, *Integrated Safety Management System Manual.* Likewise, the HS-1.1 roles and actions as program manager facilitating the DOE Facility Representatives program are well defined in DOE-STD-1063-2006, *Facility Representatives.* In other cases, HSS has informal methods and practices for assisting line managers with requirements implementation, issue resolution, and performance improvement. For example, security assistance is provided based on a web-based "Security Assistance Protocol," undated, which describes procedures for requesting security assistance.

To formalize these methods, and to establish an HSS assistance/consulting model, the HSS Work Practices Manual will include a general technical work practice for providing direct assistance to line managers to help them at their request to resolve their concerns, issues, and problems. Processes and procedures for the new expanded assistance program identify how field elements may request assistance, approval processes to provide that assistance including identifying required personnel and funding, and review and approval of final work products where applicable. In addition, a specific practice for assisting line programs with identifying and implementing external environmental requirements will also be developed.

Provides DOE-wide Tools and Services – HSS provides a multitude of information systems for the use and benefit of all of DOE. In most cases, these systems are mature, have established DOE directives and guides and operating practices that govern their maintenance and operation, and do not need any immediate formalization to ensure quality performance. Examples of these systems include: Occurrence Reporting and Processing System (governed by DOE Order 231.1A, *Environment, Safety and Health Reporting,* DOE Manual 231.1-2, *Occurrence Reporting and Processing of Operations Information,* DOE Guide 231.1-1, *Occurrence Reporting and Performance Analysis Guide,* and DOE Guide 231.1-2, *Occurrence Reporting Causal Analysis Guide*), the Computerized Accident/Incident Reporting System (governed by DOE Order 231.1A, *Environment, Safety and Health Reporting,* and DOE Manual 231.1-1A, *Environment, Safety and Health Reporting Manual*), and the Corrective Action Tracking System (governed by DOE Order 414.1C, *Quality Assurance,* and DOE Guide 414.1-5, *Corrective Action Program Guide*).

In the area of services, HSS provides a broad range of safety, security, health and environmental services, some of which are well defined by existing DOE standards and guides, and others which are very informally defined. The HSS Work Practices Manual will include a general technical work practice for providing services. This practice will address such general process steps as identifying a full list of services and providers within HSS, identifying clients, identifying mechanisms for services to be requested, identifying budget, establishing the proper level of management, and establishing feedback and improvement mechanisms.

Additionally, under the services area, HSS manages the DOE Voluntary Protection Program. The procedures and processes for the DOE VPP are captured in a four volume document. These documents were originally issued in October, 1994. They have been reviewed and revised to reflect the HSS organization, and will need to be incorporated into the HSS Work Practices Manual, issued as a DOE Guide, or both.

Provides Analysis and Reports to Line Managers – HSS monitors operational safety performance at the DOE-wide level, and adverse safety trend and event information is disseminated to Field and Headquarters personnel through a variety of established mechanisms such as the Lessons Learned list server, and ES&H Alerts, Bulletins, and Advisories. HSS provides DOE Senior Management with overall summary of operational safety performance through periodic briefings such as the Quarterly Corporate Safety Indicator briefings. HSS roles and practices are well defined by DOE Order 210.2, DOE Corporate Operating Experience Program, and through a draft work practices guide that has been developed by the HS-30 office. To formalize work practices in this area, the HS-30 guide will be converted and issued as an HSS work practice. In addition, the work practices for epidemiological investigations, analysis and reporting will be formalized by HS-10.

3.3.3 Training

Training Needs Assessments. HSS surveys organizations and seeks stakeholder involvement to determine the needs of individuals to acquire the knowledge and skills to perform their functions. This along with other data such as functional area qualification standards, occurrence reports, audit findings, and accident investigations are used to determine the organizational needs. HSS also utilizes the training needs assessment to seek customer feedback to continuously improve the training and scheduling to meet needs. Reference: DOE-HDBK-1103-96, Table-Top Needs Analysis.

Instructional Systems Design. HSS uses a structured methodology to analyze the availability of training, identify target audiences, set learning objectives, design and develop courses, schedule and deliver courses, and evaluate the results. References: DOE-HDBK-1076-94, Table-Top Job Analysis; DOE-HDBK-1078-94, Training Program Handbook: A Systematic Approach to Training; DOE-HDBK-1205-97, Guide to Good Practices for the Design, Development, and Implementation of Examinations; NTC SOP 310, Training Development, Production, and Maintenance.

Registration. HSS schedules training based on needs and target pools of participants. HSS maintains training records for participants and submit records to CHRIS for federal participants. Reference: NTC SOP 337, Integrated Registration Information System.

Firearms Safety. HSS assures safety at the live fire range through the implementation of appropriate safety and operational plans. (10CFR851; NTC SOP 544 Live Fire Range Operation).

Evaluation. HSS evaluates available training using established standards to determine the effectiveness of training. Reference: NTC SOP 310, Training Development, Production, and Maintenance.

Reporting. HSS reports the results of training to officials in DOE program offices to use as an aid in qualification of individuals.

3.3.4 Oversight

The Independent Oversight assessment process is described in an overall and subject-specific protocol document as part of a continuing effort to enhance the quality, consistency, and contribution of the oversight function, and to describe the general process and principal activities for evaluating both the effectiveness of DOE safeguards and security, cyber security, emergency management, and ES&H policies, and of DOE line management implementation of those policies. The protocols describe the overall philosophy, approach, scope and methods used when conducting independent oversight assessments. The Oversight function and its sub-functions (scheduling, planning, conduct, reporting, follow-up, and feedback and improvement) are governed by directives and protocol/process documents at three levels as follows:

- At the policy level, the HSS Independent Oversight program is governed by DOE Order 470.2B, *Independent Oversight and Performance Assurance Program*, and DOE Order 226.1, *Implementation of Department of Energy Oversight Policy*. These documents delineate specific processes and requirements for the Oversight Program in such areas as interface with the field and inspection protocols for conduct and follow-up of inspection results.

- At the functional level (managed by HS-60, the Office of Independent Oversight), the HSS Independent Oversight program is governed by a program document entitled *Appraisal Process Protocols*, January 2002. This document is the umbrella document for all oversight sub-functions. It describes HSS management expectations and provides guidance for all aspects of Independent Oversight appraisals including planning, conduct, closure/reporting, and follow-up of appraisal results. It also addresses such activities as scheduling and expectations of professional conduct by inspectors.

- At the subject-matter level, each of the four major topical areas of HS-60 is managed by one of the HS-60 subordinate offices (i.e., HS-61, 62, 63, and 64).

The appraisal activities performed by each of these offices are governed by one or more process documents. These process documents provide more detailed direction and guidance for performing appraisals in the topical areas of safeguards and security, cyber security, emergency management, and environment, safety, and health and are tailored to the needs of each area. They specifically address such areas as planning, conduct, and follow-up of appraisals in their respective topical area.

The primary current topical area appraisal documents are respectively entitled:

- Safeguards and Security Topical Area (HS-61): *Safeguards and Security Appraisal Process Guide*, August 2000, which includes the following topic-specific guides that provide more detailed technical information and guidance for performing inspections.
  - *Protection Program Management Inspectors Guide*, March 2006
  - *Protective Force Inspectors Guide*, April 2005
  - *Personnel Security Inspectors Guide*, July 2004
  - *Material Control and Accountability Inspector's Guide*, June 2004
  - *Classified Matter Protection and Control Inspectors Guide*, September 2005
  - *Composite Adversary Team Standard Operating Procedure*, December 2000
  - *Physical Security Systems Inspectors Guide*, September 2000
  - *Context and Protocols for Performance Testing of Protective Forces*

- Cyber Security Topical Area (HS-62): *Cyber Security Appraisal Process Guide* November 2001. In addition to this Guide, the cyber security oversight area is governed by various protocol documents and memorandum, such as the Independent Oversight red teaming protocol.

- Emergency Management Topical Area (HS-63): *Emergency Management Appraisal Process Guide,* September 2005.

- Environment, Safety and Health Topical Area (HS-64): *Environment, Safety and Health Appraisal Process Guide,* March 2003. HS-64 is in the process of developing a set of specific Criteria, Review and Approach Documents for each of the inspection areas and focus areas.

The document suite described above is, for the most part, technically valid and appropriate for use today. In addition, the above documents have been disseminated to the field and are available on the HSS webpage to ensure that HSS processes are communicated to the field. However, most of the above listed documents are in the process of being updated to reflect the formation of HSS in 2006, issuance of DOE Order 226.1, *Implementation of Department of Energy Oversight Policy,* and other recent evolutions in processes. See action items Section 4.

In addition to the standard process documents, each major appraisal activity is governed by one or more site-specific protocol documents that detail management expectations and

such areas as the scope of the appraisal. These documents include, at a minimum, an Appraisal Plan (e.g., an Inspection Plan for an inspection) and may include technical assessment plans, protective force exercise plans, safety plans, and other such documents. The specific documents that need to be prepared for each appraisal activity are defined in the process documents listed above.

3.3.5 Enforcement

The Office of Enforcement is responsible for fulfilling DOE's statutory responsibilities in three distinct areas: nuclear safety enforcement, worker safety enforcement and security enforcement. These responsibilities are set forth in Section 234A, B and C of the Atomic Energy Act, as amended, 42 USC 2271 et seq.

In fulfillment of these requirements, DOE has published enforceable substantive rules for each of these areas. In addition, 10 CFR 820 comprises procedural rules for nuclear safety enforcement. Appendix A to 10 CFR 820 comprises the General Statement of Enforcement Policy for nuclear safety rules; Appendix A to 10 CFR 824 comprises the General Statement of Enforcement Policy for security matters and Appendix B to 10 CFR 851 comprises the General Statement of Enforcement Policy for worker safety and health rules.

DOE's expectations for these rules and policies are further articulated in the DOE Enforcement Process Overview, dated June 2007, which can be found on the DOE Enforcement web site at <http://hss.energy.gov/Enforce/index.cfm>. This document provides the HSS implementing procedures needed to accomplish its enforcement functions. This document needs to be augmented with security enforcement protocols, and it needs to be made into an HSS document, within the HSS system.

3.3.6 Management

Facility Operations Management. HSS has operational responsibility for only one DOE facility, the National Training Center, managed by the HS-50 office. HS-50 needs to evaluate whether it has sufficient practices in place to operate this facility in a safe, secure, and effective manner to achieve its missions. Other HSS operations, such as providing Headquarters security protection, are encompassed within their HSS general function, such as Assistance in this case.

All other Sub-Functions. HS-1.2 is in the process of finalizing its new HSS standard operating practices (SOPs) for administrative practices and technical practices, and converting inherited administrative practices to formal HSS practices. Examples of practices in this area include: standard operating practices management, functional area points of contact, and delegations of safety authority for field operations. HS-1.2 will also review existing functions to determine additional administrative practices that need to be formalized in FY 2008.

4.0 HSS Interfaces with other Organizations

HSS places a high degree of emphasis on working with policy and line organizations such as the Office of the Chief Information Officer (OCIO), NNSA, DNFSB, operations offices, and the sites to ensure that identified problems have been adequately addressed. This approach has met with considerable success because of the combined effort of DOE field and Headquarters organizations and the support of senior DOE management. HSS also interfaces with organizations external to DOE such as the Nuclear Regulatory Commission (NRC). The relationship with these and identified DOE organizations is further elaborated below.

4.1 Office of the Chief Information Officer (OCIO)

The CIO is responsible for establishing, implementing, and maintaining a comprehensive and effective cyber/computer security program to protect the Department's classified and unclassified information and information technology assets; defining and implementing policies, procedures, and guidelines to ensure efficient, economical, and effective information management planning, acquisition, and management; and promoting effective Departmental operations by encouraging performance-based management and, where appropriate, facilitating the restructure of mission related processes before making significant information technology investments. HSS coordinates with the CIO for cyber security policy interpretation; provides feedback on the implementation of cyber security policy throughout the Department; communicates findings identified during appraisal activities; and provides feedback in the development of new policy to address continuously evolving issues.

4.2 Office of Intelligence and Counterintelligence (IN)

IN provides the Secretary, his staff, and other policymakers within the Department timely, technical intelligence analyses on all aspects of foreign nuclear weapons, nuclear materials, and energy issues worldwide. At their request, HSS performs reviews of IN information systems pursuant to the Federal Information Security Management Act (FISMA) requirements for independent security evaluations of information systems. The reviews include both cyber and physical security aspects.

4.3 National Nuclear Security Administration (NNSA)

NNSA is a semi-autonomous agency within DOE that has the mission to:

- enhance U.S. national security through the military application of nuclear energy;
- maintain and enhance the safety, reliability, and performance of the U.S. nuclear weapons stockpile;
- provide the U.S. Navy with safe, militarily effective nuclear propulsion plants and to ensure the safe and reliable operation of those plants;
- promote international nuclear safety and nonproliferation;

- reduce global danger from weapons of mass destruction; and
- support U.S. leadership in science and technology.

HSS conducts appraisals of NNSA programs and facilities and reports those findings to the Administrator, NNSA, as well as the Secretary. HSS may conduct special reviews of NNSA operations at the request of the Administrator, NNSA. A MOU between HSS and NNSA is maintained regarding unannounced cyber penetrating performance testing procedures conducted at NNSA sites. An interface protocol is also maintained that defines the operating relationship between the two entities when HSS performs independent oversight of NNSA environment, safety, and health activities.

NNSA also administers DOE and NNSA emergency response capability to ensure availability and viability to respond to emergencies at DOE and NNSA facilities and field sites, and to nuclear and radiological emergencies within the U.S. and abroad. NNSA serves as the DOE primary point of contact for all emergency management activities, developing and issuing all policy, procedures, and guidance; and overseeing implementation of the DOE Emergency Management System. HSS keeps NNSA informed of the implementation of emergency management policies; provides feedback to NNSA on the effectiveness of existing policies; provides technical review of proposed policies; and provides NNSA copies of HSS emergency management appraisals.

4.4 DOE Inspector General (IG)

The DOE IG promotes the effective, efficient, and economical operation of the Department programs and operations through audits, inspections, investigations, and other reviews designed to identify fraud, waste, and abuse of the U.S. tax dollar. HSS coordinates with the DOE IG when appraisal activities identify concerns that may have criminal or waste, fraud, and/or abuse considerations. In addition, HSS provides input to the IG for the annual evaluation of unclassified cyber security programs.

4.5 Defense Nuclear Facilities Safety Board (DNFSB)

DNFSB is an independent federal agency established by Congress in 1988 whose mandate, under the Atomic Energy Act, is to provide safety oversight of the nuclear weapons complex operated by DOE, including clean-up projects related to former weapons operations. The DNFSB purview is, therefore, primarily focused on NNSA and EM facilities. Within HSS, the DNFSB is most interested in the safety policy and independent safety oversight functions. The DNFSB is also interested in HSS assistance and training functions as they relate to health and safety. The DNFSB is required by its Congressional mandate to review DOE health and safety policy. The DNFSB also reviews the knowledge, skills, and abilities of DOE Federal personnel as these areas apply to the safe operation of defense nuclear facilities. HSS and DNFSB conduct inspections and appraisals of DOE operations independent of each other. However, the organizations share inspection results. HSS's Office of the Departmental Representative (HS-1.1) provides cross-organizational leadership for DOE in resolving technical and management issues raised by the Defense Nuclear Facilities Safety Board (DNFSB).

4.6 Nuclear Regulatory Commission (NRC)

Independent oversight activities for DOE facilities or activities licensed by the NRC must, except where excluded by law or DOE policy, be structured to minimize or eliminate duplication of oversight efforts while ensuring DOE security interests; emergency management; and ES&H programs and associated facilities are independently evaluated. Accordingly, the scheduling of HSS activities takes into account NRC inspection schedules.

Both the NRC and DOE develop policy in the areas of radiological protection, radioactive source management, and facility safety health and safety. Accordingly, HSS and NRC coordinate in early phases of policy development to ensure consistency where practical. In some areas, HSS and NRC actively collaborate to develop policy that establishes national policy.

More specifically, HSS coordinates with the NRC on Federal radiation protection policies and to the extent possible, improves consistency between DOE and NRC regulatory approaches for worker protection, public protection, environmental protection emergency response and nuclear and radiological security.

4.7 Occupational Safety and Health Administration (OSHA)

Many DOE facility operations fall under the regulatory jurisdiction of OSHA and DOE has utilized OSHA regulatory standards to define major components of the health and safety programs for DOE contractors and Federal workers. HSS maintains a working relationship with OSHA in order to stay aware of anticipated changes in OSHA regulations and to ensure that regulatory changes will be compatible with DOE operations and to ensure the necessary changes are correctly implemented.

4.8 Environmental Protection Agency (EPA)

DOE facilities and operations are subject to a number of environmental regulations and policies issued by EPA for the purpose of protecting human health and the environment. These implementing regulations and policies are established under the authority of a host of environmental statutes including the Clean Air Act (CAA), the Clean Water Act (CWA), the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), the Emergency Planning and Community Right-to-Know Act (EPCRA), the Pollution Prevention Act, the Resource Conservation and Recovery Act (RCRA), and the Toxic Substances Control Act (TSCA). HSS develops guidance to assist Department elements in complying with these regulatory requirements. HSS coordinates the development of DOE comments on emerging EPA environmental requirements, and serves as the advocate for the Department's position on these regulatory initiatives to ensure DOE's interests are recognized in the formulation of new environmental regulations and programs. HSS also prepares and interfaces with the EPA on petitions for regulatory variances or policy interpretations that address unique environmental

regulatory issues or specific waste streams that do not integrate well with established environmental requirements. HSS also represents DOE on inter-agency working groups chaired by the EPA, such as the Interagency Environmental Leadership Workgroup which addresses the implementation of environmental management systems under Executive Order 13423.

4.9 International Atomic Energy Agency (IAEA)

Although, DOE and the U.S. (except where required by treaty) are not bound by IAEA safety standards the Department strives to generally maintain consistency with them. HSS, in coordination with other Federal agencies, participates in IAEA standards development efforts and associated activities such as code and model verification and validation. In addition, DOE experience in radiation protection and nuclear safety is a valuable resource to help support development of effective international standards.

5.0 HSS IWMS Action Plan to Achieve Full Implementation

HSS has established the following action plan to document the development of the HSS IWMS. This action plan will be managed by the HSS Deputy Chief of Operations, who will provide periodic summary reports to the HSS management to keep adequate attention on this activity. The specific actions in this plan will be tracked in the HS Correspondence Tracking System (HSCT). Once this action plan is substantively implemented, this portion of the *IWMS Description* will be removed.

HSS IWMS Description

Revise the *HSS IWMS Description* to fully address security functions and update implementation status.	Lead: HSS IWMS Working Group (led by HS-10), in consultation with HS-1.2	By: December 2007
Revise the *HSS IWMS Description* to update implementation status.	Lead: HS-1.2	By: December 2008

HSS FRA Matrix

Finalize the *HSS Functions, Responsibilities, and Authorities* matrix	Lead: HS-1.2, with assistance from other HSS offices.	By: December 2007

HSS Annual Safety Performance Objectives, Measures and Commitments

Issue *HSS Annual Safety Performance Objectives, Measures and Commitments*	Lead: HS-10, with assistance from other HSS offices.	By: September 2007

HSS Work Practices Manual

Develop and issue *HSS Standard Operating Practices* (SOPs) on Administrative and Technical Practices	Lead: HS-1.2, with the support of the IWMS working group, and timely review by the HSS offices	By: September 2007

Develop and issue the *HSS Work Practices Manual* – in both formats, controlled manuals for identified HSS managers and via the HSS Intranet.	Lead: HS-1.2, with the support of the IWMS working group, and timely review by the HSS offices	By: September 2007

Policy

Issue Policy Procedure #1 – Develop Policy, Requirements and Guidance Documents.	Lead: HS-11, in consultation with HS-21 and HS-71 and others, as affected.	By: December 2007
Issue Policy Procedure #2 – Review and comment on Proposed External Regulations.	Lead: HS-21, in consultation with HS-11 and HS-71 and others, as affected.	By: December 2007
Issue Policy Procedure #3 – Review and comment on proposed DOE Directives.	Lead: HS-1 (Directives Point of Contact) in consultation with HS-11, HS-21, and HS-71 and others, as affected.	By: October 2007
Issue Policy Procedure #4 – Review and Recommend Action on Exemptions, Waivers, Alternative Methods, and Variances; approve certain DOE regulatory actions.	Lead: HS-71, in consultation with HS-11 and HS-21 and others, as affected.	By: December 2007
Policy Procedure #5 – Represent the Department in the development of national or international environmental, health, safety and security policy and guidance.	Lead: HS-21, in consultation with HS-11 and HS-71 and others, as affected.	By: December 2007

Assistance

Assistance Procedure #1 – Develop general HSS Procedure for Assisting Line Management	Lead: HS-12, with assistance from HS-22, HS-81	By: March 2008
Assistance Procedure #2 – Develop HSS Procedure for Assisting Line Programs with Identifying and Implementing External Environmental Requirements	Lead: HS-20	By: December 2007
Assistance Procedure #3 – Develop general HSS Procedure on providing DOE-wide tools and services	Lead: HS-30, with assistance from HS-10, HS-20, HS-70, and HS-80.	By: March 2008
Assistance Procedure #4 – Incorporate existing DOE Voluntary Protection Program documents into the HSS Work Practices Manual, a DOE Guide, or both.	Lead: HS-12	By: December 2007
Assistance Procedure #5 – Develop general HSS procedure for data analysis and reporting	Lead: HS-30 and HS-80	By: December 2007
Assistance Procedure #6 – Develop HSS procedure for conduct of epidemiological studies	Lead: HS-10	By: June 2008

Training

Review current NTC standard operating procedures for currency. Update, cancel, modify as necessary to bring into line with new HSS practices.	Lead: HS-50	By: December 2007
Review course materials for currency with recent standards and directives. Update, cancel, modify as necessary to bring into line with new HSS practices.	Lead: HS-50	By: March 2008

Oversight

Review and Update: *Independence Oversight Appraisal Process Protocols, January 2002*.	Lead: HS-60	By: December 2007
Review and Update: *Safeguards and Security Appraisal Process Guide, August 2000*	Lead: HS-61	By: March 2008
Review and Update: *Cyber Security Evaluations Appraisal Process Guide, November 2001*	Lead: HS-62	By: March 2008

Review and Update: *Emergency Management Limited Scope Performance Test Inspectors Guide, August 2005* *Emergency Management Program Evaluation Inspectors' Guide, November 2005* *Emergency Management Oversight Appraisal Process Guide, November 2005*	Lead: HS- 63	By: March 2008
Review and Update*:* *Environment, Safety, and Health Appraisal Process Guide, March 2003*	Lead: HS-64	By: March 2008

Enforcement

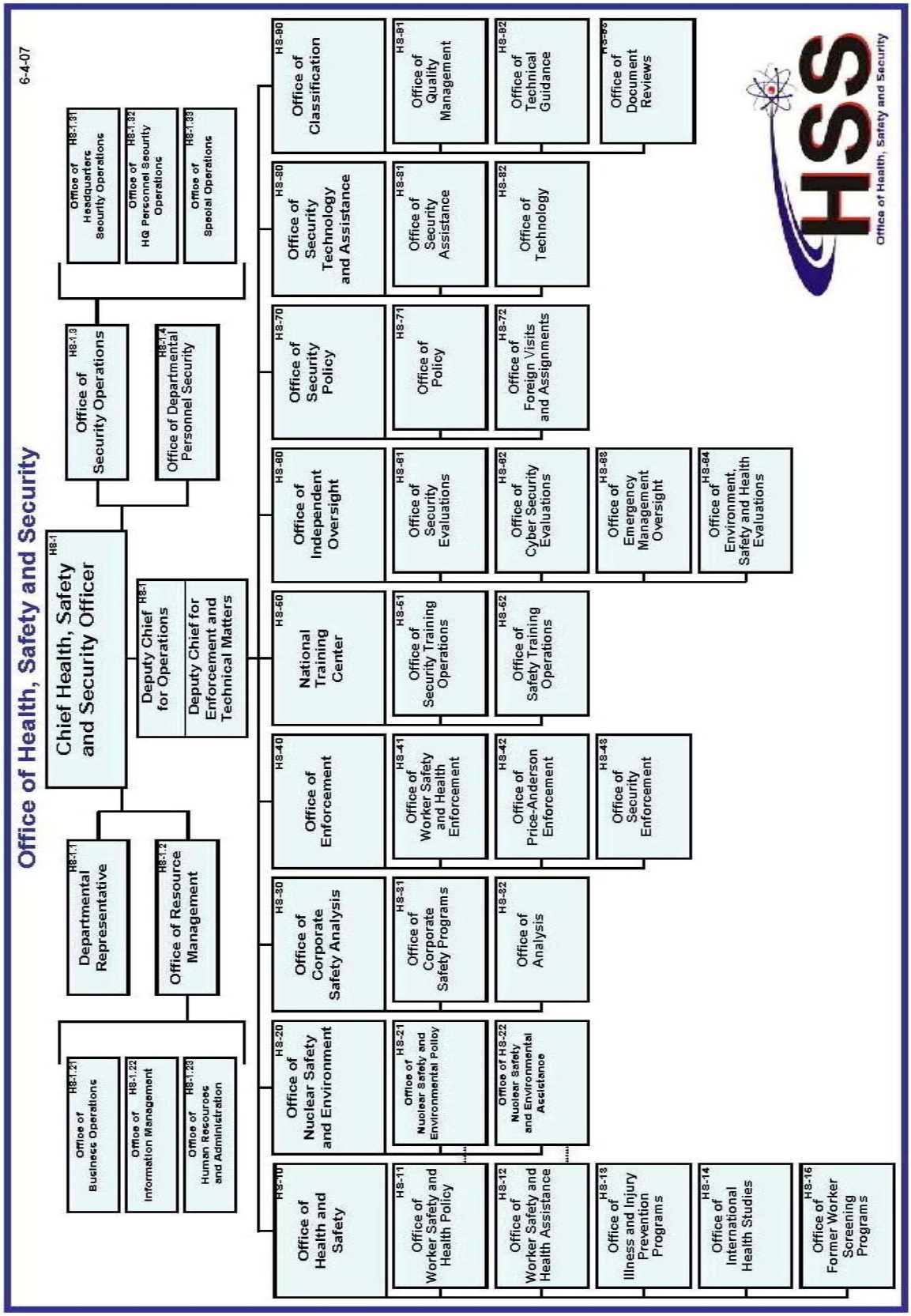
Update existing DOE Enforcement Process Overview to incorporate fully 10 CRF 824 (classified information security violations) in accordance with HSS protocols, including approval.	Lead: HS-40	By: December 2007

Management

Identify, develop and implement at least 15 standard operating practices for administrative practices in CY 2007.	Lead: HS-1.2	By: January 2008

Identify, develop and implement at least 15 standard operating practices for administrative practices in FY 2008.	Lead: HS-1.2	By: September 2008
Determine additional standard operating practices for administrative practices to be developed and implemented in FY 2008 and 2009.	Lead: HS-1.2	By: September 2008
Identify whether any additional practices are needed to manage facility operations at the NTC.	Lead: HS-50	By: September 2007
Starting with the FMFIA self-assessment process, modify the existing process to address ISM, EMS, and QA self-assessment requirements.	Lead: HS-1.2, with the support of HS-10, HS-20, and HS-30	By: September 2007

Appendix A: HSS Organization Chart



Appendix B

Crosswalk of Integrated Safety Management Requirements to HSS Integrated Work Management System

HSS ISM Responsibilities and Requirements **[Per DOE Manual 450.4-1, *Integrated Safety Management System Manual*]**	**HSS General Functions**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
Develop DOE safety policy, requirements, and guidance necessary for the effective implementation of the DOE ISM program, consistent with the Department's directives and standards systems. [DOE M 450.4-1, Chapter 1, 3.h.(1)]	**P**	**HS-11, HS-21**	*Policy Procedures #1 and #3 (to be developed – see IWMS Section 5.0)*
Support improvement in ISM programs by providing technical assistance to line management. [DOE M 450.4-1, Chapter 1, 3.h.(3)]	**A**	**HS-10**	*Assistance Procedures #1-#6 (to be developed)*
Provide an annual report to the Secretary concerning the overall status of implementation of ISM at DOE and identifying strengths, best practices, common weaknesses, and opportunities for improvement. [DOE M 450.4-1, Chapter 1, 3.h.(6)]	**O**	**HS-64, in consultation with HS-10**	*Independent Oversight Protocols and ES&H Appraisal Process Guide (to be revised)*
Designate an ISM Champion to support ISM implementation activities as directed. [DOE M 450.4-1, Chapter 1, 3.e.(6) and Chapter 1, 3.h.(7)]	**A**	**HS-10**	*Complete – HSS ISM Champion designated – See DS Memo, 12/8/06*
ISM Champions Council. DOE Secretarial Officers … must designate their ISM Champions and identify their Champion to their organizations and to the DOE ISM Champion. The DOE ISM Champions Council will operate in accordance with its Charter, provided in Attachment 5. [DOE M 450.4-1, Chapter II, 2.e)]	**A**	**HS-10**	*Complete – HSS ISM Champion designated – See DS Memo, 12/8/06*
Perform periodic independent oversight of ISM implementation at all levels (i.e., DOE Headquarters Secretarial offices, DOE field offices, and DOE contractors), consistent with the requirements of DOE O 226.1, *Implementation of DOE Oversight Policy*. [DOE M 450.4-1, Chapter 1, 3.h.(4)]	**O**	**HS-64**	*Independent Oversight Protocols and ES&H Appraisal Process Guide (to be revised)*
Provide observations and recommendations to reviewed organizations to improve ISM effectiveness, consistent with the requirements of DOE O 226.1, *Implementation of DOE Oversight Policy*. [DOE M 450.4-1, Chapter 1, 3.h.(5)]	**O**	**HS-64**	*Independent Oversight Protocols and ES&H Appraisal Process Guide (to be revised)*

HSS ISM Responsibilities and Requirements **[Per DOE Manual 450.4-1, *Integrated Safety Management System Manual*]**	**HSS General Functions**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
Develop, approve, maintain, and implement Secretarial office ISM systems, as described in ISM system descriptions, which are complete, accurate and up-to-date; provide Secretarial office ISM system descriptions to the Central Technical Authority for information (Note: HSS will provide its ISM system description to the Deputy Secretary). [DOE M 450.4-1, Chapter 1, 3.e.(1)]	**M** (Planning, Organizing, Integrating & Coordinating)	**HS-10,** in consultation with HS-1.2	*See IWMS Description, Section 1.2, Change Control*
Integrate EMS and QAP into Secretarial office and field office ISM systems, pursuant to DOE O 450.1, *Environmental Protection Program*, and DOE O 414.1C, *Quality Assurance*. [DOE M 450.4-1, Chapter 1, 3.e.(2)]	**M** (Planning, Organizing, Integrating & Coordinating)	**HS-10,** in consultation with HS-1.2 and HS-20	*See Appendices C and D.*
Perform an annual ISM effectiveness review, and using the results of this review, make an annual declaration of the status of ISM implementation within the Secretarial office to the next level of DOE management (Deputy Secretary for HSS, and CTAs for NNSA, EM, and NE, Under Secretary for Science for SC). [DOE M 450.4-1, Chapter 1, 3.e.(4)]	**M** (Self-Assessment and Continuous Improvement)	**HS-10,** in consultation with HS-1.2	*Management Self-Assessment Process Procedures (to be developed)*
Approve annual safety performance objectives, measures, and commitments and provide to the cognizant Central Technical Authority (Note: HSS will provide these to the Deputy Secretary). [DOE M 450.4-1, Chapter 1, 3.e.(5)]	**M** (Planning, Organizing, Integrating & Coordinating)	**HS-10,** in consultation with HS-1.2, HS-20 and HS-30	*See Section 1.3 (First set to be developed).*
Use results from annual ISM reviews and declarations to drive ownership and improvement by providing clear, timely, and accurate feedback, including identifying new goals and directions for improvement in the following year, good practices and lessons learned for effective ISM implementation, inputs to the annual planning and budgeting cycle, goal setting as in the DOE Management Challenges, and performance appraisals, to DOE personnel. [DOE M 450.4-1, Chapter 1, 3.e.(7)]	**M** (Self-Assessment and Continuous Improvement)	**HS-10,** in consultation with HS-1.2	*Management Self-Assessment Process Procedures (to be developed)*
As part of the HSS ISM system description, describe ongoing safety initiatives in the context of DOE-wide ISM implementation and link these initiatives to ISM systems, functions, performance objectives and measures. Provide the HSS ISM system description to the Deputy Secretary and line programs so they will understand how ongoing HSS safety initiatives fit within the Department's ISM system implementation. [DOE M 450.4-1, Chapter 1, 3.h.(2)]	**M** (Planning, Organizing, Integrating & Coordinating)	**HS-10,** in consultation with HS-20 for EMS initiatives	*See Section 1.3 (First set to be developed).*

HSS ISM Responsibilities and Requirements **[Per DOE Manual 450.4-1, *Integrated Safety Management System Manual*]**	**HSS General Functions**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
DOE HQ Secretarial offices must develop and implement ISM systems. DOE HQ Secretarial offices must develop and maintain ISM system descriptions to ensure that they are complete, accurate and up-to-date. Each Secretarial office must issue an approved Secretarial office ISM system description within six months of the issuance of this Manual and must achieve full implementation of the system description within two years of issuance of the system description. [DOE M 450.4-1, Chapter II, 1.a (1) – (6)]	**M** (Planning, Organizing, Integrating & Coordinating)	**HS-10,** in consultation with HS-1.2	*IWMS Implementing Procedures to be developed (as described in Section 5).*
DOE Secretarial offices and field offices will perform an annual ISM effectiveness review to develop their annual ISM declarations. The annual ISM review will encompass a review of the content and results of relevant self-assessments, line oversight, lower-level ISM reviews, and the annual integrated review of lower-level ISM reviews; a review of performance against the past year's safety performance objectives, measures, and commitments; and pertinent feedback data from a variety of relevant mechanisms. Guidelines for performing annual ISM effectiveness reviews are provided in Attachment 4. [DOE M 450.4-1, Chapter II, 2.b.(1) – (4)]	**M** (Self-Assessment and Continuous Improvement)	**HS-10,** in consultation with HS-1.2	*Management Self-Assessment Process Procedures (to be developed)*
Annual Performance Expectations and Performance Objectives. DOE HQ Secretarial offices will annually prepare safety performance objectives, measures, and commitments, and provide these to the applicable CTA or DOE senior official over the office (the Deputy Secretary for HSS, ...). [DOE M 450.4-1, Chapter II, 2.c)]	**M** (Planning, Organizing, Integrating & Coordinating)	**HS-30,** in consultation with HS-10 and HS-1.2	*See Section 1.3 (First set to be developed).*
Conduct line oversight of the implementation of ISM at field offices assigned to the Secretarial office, consistent with the requirements and guidance of DOE O 226.1, *Implementation of Department of Energy Oversight Policy*, and Attachment 4 of this Manual, *Guidelines for Improving DOE ISM System Implementation*. [DOE M 450.4-1, Chapter 1, 3.e.(3)]	**M** (Operations Management)	**HS-50**	*NTC operating procedures (to be revised)*
Line Oversight. DOE Secretarial offices … will perform line oversight of ISM implementation at the next lower tier, consistent with the requirements and guidance of DOE O 226.1, *Implementation of Department of Energy Oversight Policy*. [DOE M 450.4-1, Chapter II, 2.a]	**M** (Operations Management)	**HS-50**	*NTC operating procedures (to be revised)*
Provide direction, including reporting dates, to field offices for annual ISM effectiveness reviews, annual ISM declarations, and annual safety performance objectives, measures, and commitments. [DOE M 450.4-1, Chapter 1, 3.e.(8)]	**M** (Operations Management)	**HS-50**	*NTC operating procedures (to be revised)*

Crosswalk of ISM Guiding Principles and Core Functions to HSS Integrated Work Management System

DOE Manual 450.4-1, *Integrated Safety Management System Manual*, requires ISM System Descriptions to explicitly describe how the various ISM guiding principles and core functions are implemented. HSS is responsible for two sets of hazardous operations at DOE facilities: (1) training operations at the National Training Center, and (2) HQ security operations at the DOE HQ facility. Using ISM to assure safety of these two activities at DOE facilities is a primary responsibility of HSS. At other DOE facilities, HSS is in a support role, providing policy, assistance, training, oversight and enforcement to help the line managers of these facilities operate them in a safe and effective manner. In some instances, HSS personnel must perform work activities, such as safety oversight, within hazardous facilities. In these instances, HSS follows the safety programs and requirements established for these specific facilities. Finally, many HSS employees perform their regular work activities in office locations, which have minimal hazards. This final area is outside the scope of HSS ISM but is covered by HSS occupational medicine program and Federal Employee Occupational Safety and Health program, managed by HS-10.

The cross-walk below is focused on the HSS internal management function only. The externally-focused functions (policy, assistance, training, oversight, and enforcement) relative to implementing the DOE Integrated Safety Management program are adequately described elsewhere. For example, the policy and independent oversight functions are both specifically called out in the DOE Manual 450.4-1 and addressed in the preceding cross-walk. The assistance and training functions are in support of assigned line managers, who carry the primary responsibilities. The enforcement function complements the ISM core function for feedback and improvement. The cross-walk below described how HSS implements the ISM guiding principles and core functions for its own HSS hazardous operations at DOE facilities.

ISM Core Functions and Guiding Principles **[per DOE Manual 450.4-1, Chapter II, 1.a.(1) (b) & (c)]**	**Discussion**	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
ISM Guiding Principle #1 - Line Management Responsibility For Safety	HS-1.3 and HS-50 are responsible for demonstrating line responsibility for safety.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Guiding Principle #2 - Clear Roles and Responsibilities	This is addressed in the HSS FRA Matrix. Further articulation of roles and responsibilities will be provided in local procedures.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Guiding Principle #3 - Competence Commensurate with Responsibilities	HS-1.3 and HS-50 are responsible for ensuring adequate training and qualification of its personnel performing hazardous operations.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Guiding Principle #4 - Balanced Priorities	HS-1.3 and HS-50 are responsible for demonstrating balanced priorities.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*

ISM Core Functions and Guiding Principles [per DOE Manual 450.4-1, Chapter II, 1.a.(1) (b) & (c)]	**Discussion**	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
ISM Guiding Principle #5 - Identification of Safety Standards and Requirements	HS-1.3 and HS-50 are responsible for identifying and implementing relevant safety standards.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Guiding Principle #6 - Hazard Controls Tailored to Work Being Performed	HS-1.3 and HS-50 are responsible for implementing hazard controls.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Guiding Principle #7 - Operations Authorization	HS-1.3 and HS-50 are responsible for authorizing operations.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
Supplemental Safety Culture Element #1 – Individual Attitude and Responsibility for Safety.	HS-1.3 and HS-50 are responsible for promoting individual attitude and responsibility for safety.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
Supplemental Safety Culture Element #2 – Operational Excellence.	HS-1.3 and HS-50 are responsible for excellence in operations.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
Supplemental Safety Culture Element #3 – Oversight for Performance Assurance	HS-1.3 and HS-50 are responsible for oversight of their operations.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
Supplemental Safety Culture Element #4 – Organizational Learning for Performance Improvement.	HS-1.3 and HS-50 are responsible for learning for organizational improvement.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Core Function #1 - Define the Scope of Work	HS-1.3 and HS-50 are responsible for defining the scope of their hazardous operations.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Core Function #2 – Analyze the Hazards	HS-1.3 and HS-50 are responsible for analyzing hazards associated with their operations.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*

ISM Core Functions and Guiding Principles [per DOE Manual 450.4-1, Chapter II, 1.a.(1) (b) & (c)]	**Discussion**	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
ISM Core Function #3 – Develop and Implement Hazard Controls	HS-1.3 and HS-50 are responsible for developing and implementing hazard controls.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Core Function #4 – Perform Work within Controls	HS-1.3 and HS-50 are responsible for performing work within controls.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*
ISM Core Function #5 – Provide Feedback and Continuous Improvement	HS-1.3 and HS-50 are responsible for using feedback for improvement.	**M (Operations Management)**	**HS-1.3, HS-50**	*NTC and HQ Security operating procedures (to be revised)*

Appendix C

Crosswalk of Quality Assurance Requirements to HSS Integrated Work Management System

The cross-walk below is focused on HSS internal management – how HSS ensures that its work products are completed in a quality manner.

QA Criteria [per DOE Order 414.1C, Quality Assurance]	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
Management Criterion #1 – Program			
Establish an organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing and assessing work.	M (Planning, Organizing, Integrating & Coordinating)	HS-1.2	*HSS Management Procedures on Organization (to be developed)*
Establish management processes, including planning, scheduling and providing resources for work.	M (Planning, Organizing, Integrating & Coordinating)	HS-1.2	*IWMS Implementing Procedures to be developed (as described in Section 5).*
Management Criterion #2 – Personnel Training and Qualification			
Train and qualify personnel to be capable of performing assigned work.	M (Human Resources)	HS-10, in consultation with HS-1.2 and HS-50	*HSS Management Procedures to implement FTCP, DOE Order 360, and professional development (to be developed)*
Provide continuing training to personnel to maintain job proficiency.	M (Human Resources)	HS-10, in consultation with HS-1.2 and HS-50	*HSS Management Procedures on TQP and professional development (to be developed)*

QA Criteria [per DOE Order 414.1C, Quality Assurance]	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
Management Criterion #3 – Quality Improvement			
Establish and implement processes to detect and prevent quality problems.	M (Self-Assessment and Continuous Improvement)	HS-30, in consultation with HS-1.2	*HSS Management Procedure on Quality Improvement (to be developed)*
Identify, control and correct items, services and processes that do not meet established requirements.	M (Self-Assessment and Continuous Improvement)	HS-30, in consultation with HS-1.2	*HSS Management Procedure on Quality Improvement (to be developed)*
Identify the causes of problems and include prevention of recurrence as part of corrective action planning.	M (Self-Assessment and Continuous Improvement)	HS-30, in consultation with HS-1.2	*HSS Management Procedure on Quality Improvement (to be developed)*
Review item characteristics, process implementation, and other quality related information to identify items, services and processes needing improvement.	M (Self-Assessment and Continuous Improvement)	HS-30, in consultation with HS-1.2	*HSS Management Procedure on Quality Improvement (to be developed)*
Management Criterion #4 – Documents and Records			
Prepare, review, approve, issue, use and revise documents to prescribe processes, specific requirements or established design	M (Administration and Infrastructure)	HS-30, in consultation with HS-1.2	*HSS Management Procedure on Documents and Records (to be developed)*
Specify, prepare, review, approve and maintain records	M (Administration and Infrastructure)	HS-30, in consultation with HS-1.2	*HSS Management Procedure on Documents and Records (to be developed)*

QA Criteria [per DOE Order 414.1C, Quality Assurance]	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
Performance Criterion #5 – Work Processes			
Perform work consistent with technical standards, administrative controls, and hazard controls adopted to meet regulatory or contract requirements using approved instructions, procedures, etc.	M (Operations Management)	All HSS offices	*IWMS Implementing Procedures to be developed (as described in Section 5).*
Identify and control items to ensure their proper use	M (Operations Management)	HS-50	*NTC Operating Procedures (to be revised) and IWMS Implementing Procedures (to be developed)*
Maintain items to prevent their damage, loss or deterioration	M (Operations Management)	HS-50	*NTC Operating Procedures (to be revised) and IWMS Implementing Procedures (to be developed)*
Calibrate and maintain equipment used for process monitoring or data collection	M (Operations Management)	HS-50	*NTC Operating Procedures (to be revised)*
Performance Criterion #6 – Design			
Design items and processes using sound engineering/scientific principles and appropriate standards	N/A	N/A	N/A
Incorporate applicable requirements and design bases in design work and design processes	N/A	N/A	N/A
Identify and control design interfaces	N/A	N/A	N/A
Verify/validate the adequacy of design products using individuals or groups other than those who performed work	N/A	N/A	N/A
Verify/validate work before approval and implementation of the design	N/A	N/A	N/A
Performance Criterion #7 – Procurement			
Procure items and services that meet established requirements and perform as specified	M (Finance and Contracts)	HS-1.2	*HSS Management Procedures on Contracting (to be developed)*
Evaluate and select prospective suppliers on the basis of specified criteria	M (Finance and Contracts)	HS-1.2	*HSS Management Procedures on Contracting (to be developed)*

QA Criteria [per DOE Order 414.1C, Quality Assurance]	**HSS General Function**	**Lead HSS Office**	**Implementing Mechanism (in addition to *HSS IWMS* & *FRA* Matrix)**
Establish and implement processes to ensure that approved suppliers continue to provide acceptable items and services	M (Finance and Contracts)	HS-1.2	*HSS Management Procedures on Contracting (to be developed)*
Performance Criterion #8 – Inspection and Acceptance Testing			
Inspect and test specified items, services and processes using established acceptance and performance criteria	N/A	N/A	N/A
Calibrate and maintain equipment used for inspection and tests	N/A	N/A	N/A
Assessment Criterion #9 – Management Assessment			
Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives	M (Self-Assessment and Continuous Improvement)	HS-1.2	*HSS Management Self-Assessment Process Procedures (to be developed)*
Assessment Criterion #10 – Independent Assessment			
Plan and conduct independent assessments to measure item and service quality and the adequacy of work performance and to promote improvement	M (Self-Assessment and Continuous Improvement)	HS-30	*HSS Management Procedures on Independent Assessment (to be developed)*
Establish sufficient authority and freedom from line management for independent assessment teams	M (Self-Assessment and Continuous Improvement)	HS-30	*HSS Management Procedures on Independent Assessment (to be developed)*
Ensure that persons conducting independent assessment are technically qualified and knowledgeable in the areas to be assessed	M (Self-Assessment and Continuous Improvement)	HS-30	*HSS Management Procedures on Independent Assessment (to be developed)*

Appendix D

Cross-walk of Environmental Management System (EMS) requirements to HSS Integrated Work Management System

This EMS crosswalk is based on the elements in the ISO 14001:2004 EMS standard. ISO 14001 is the *de facto* standard for EMS. In particular, the *Instructions* issued by the Council on Environmental Quality pursuant to the new Executive Order (EO) 13423, *Federal Environmental, Energy and Transportation Management,* require environmental management systems at federal agencies to "reflect the EMS elements and framework found in the ISO 14001:2004(E) International Standard or equivalent."

It has not been determined how the EO 13423 requirements will be implemented for HSS. DOE O 450.1, *Environmental Management Program*, is being revised to reflect the new requirements of EO 13423. To date, with a few exceptions, EMSs have been developed by the contractors at DOE sites. EO 13423 requires the Department to implement EMS at "all appropriate levels of the organization." It remains to be determined whether HSS as an organization will formally implement an EMS, or whether the EO 13423 requirements will be addressed through another mechanism. The specific responsibilities and requirements of the revised Order and HSS's implementing mechanisms will be reflected in a future revision of the *HSS IWMS Description*.

Since ISM is the Department's umbrella management system for ES&H, EMS requirements will be integrated as fully as possible into the existing ISMS framework provided in DOE M 450.4-1, *Integrated Safety Management System Manual.*

Specific HSS implementing mechanisms will be identified in a future revision of the HSS IWMS Description, following the revision of DOE Order 450.1, *Environmental Management Program*, which is currently underway. HSS expects to develop a future cross-walk between HSS implementing mechanisms and the key EMS elements, such as policy, planning, implementation and operation, checking, and management review.

Appendix E

Acronyms and Abbreviations

HSS General Functions

P – Policy
A – Assistance
T – Training
O – Oversight (Independent Oversight)
E – Enforcement
M – Management

Other Abbreviations and Acronyms

CAA – Clean Air Act
CAIRS – Computerized Accident and Injury Reporting System
CAMP – Corrective Action Management Program
CAP – Corrective Action Plan
CATS – Corrective Action Tracking System
CERCLA – Comprehensive Environmental Response, Compensation, and Liability Act
CFR – Code of Federal Regulations
CHRIS – Corporate Human Resource Information System
CRAD – Criteria Review and Approach Document
CWA – Clean Water Act
DNFSB – Defense Nuclear Facilities Safety Board
DOE – Department of Energy
DOE LAP – DOE Laboratory Accreditation Program
DPO – Differing Professional Opinion
EAP – Employee Assistance Program
EEOICP - Energy Employees Occupational Illness Compensation Program
EMS – Environmental Management System
EO – Executive Order
EPA – Environmental Protection Agency
EPCRA – Emergency Planning and Community Right-to-Know Act
ES&H – Environment, Safety and Health
FACTS - Foreign Access Central Tracking System
FEOSH – Federal Employee Occupational Safety and Health

FERC – Federal Energy Regulatory Commission
FISMA – Federal Information Security Management Act
FMFIA – Federal Managers Financial Integrity Act
FOCI - Foreign Ownership, Control, or Influence
FRA – Functions, Responsibilities and Authorities
FTF – Filter Test Facility
FV&A - Foreign Visit and Assignments
HEPA – High Efficiency Particulate Air
HQ – Headquarters
HRP – Human Reliability Program
HS – DOE Office of Health, Safety and Security (used for HS office designations)
HSS – DOE Office of Health, Safety and Security
HSCT – HSS Correspondence Tracking System
IAEA – International Atomic Energy Agency
IG – Inspector General
IN – DOE Office of Intelligence and Counterintelligence
ISM – Integrated Safety Management
ISSM - Integrated Security and Safeguards Management System
ITAC - Incident Tracking and Analysis Capability
IWMS – Integrated Work Management System
MA – DOE Office of Management
MOA – Memorandum of Agreement
MOU – Memorandum of Understanding
NMMSS – Nuclear Materials Management and Safeguards System
NNSA – National Nuclear Security Administration
NRC – Nuclear Regulatory Commission
NTC – National Training Center
NTS – Noncompliance Tracking System
OCIO – DOE Office of the Chief Information Officer
OMB – Office of Management and Budget
ORPS – Occurrence Reporting and Processing System
OSHA – Occupational Safety & Health Administration
PPA – Pollution Prevention Act
PSO – Program Secretarial Officer
QA – Quality Assurance
QAP – Quality Assurance Program

RCRA – Resource Conservation and Recovery Act
REMS – Radiation Exposure Monitoring System
REDRAD – Residual Radioactivity
SAV – Site Assistance Visit
SIMS – Safety Issues Management System
SOP – Standard Operating Procedure
SSIMS – Safeguards and Security Information Management System
TAP – Technical Assessment Protocol
TQP – Technical Qualification Program
TSCA – Toxic Substances Control Act
USC – United States Code
VPP – Voluntary Protection Program

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Accident Investigation (Assistance)	Analyzes accident data to assist in identifying trends and conditions surrounding the initiation or occurrence of accidents.	DOE O 225.1A, 5.a. (5) (d)	HS-30	HS-31
Accident Investigation (Assistance)	Charters limited scope investigations for occurrences, incidents, or accidents based on recommendations from the Office of Independent Oversight.	DOE O 225.1A, 5.a. (4)	HS-1	HS-30 HS-60
Accident Investigation (Assistance)	Develops and disseminates information on uniform DOE accident investigation techniques and ensures training is provided to DOE Accident Investigation Board Chairpersons and DOE Accident Investigators.	DOE O 225.1A, 5.a. (5) (g)	HS-30	HS-31 HS-52
Accident Investigation (Assistance)	Develops and disseminates lessons learned from all Type A and limited scope accident investigations.	DOE O 225.1A, 5.a. (5) (f)	HS-30	HS-31
Accident Investigation (Policy)	Develops and maintains DOE accident investigation policies, procedures, standards, and guidelines, and oversees their implementation.	DOE O 225.1A, 5.a. (5) (a)	HS-30	HS-31
Accident Investigation (Policy)	Grants waivers of the requirement to conduct Type A or Type B accident investigations for accidents that meet the criteria for such investigations in the Categorization Algorithm provided in the Order.	DOE O 225.1A, 5.a. (3)	HS-1	HS-30
Accident Investigation (Assistance)	Maintains a list of prospective DOE Accident Investigation Board Chairpersons, DOE Accident Investigators, and technical subject matter experts.	DOE O 225.1A, 5.a. (5) (h)	HS-30	HS-31
Accident Investigation (Assistance)	Performs complex-wide analyses of accidents to guide and focus oversight efforts based on analyzed safety impact and Department-wide significance.	DOE O 225.1A, 5.a. (5) (e)	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Accident Investigation (Assistance)	Provides investigative and technical subject matter expertise to Appointing Officials, Board Chairpersons, and points of contact, as requested.	DOE O 225.1A, 5.a. (5) (i)	HS-30	HS-31 HS-52
Accident Investigation (Policy)	Recommends to the Chief Health, Safety and Security Officer approval or disapproval of requests for waivers of the requirement to conduct Type A and Type B accident investigations.	DOE O 225.1A, 5.a. (5) (c)	HS-30	HS-31
Accident Investigation (Assistance)	Recommends to the Chief Health, Safety and Security Officer whether or not an occurrence, incident, or accident warrants a limited scope, Type B, or Type A accident investigation based on an assessment of the significance of the occurrence, incident, or accident.	DOE O 225.1A, 5.a. (5) (b)	HS-30	HS-31
Accident Investigation (Assistance)	Reviews all delegated Type A accident investigation reports before acceptance by the Appointing Official and provides comments to the Appointing Official.	DOE O 225.1A, 5.a. (2)	HS-30	HS-31
Accident Investigation (Assistance)	Reviews and provides comments to Appointing Officials on corrective action plans resulting from Type A and Type B investigations.	DOE O 225.1A, 5.a. (5) (j)	HS-30	HS-31
Accident Investigation (Assistance)	Reviews Type B accident investigation reports and provides comments to the Appointing Official.	DOE O 225.1A, 5.a. (5) (l)	HS-30	HS-31
Accident Investigation (Assistance)	Serves as Appointing Official of Type A Accident Investigation Boards, subject to conditions specified in the memorandum of delegation and Board appointment.	DOE O 225.1A, 5.a. (1)	HS-1	HS-30
Accident Investigation (Assistance)	Verifies completion of approved corrective actions and satisfaction of judgments of need.	DOE O 225.1A, 5.a. (5) (k)	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Analytical Services Program (Assistance)	DOE Consolidated Audit Program (DOECAP).	DOE Management Transfer of Responsibility from EM to EH per memorandum from Beverly Cook dated January 13, 2004.	HS-30	HS-31
Analytical Services Program (Assistance)	Mixed Analyte Performance Evaluation Program (MAPEP).	DOE Management Transfer of Responsibility from EM to EH per memorandum from Beverly Cook dated January 13, 2004.	HS-30	HS-31
Analytical Services Program (Assistance)	Systematic Planning and Data Assessment Tools and Training (SPADAT) Program.	DOE Management Transfer of Responsibility from EM to EH per memorandum from Beverly Cook dated January 13, 2004.	HS-30	HS-31
Analytical Studies (Assistance)	Conducts analyses of operating experience and root cause analysis to support continuous improvement in ES&H performance across the entire DOE complex.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Conducts safety monitoring and analyses and trending and include results in Quarterly Safety Report and DOE Annual Report for external stakeholders and the public.	DOE O 210.2, 5.c	HS-30	HS-32
Analytical Studies (Assistance)	Develops and improves ES&H accountability processes by linking performance analyses with enhanced accountability mechanisms for contractor ES&H performance in contracts.	DOE O 210.2, CRD	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Analytical Studies (Assistance)	Develops complex and site specific analyses to identify vulnerabilities, trends and emerging issues of interest to senior DOE and contractor management, and the public.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Develops, promotes and facilitates the implementation of a lessons-learned program.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Evaluates the effectiveness of DOE operations and management in meeting ES&H policies, goals and objectives.	DOE O 210.2, 5.c DOE O 450.1 5.a.(2)	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Improves the use of fee for ES&H performance and developing methods for spurring appropriate contractor behaviors to protect the public, workers and the environment.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Prepares and disseminates operating experience information for the DOE complex on a periodic basis.	DOE O 210.2, 5.c(9)	HS-30	HS-32
Analytical Studies (Assistance)	Prepares meaningful and easily understood assessments of the Department's overall effectiveness in protecting the public, the workers and the environment.	DOE O 210.2, 5.c DOE O 450.1 5.a.(2)	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Prepares Quarterly Reports on ES&H performance for the Secretary's Office.	DOE O 210.2, 5.c(9)	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Provides corporate ES&H analyses to support top management decision-making and increase awareness of ES&H performance issues.	DOE O 210.2, 5.c(8)	HS-30	HS-32
Analytical Studies (Assistance)	Provides support for event related inquiries and other management requests, e.g., program office briefings and support to the Office of Independent Oversight assessments.	DOE O 210.2, 5.c(9)	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Appraisals, Assessments, and Self-Assessments (Training)	Perform appraisals and assessments that support NTC needs.	10 CFR 830, Subpart A; DOE O 414.1C DOE O 420.1A DOE O 450.1 DOE P 450.5	HS-50	HS-52
Compliance & Enforcement (Enforcement)	Conducts and participates in activities that facilitate improved contractor performance including conduct of DOE and contractor PAAA (Enforcement Coordinator training and coordination with the Energy Facility Contractors Group PAAA Work Group and EFCOG Security Working Group).	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Considers comprehensiveness and promptness of corrective actions as part of civil penalty mitigation process.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Develops and maintains DOE Enforcement Policies and coordinates with DOE field and Program elements to ensure consistent application of regulatory mechanisms and the Enforcement Policy Process across the Department.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Evaluates the effectiveness of contractor programs in meeting DOE worker safety and health, nuclear safety, and security requirements and self-regulatory criteria.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Implements the Department's congressionally mandated worker safety and health, nuclear safety, and security enforcement programs that include processes and incentives for contractors to promptly identify, report, and correct noncompliances.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Compliance & Enforcement (Enforcement)	Investigates and resolves through enforcement actions and civil penalties significant contractor violations of DOE worker safety and health, nuclear safety, and security requirements that do not warrant enforcement discretion.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Presides over enforcement conferences and issues enforcement actions (for example preliminary notices of violation with or without civil penalties, enforcement letters or compliance orders, etc.).	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Processes cases and develops evidentiary support to sustain proposed enforcement sanctions	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Promotes overall improvement in the Department's worker safety and health, nuclear safety, and security programs through management and implementation of the DOE statutorily required enforcement programs.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Provides feedback and lessons learned on worker safety and health, nuclear safety, and security performance issues through the HSS Web site and promulgation of enforcement guidance.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Reviews and tracks noncompliance and determines need to initiate enforcement investigation process based on safety and security significance and other considerations.	10 CFR 820 10 CFR 851	HS-40	HS-41 HS-42
Corrective Action Management Program – CAMP (Assistance)	Continuously update CSO's and FEMs on the status of CAMP implementation and formally report program status to the Deputy Secretary and senior DOE managers on a quarterly basis.	DOE O 414.1C, 5.e.(3)c	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Corrective Action Management Program – CAMP (Assistance)	Coordinates status and maintenance of CAMP with SOs, FEMs, and assessing organizations, including periodic reports on program status.	DOE O 225.1A, 5.c.(12)(d) DOE O 414.1C, 5.e.(3)c DOE O 470.2B, 5.e.(1 & 2)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Enter all findings and Judgments of Need into the Corrective Action Tracking System (CATS).	DOE O 470.2B 5.a.(7)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Maintain direction and daily monitoring of the Corrective Action Management Program (CAMP) in coordination with CSO's and FEMs.	DOE O 414.1C, 5.e.(3)c	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Maintain timeliness and quality control of the DOE Corrective Action Tracking System (CATS) used to track and report the status of the CAMP.	DOE O 414.1C, 5.e.(3)c DOE O 470.2B, 5.g	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Maintains CATS and assists FEMs in accessing and editing CAP data. Maintains a CAMP Web site that provides background and information on the program.	DOE O 414.1C,5.E.(3)(b) DOE O 470.2B, 5.g.(3)	HS-30	HS-31
Corrective Action Management Program – CAMP (Policy)	Manages CAMP and develops and maintains CAMP policies, procedures, and guidelines.	DOE O 414.1C, 5.e.(3)(a) DOE O 470.2B, 5.g.(1)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Manages crosscutting issues as directed by the Secretary or Deputy Secretary.	DOE O 225.1A, 5.c.(12)(c & d) DOE O 414.1C, 5.e.(3)(e) DOE O 470.2B, 5.g.(6)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Sponsors and co-chairs the DOE Corrective Action Management (CAM) Team members on specific organizational and DOE-wide CAMP activities and issues.	DOE O 225.1A, 5.c.(12)(c & d) DOE O 470.2B, 5.g.(3)	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Corrective Action Plans – CAPs (Oversight)	Review CAPs and provide comments within prescribed time frames.	DOE O 470.2B 5.a.(8)	HS-60	HS-63 HS-64
Corrective Action Tracking System – CATS (Assistance)	Ensures appropriate findings (and related information) are entered into the CATS.	DOE O 470.2B 5.a.(7)	HS-60	HS-63 HS-64
DNFSB Interface (Assistance)	Advises the Secretary, Deputy Secretary, Under Secretaries, Chief Health, Safety and Security Officer, Secretarial Officers, and other Department executives of Board priorities, concerns, actions, and plans.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Cooperate with the DNFSB and respond to DNFSB recommendations as applicable.	DOE M 140.1-1B	HS-1	
DNFSB Interface (Assistance)	Coordinates Board review and comments resolution for DOE Directives of interest to the Board.	DOE M 140.1-1B, Ch. I, 3.e DOE M 251.1B DOE-TSPP-6	HS-1.1	
DNFSB Interface (Assistance)	Coordinates with affected Secretarial Officers and designates a Cognizant Secretarial Officer to respond to a Board recommendation, Board correspondence, and other Board issues.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Facilitates communication and cooperation between Departmental elements and the external entities including the DNFSB and its staff.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Facilitates implementation of the Department's corporate issues management process for analysis and resolution of crosscutting issues from DNFSB recommendations and concerns.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Maintains and distributes a listing of key Department personnel for DNFSB-related activities.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
DNFSB Interface (Assistance)	Maintains and provides guidance on the Department's Interface Manual to Departmental Points of Contact and support personnel.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Maintains the Department's central repository of official DNFSB communications and makes this information available to Department and contractor personnel.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Manages the Department's interface activities and provides direction and advice to the line on Board-related matters.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Manages the Department's Safety Issues Management System for DNFSB-related issues, commitments, and actions.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Prepares reports on DNFSB-related activities for senior Department management, Congress, and the President.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Represents the Secretary in regular and continuing interactions with the Defense Nuclear Facilities Safety Board.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Reviews written communications (with the exception of responses to information requests and routine distribution of evaluations/assessments) from the Department to the DNFSB, for consistency and responsiveness.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Serves as the initial Departmental lead for each incoming DNFSB recommendation until a Responsible Manager is identified.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DOE Dam Safety Inspection Program (Assistance)	Participate on the Interagency Committee on Dam Safety (ICODS). Coordinate technical and training information provided through the ICODS with DOE site engineers.	Dam Safety and Security Act of 2002 (Public Law 107-310)	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
DOE Dam Safety Inspection Program (Assistance)	Perform periodic inspections of selected dams at various DOE sites using FERC.	Federally mandated program authorized under Public Law 104-303	HS-30	HS-31
DOE Dam Safety Inspection Program (Assistance)	Provide status of DOE dams based on the FERC periodic inspections to FEMA for federally mandated biennial reporting.	Dam Safety and Security Act of 2002 (Public Law 107-310)	HS-30	HS-31
DOE Laboratory Accreditation Program – DOELAP (Assistance)	Develop and implement the DOELAP, approve or deny applications for accreditation, requests for technical equivalency, and requests for exception.	10 CFR 835	HS-30	HS-31
DOE Laboratory Accreditation Program – DOELAP (Assistance)	Develop and implement the DOELAP in coordination with Cognizant Secretarial Officers, contractors, and industry.	10 CFR 835	HS-30	HS-31
DOE Laboratory Accreditation Program – DOELAP (Assistance)	Provide corporate management of the Radiological Environmental Science Laboratory, DOE Laboratory Accreditation Program and National Analytical Management Program.	10 CFR 835	HS-30	HS-31
DOE Technical Standards (Policy)	Assign DOE and contractor technical standard managers.	DOE O 252.1 5.a.(2) DOE-STD-1171-2003 OMB Circular A-119	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
DOE Technical Standards (Policy)	Coordinate and manage the DOE Technical Standards Program.	DOE M 251.1-1B 1.1.(a) DOE O 251.1B 5.c & 5.h DOE O 252.1 5.a.(1) DOE P 251.1A OMB Circular A-119 P.L. 104-113	HS-20	
DOE Technical Standards (Policy)	DOE standards executive to represent DOE's interests on consensus standards-setting organizations and the Interagency Committee on Standards Policy.	DOE O 252.1 5.a.(4)	HS-20	
Emergency and Continuity of Operations – COOP (Assistance)	Interface with external agencies on health and safety matters relating to emergency operations under the National Response Plan and COOP.	National Response Plan (NRP) – Health and Safety Support Function #10	HS-30	HS-31 HS-32
Emergency and Continuity of Operations – COOP (Assistance)	Promote the development of regularly scheduled health and safety systems; testing, training, and exercising of personnel, equipment, systems, processes, procedures used to support DOE HQ during an Emergency or a COOP event.	Presidential Directive - ensure Executive Branch departments and agencies are able to continue their essential functions across a wide range of emergencies and events.	HS-30	HS-31 HS-32
Emergency and Continuity of Operations – COOP (Assistance)	Provide assistance in the safety and health vulnerability analysis of current alternate operating facilities.	National Response Plan (NRP) – Health and Safety Support Function #10	HS-30	HS-31 HS-32
Emergency and Continuity of Operations – COOP (Assistance)	Serve as staff advisors to the EOC and COOP manager for Health and Safety, including radiological protection, bio-emergencies, hazardous materials response, and general safety.	National Response Plan (NRP) – Health and Safety Support Function #10	HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Emergency Management (Management/Operations)	Assess incidents and communicate status/needs for additional aid and/or response personnel.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Emergency Management (Management/Operations)	Assist Emergency Responders in such areas as crowd control.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Emergency Management (Management/Operations)	Designates a representative to serve as an ex officio member of the Standing Emergency Management Coordinating Committee.	DOE O 151.1C, Chapter 1, 4., a	HS-1	HS-1.3
Emergency Management (Management/Operations)	Facilitate EMS and other responders in getting to the scene of a Headquarters incident.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Emergency Management (Management/Operations)	Provide Emergency First Aid/CPR as appropriate.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Environmental Management Role (Policy)	Acts as the coordinator and advocate for the Department with other Federal agencies, such as the Environmental Protection Agency, Nuclear Regulatory Commission, and the Department of the Interior, on Department of Energy policy positions and concerns in those agencies' rulemaking efforts in order to assure the Department's position is reflected in the formulation of other agencies' regulations that may affect DOE facilities, operations and activities.	DOE 5400.5 9.b.(1) DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(3) DOE P 441.1 3.A	HS-20	
Environmental Management Role (Policy and Assistance)	Advise the Secretary on Department: 1) Conformance related issues 2) Activities related to environmental protection laws and principles, and 3) Conduct of comprehensive programs of research and development on environmental effects of energy technologies and programs.	DOE M 411.1-1C DOE O 450.1 Chg 3 5.a.(2) The Department of Energy (DOE) Organization Act (P.L. 95-91, as amended), Sec.203 (a)(3)	HS-20	All HSS HS-30

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Environmental Management Role (Policy and Assistance)	Assess and develop strategies, policies and guidance for meeting DOE goals for pollution prevention, waste minimization and the acquisition of environmentally preferable products. Prepares externally required corporate reports documenting the Department's progress in these areas.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Assistance)	Assist as requested in implementation plans for elements of DOE 5400.5, Environmental Radiation Protection Program, including ALARA, monitoring and surveillance, groundwater monitoring, controlled release of property, and discharge goals.	DOE 5400.5	HS-20	HS-32
Environmental Management Role (Policy)	Coordinate and develop the Departmental position on emerging air, water, radiation, environmental and cultural resource protection requirements.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Policy)	Develop environmental and public protection policy and guidance and support Executive Order 13423 designated senior official on all matters related to environmental stewardship, environmental compliance improvement and Executive Order sustainability goals.	DOE O 450.1 Chg 2 DOE O 5400.5 Chg 2 E.O. 13423 The Department of Energy (DOE) Organization Act (P.L. 95-91, as amended), Sec.203 (a)(3)	HS-20	HS-32
Environmental Management Role (Policy)	Develop, revise, and maintain existing DOE environmental directives, policies, and documents to incorporate the goals and requirements of E.O. 13423.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7 E.O. 13423	HS-20	HS-10 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Environmental Management Role (Policy)	Develop Departmental environmental protection policies, standards, and guidance for air, water, and radiation consistent with Federal laws and regulations.	DOE 5400.5 9.b.(1) DOE M 411.1-1C Table 7 DOE O 450.1 5.a.(1) DOE P 441.1 3.A	HS-20	
Environmental Management Role (Policy and Assistance)	Develop guidance and coordinates activities to implement the cultural resource management program, including activities affecting Indian Tribal cultural resource sites and items consistent with Federal laws and regulations.	DOE M 411.1-1C Table 7 DOE P 141.1 Responsibilities 2 Laws and Executive Orders referenced in DOE P 141.1	HS-20	
Environmental Management Role (Policy)	Develop internal Departmental policies and guidance for Departmental compliance with applicable Resource Conservation and Recovery Act, Comprehensive Environmental Response, Compensation, and Liability Act, Emergency Planning and Community Right-to-Know Act, Pollution Prevention Act, and Toxic Substances Control Act issues and requirements.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Policy)	Develop policy and guidance to advocate and assist Departmental elements in implementing environmental management systems approaches into environmental programs and the integration of environmental management with integrated safety management.	DOE M 411.1-1C Table 7 DOE M 450.4-1 2.h.(1) {for environmental and nuclear safety} DOE O 450.1 5.a.(1)	HS-20	
Environmental Management Role (Policy)	Develop policy and guidance to assist Departmental elements in the implementation of effective institutional controls.	DOE P 454.1 (purpose and scope)	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Environmental Management Role (Policy and Assistance)	Develop policy and provides guidance and tools to assist in the estimation of risk and risk management for protection of the public from radiation and hazardous materials.	DOE 5400.5 9.b.(1) DOE M 411.1-1C Table 7 DOE O 450.1 5.a.(1) DOE P 441.1 3.A	HS-20	
Environmental Management Role (Policy)	In the area of radiation protection standards for the public and the environment, represents the Department in national and international radiation protection organizations, policy setting organizations, and on risk management and standard setting organizations including the Committee on Interagency Radiation Research and Policy Coordination, the international Committee on Radiological Protection, and the National Committee on Radiological Protection.	DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(3)	HS-20	
Environmental Management Role (Assistance)	Issue Annual ASER Guidance.	DOE M 231.1-1A I.2.b DOE O 231.1A,5.a DOE O 450.1, Ch-2,5.a	HS-30	HS-20 HS-32
Environmental Management Role (Assistance)	Maintain effective liaison with all DOE Environment, Safety and Health offices.	DOE O 450.1 Chg 3 5.a.(2)	HS-20	HS-10
Environmental Management Role (Assistance)	Prepare historical/cultural reports and annual corporate pollution prevention progress reports to the Administrator of the EPA and the Federal Environmental Executive.	Archeological and Historic Preservation Act Archeological Resources Protection Act DOE M 411.1-1C Table 7 DOE O 450.1 5.a.(3)	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Environmental Management Role (Assistance)	Promote the implementation of environmental management systems throughout the Department to ensure that consideration of the environmental impacts of DOE operations are integrated into DOE's Integrated Safety Management Systems.	DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(1) &(2)	HS-20	HS-10
Environmental Management Role (Assistance)	Provide an independent overview of DOE and radioactive waste management and decommissioning programs and Departmental compliance with radioactive waste management requirements.	DOE 5400.5, 9.b.(1) DOE M 435.1 2.C	HS-60	HS-64
Environmental Management Role (Assistance)	Provide a focal point for cross-cutting environmental performance information. Coordinates, validates, and distributes statutory, regulatory and executive order-mandates and corporate environmental reports.	DOE 210.2,4.c. & 5.c.(6) DOE 450.1 chg 3 5.a.(1) DOE M 231.1-1A, Chg 1, 3.c DOE M 411.1-1C Table 7 DOE O 231.1A	HS-20 HS-30	HS-32
Environmental Management Role (Assistance)	Provide corporate leadership in promoting environmental protection through interaction with internal and external entities, advocating the Departmental position on emerging environmental requirements affecting DOE operations and issuance of guidance on Departmental compliance with newly promulgated requirements.	DOE O 4450.1 chg 3 5.a.(2) DOE P 441.1	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Environmental Management Role (Assistance)	Provide corporate support to program and field elements in the interpretation and implementation of statutory and emerging regulatory environmental requirements relative to hazardous waste management, toxic chemical inventory reporting, natural resource trusteeship, and hazardous substance release response.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Assistance)	Provide technical support to the Department's program offices and field elements in understanding and implementing environmental requirements.	DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(1)	HS-20	HS-10
Environmental Management Role (Policy)	Review and approve Authorized Limits for residual radioactive material in mass and dose based personal property.	DOE 5400.4 II.5	HS-20	HS-32
Environmental Management Role (Policy)	Serve as the central Departmental coordinating point for advocating DOE's position on environmental requirements and regulations proposed by other federal agencies (e.g., the Environmental Protection Agency).	DOE O 450.1 chg 3 5.a.(3)	HS-20	HS-10
Environmental Management Role (Assistance)	Support LLW and TRU waste disposal authorizations through participation on the DOE O 435.1 Review Panel (Low-level Waste Federal Review group, LFRG), and review of disposal site performance assessments and composite analyses.	DOE M 435.1-1 I.2.C DOE O 435.1	HS-20	
ES&H Reporting (Assistance)	Annual corporate reports to OMB on Department's progress on E.O. 13423.	E.O. 13423	HS-20	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
ES&H Reporting (Assistance)	Computerized Accident/Incident Reporting system (CAIRS)	DOE M 231.1-1A, CAIRS DOE O 210.2, 4.a.(3) DOE O 210.2, 5.c.(1) DOE O 231.1A Chg 1	HS-30	HS-31
ES&H Reporting (Assistance)	Noncompliance Tracking System.	DOE O 450.1 Chg 2	HS-20	HS-32
ES&H Reporting (Assistance)	Occurrence Reporting Processing system.	DOE M 231.1-2, ORPS DOE O 231.1A, 5.a.(2) & 5.a (6)	HS-30	HS-31
Exemptions (Policy)	Grant or concur as authorized in Regulations or Orders.	10 CFR 820, Subpart E DOE M 251.1-1A Exemption processes as authorized for external regulations. Exemption processes as specified in individual DOE Orders	HS-10 HS-20	
Exemptions (Policy)	Review requests for exemptions to 10 CFR 830 and recommend approval or denial, or provide comments as appropriate to the line management decision authority.	10 CFR 820, Subpart E DOE M 251.1-1A Exemption processes as authorized for external regulations. Exemption processes as specified in individual DOE Orders	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
External Organizations, Reporting to (Assistance)	Annual summary of occupational illnesses and injuries.	DOE M 231.1A, Chg 1 DOE O 231.1A, Chg I, 5,e,(1)	HS-30	HS-32
External Organizations, Reporting to (Assistance)	Historical/cultural reporting.	Annual Archeol. Report for DOE Properties required for DOE report to congress DOE O 450.1 Chg 2 DOE P 141.1	HS-20	
External Organizations, Reporting to (Assistance)	Pollution prevention and abatement plans.	DOE O 450.1, Chg 3	HS-20	
External Organizations, Reporting to (Assistance)	Provide annual reports to the Environmental Protection Agency on implementation of E. O. 13423.	E.O. 13423, Sec. 3. (g)	HS-30	HS-32
External Organizations, Reporting to (Assistance)	Report to external agencies for which HSS is responsible.	E.O. 12941 E.O. 13423 OMB Circular A-119 P.L. 104-303, the Water Resources Development Act of 1996 PD/NSC/25	HS-30	HS-32
Federal Employee Occupational Safety and Health – FEOSH (Policy)	Coordinate with Occupational Safety and Health Administration in DOL on policies and procedures.	29 USC 668 Exec Order 12196 USC 7902(c) 29 CFR 1960 DOE O 440.1B	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Federal Employee Occupational Safety and Health – FEOSH (Policy)	Develop FEOSH Policy.	29 USC 668 Exec Order 12196 USC 7902(c) 29 CFR 1960 DOE O 440.1B	HS-10	HS-30 HS-31
Federal Employee Occupational Safety and Health – FEOSH (Policy)	Review OSHA regulations and policies to determine their implication to existing DOE policies, directives and regulations.	29 USC 668 Exec Order 12196 USC 7902(c) 29 CFR 1960 DOE O 440.1B	HS-30	HS-31
Fire Protection (Assistance)	Fire protection program.	DOE O 420.1B 5.a DOE O 450.1 chg 3 5.a.(1)	HS-20	HS-21
Fire Protection (Policy)	Maintain directives and coordinate fire protection safety and health policies for DOE.	DOE O 420.1B (Chapter II)	HS-20	
Firearm Safety (Policy)	Firearm safety policies and procedures.	DOE O 440.1B	HS-12	HS-50 HS-51
Health & Safety Programs for Workers (Policy)	Actively engage with national and international standards setting bodies to maintain current knowledge on the scientific basis used by these bodies in developing their standards and revise DOE policy and directives accordingly.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Training)	Assist the National Training Center in the development of training related to worker safety and health requirements and standards.	DOE O 226.1, 5.f(2)	HS-10	HS-11

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Policy and Assistance)	Assure that the Office implements an integrated approach to customer and stakeholder needs in the development and maintenance of worker safety and health policy and assisting Headquarters and field elements in implementation and resolving cross cutting issues.	42 USC 2201i(3) 42 USC 2282c DOE M450.4-1,ch I 3h(2) DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Assistance)	Communicate health effects information and the results of studies to all interested stakeholders within and outside DOE.	50 USC 2733 "Program to monitor DOE workers exposed to radiation and hazardous substances" DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Conduct and manage medical monitoring programs on specific hazards of interest to DOE.	50 USC 2733 "Program to monitor DOE workers exposed to radiation and hazardous substances"	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Consults with line management to provide appropriate guidance for the implementation of directives and standards and provide technical positions on Departmental worker safety and health directives and standards.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Coordinate with Occupational Safety and Health Administration (OSHA) on policies and procedures by listing DOE facilities which DOE will <u>not</u> exercise occupational safety and health regulatory authority.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Create and disseminate safety and health information to allow workers to better understand and manage their exposure to hazardous materials in DOE.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Develop performance expectations through DOE policy and directives for the establishment and operation of preventative occupational medicine programs, including worker fitness for duty, employee assistance, substance abuse prevention, and the human reliability programs, across the Department.	10 CFR 707 10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-11 HS-13
Health & Safety Programs for Workers (Assistance)	Develop and maintain registries of DOE workers to understand the development and progression of health outcomes associated with exposures to specific hazardous materials of particular interest to DOE.	50 USC 2733 "Program to monitor DOE workers exposed to radiation and hazardous substances" DOE O 440.1B	HS-10	HS-13
Health & Safety Programs for Workers (Policy)	Develop, publishes, and maintains Departmental rules, directives, technical standards, and guidance relating to the safety and health of workers by addressing DOE workplace hazards.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Develop and provide recommendations to the Chief Health, Safety and Security Officer regarding approval or denial or variances to 10 CFR 851.	10 CFR 851 subpart E	HS-10	HS-11

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Policy)	Develop and provide recommendations to the Chief Health, Safety and Security Officer regarding requests for exemptions to requirements of 10 CFR 835.	10 CFR 820 subpart D	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Develop and provide recommendations to the Chief Health, Safety and Security Officer regarding approval of: (1) requests for planned special exposures 10 CFR 835.204 (2) alternative internal and external dosimetry program accreditation 10 CFR 835.204.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Evaluate the effectiveness of policies and requirements in accomplishing the Department's goals and makes adjustments and improvements based on feedback from line management and independent oversight.	DOE O 226.1, 5.f(2) DOE O 470.2B, 5g(4),(6)	HS-10	HS-11
Health & Safety Programs for Workers (Assistance)	Facilitate evaluation of cross cutting worker safety and health issues with program and line management to determine extent of condition, causes, and actions to prevent recurrence.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Assistance)	Fund and coordinate large scale records retrieval activities for all DOE sites to support DOL, NIOSH, and the Presidential Advisory Board's EEOICPA-related activities, including DOL site exposure matrix projects, the Advisory Board's research and evaluation of Special Exposure Cohort petitions, and technical reviews of NIOSH site profiles	42 USC 7384d Establishment of Energy Employees Occupational Illness Compensation Program DOE O 226.1	HS-10	HS-15

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Fund and coordinates records retrieval activities at all DOE sites to support the claims adjudication process for individual claims submitted by current and former DOE federal and contractor workers under EEOICPA.	42 USC 7384d Establishment of Energy Employees Occupational Illness Compensation Program DOE O 226.1	HS-10	HS-15
Health & Safety Programs for Workers (Policy)	Interact with internal and external entities, to maintain cognizance of best available information and technologies and facilitate adjustments to requirements and expectations as appropriate.	DOE O 226.1, 5.f(2) DOE P 441.1	HS-10	HS-11
Health & Safety Programs for Workers (Assistance)	Maintain a cadre of technical experts and provides technical assistance and support to program and line management in Headquarters and field organizations on an as-requested basis to facilitate effective and efficient implementation of the Department's worker safety and health program rule, other safety and health requirements and expectations and resolving technical or performance issues.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Policy)	Maintain effective liaison with line managers and other offices within the Office of Health, Safety and Security and external organizations to identify issues and concerns related to worker safety and health policy.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Policy)	Maintain liaison with regulatory agencies with respect to worker safety and health matters.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Maintain relationships with appropriate offices in DOE to assure that the policy and directives are incorporated in contracts, as appropriate to the hazards present, to assure that the policy and directives are in fact implemented and result in enhanced DOE worker safety and health.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-11
Health & Safety Programs for Workers (Assistance)	Maintain subject matter expertise in HSS for occupational radiation, protection, industrial safety, chemical safety management, beryllium, epidemiology, occupational medicine, health surveillance, industrial hygiene.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Assistance)	Manage the Chernobyl Program. Engage in cooperative agreements to assess the impact on worker health from exposure to ionizing radiation by approximately 20,000 workers engaged in the Chernobyl, Ukraine "shelter plan" activities. The shelter plan is to entomb the destroyed commercial nuclear power plant reactor. The current "Chernobyl Research with Service Program" was mandated by Congress in 2006. The program is expected to provide improved guidance for radiation protection policies for DOE and commercial nuclear reactor workers.	The "Chernobyl Research with Service Program" was mandated by Congress in 2006.	HS-10	HS-14
Health & Safety Programs for Workers (Assistance)	Manage the Japan Program through support for the Radiation Effects Research Foundation. This jointly funded program supports health studies conducted by RERF of the A-bomb survivors in Hiroshima and Nagasaki. The results of RERF research on A-bomb survivors are the primary basis for international radiation protection standards.	International agreement between the U.S. and Japan (12/27/74) to fund the Radiation Effects Research Foundation	HS-10	HS-14

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Manage the Marshall Islands Program to provide medical screening and care for the Rongelap and Utrõk population exposed in the Marshall Islands to fallout from a 1954 atmospheric nuclear weapons test. The program fulfills requirements established in Public Law 108-188, the "Compact of Free Association Amendments Act of 2003" and earlier Public Laws.	Public Law 108-188, the "Compact of Free Association" Amendments Act of 2003	HS-10	HS-14
Health & Safety Programs for Workers (Assistance)	Manage the Russia Health Studies Program through a portfolio of cooperative health research and radiation studies with the Russian Federation Joint Coordinating Committee for Radiation Effects Research. The program evaluates long-term effects on workers and populations living near the Russian production site at Mayak. The effort is expected to answer critical questions on the health impacts associated with long-term, low dose-rate radiation exposures.	Agreement between the Government of the United States of America and the Government of the Russian Federation January 14, 1994	HS-10	HS-14
Health & Safety Programs for Workers (Assistance)	Manage the Spain Program through scientific and financial support of Project Indalo with the Spanish Government. This jointly funded program provides medical surveillance and environmental monitoring as a result of a "broken arrow" event that contaminated portions of farm land in Palomares, Spain. The program is expected to improve our understanding of the environmental behavior of plutonium in an arid ecosystem and pathways to people living and working in the region. The research effort was formalized in the 1966 Hall-Otero Agreement	1966 Hall-Otero Agreement	HS-10	HS-14

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Policy)	Manage activities to develop, promulgate, and maintain worker safety and health policy.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Assistance)	Manage and conducts epidemiologic investigations to assess the health implications of exposures to hazardous materials for workers within the DOE complex.	50 USC 2733 "Program to monitor DOE workers exposed to radiation and hazardous substances" DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Manage and conducts medical screening initiatives for the 400,000-person former workforce (employees, contractors, and subcontractors) who may be subject to significant health risks due to exposures they may have experienced while employed at DOE sites	50 USC 2733 "Program to monitor DOE workers exposed to radiation and hazardous substances" DOE O 226.1	HS-10	HS-15
Health & Safety Programs for Workers (Assistance)	Manage and maintains Accreditation Association for Ambulatory Health Care.		HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Manages and supports an illness and injury surveillance database for current workers at participating sites across the DOE complex.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Manage and support the conduct of epidemiologic studies and other public health activities by the Department of Health and Human Services to assess the health implications of exposures to hazardous materials found in the DOE workplace.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Manage the "covered facilities database," a database of over 350 facilities whose employees are eligible for benefits under EEOICPA, and the "covered periods" during which employees would need to have worked in order to receive these benefits.	42 USC 7384d Establishment of Energy Employees Occupational Illness Compensation Program DOE O 226.1	HS-10	HS-15
Health & Safety Programs for Workers (Assistance)	Manage the area of occupational medicine including the DOE Electronic Medical Records Initiative, Headquarters and field Healthy Workplace Initiatives and pandemic preparedness.	10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Oversee the establishment of a chronic beryllium disease bio-specimen repository, using donated blood and tissues from participants in the Department's medical screening initiatives	10 CFR 850 50 USC 2733 "Program to monitor DOE workers exposed to radiation and hazardous substances"	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Provide leadership and guidance to the DOE occupational medicine community, including the Energy Facility Contractors Group (EFCOG) Occupational Medicine Subcommittee.	10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-13
Health & Safety Programs for Workers (Policy)	Provide responses to and maintains the Departmental Worker Safety and Health Standards Response Line.	DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Review Federal Agency (i.e., OSHA, NIOSH, EPA, etc.) regulations and policies and determines their impact on existing DOE Worker Safety and Health policies, directives and regulations.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Review the results from analytic and descriptive epidemiologic studies, other public health activities, and information from site profiles to determine the need to conduct or support future epidemiologic studies or public health activities.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Policy)	Search the literature and studies concerning the health effects associated with DOE workplace hazards, determine their implications to existing DOE policies and directives and revise the policies as necessary to keep DOE worker safety and health policy and directives current.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Search the literature and studies concerning the health effects associated with DOE workplace hazards, determine their implications to existing DOE policies and directives in occupational medicine and revise the policies as necessary to keep DOE occupational medicine policy and directives current.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Support dialogue with the occupational medicine physicians across the Department to assure continuous improvement in preventative occupational medicine programs.	10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Support DOE offices to assure that policy and directives are incorporated into contracts that promote public, worker safety and health.	DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Training)	Support the Radiation Emergency Assistance Center/Training Site (REAC/TS) to provide training in radiation medicine and medical consultation to site physicians	42 USC 2201i(3) 42 USC 2282c	HS-10	HS-13

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Health & Safety Programs for Workers (Assistance)	Team with line management, contractors, and contractor organizations to take actions that result in the efficient and cost effective implementation of the worker health and safety policy and directives.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Assistance)	Utilize the corporate ES&H issues management process and ensures effective implementation.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Policy)	Work with the Office of General Counsel to provide technical advice on interpretations of worker health and safety regulations (10 CFR 835, 850, 851).	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
HEPA Filter Test Program (Assistance)	Establish policies, quality assurance requirements and standards, and manage independent testing of filters for evaluating the effectiveness of HEPA filters used in nuclear facilities, and coordinate the implementation of corporate strategies for improving the functional performance of filters.	Secretary to the DNFSB commitment (July 11, 2003) to perform 100% testing of HEPA Filters.	HS-30	HS-31
Independent Oversight (Oversight)	Act as an independent authority responsible for environment, safety and health oversight for the Department.	DOE O 420.1B, 5.c.(1)	HS-60	
Independent Oversight (Oversight)	Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during independent oversight appraisal activities at evaluated sites.	DOE O 470.2B 5.a.(2)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Assess the performance of DOE in implementing safety software requirements.	DOE N 411.1, 4.e	HS-60	HS-64

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Independent Oversight (Oversight)	Brief senior DOE officials, including the NNSA Administrator, Under Secretary, CSO, the Secretarial Officer, DOE policy organizations, and the managers of DOE sites, on the results of independent oversight appraisal activities.	DOE O 470.2B 5.a.(3)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Conduct various independent assessments of Secretarial Office, field element, and contractor implementation of Order DOE O 414.1C and 10 CFR 830 Subpart A, Quality Assurance (QA), including aspects of QA related to ES&H, safeguards, and security.	DOE O 414.1C, 5.g.(1)	HS-60	HS-61 HS-62 HS-63 HS-64 HS-70
Independent Oversight (Oversight)	Coordinate the scheduling, notification, and planning of independent oversight appraisals with appropriate Cognizant Secretarial Offices (CSO) and heads of field elements.	DOE O 470.2B 5.a.(6)	HS-60	
Independent Oversight (Oversight)	Coordinate with the applicable DOE policy organization (e.g., Secretarial Officer, NA-40, HSS or CIO) to resolve safeguards and security; cyber security; emergency management; or ES&H policy findings or deficiencies and to ensure accurate interpretation of requirements.	DOE O 470.2B 5.a.(10)	HS-60	HS-61 HS-62 HS-63 HS-64 HS-70
Independent Oversight (Oversight)	Coordinate with the DOE IG when independent oversight appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.	DOE O 470.2B 5.a.(4)	HS-60	
Independent Oversight (Oversight)	Coordinate with the Office of Enforcement when independent oversight appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act and Worker Safety Rule.	DOE O 470.2B 5.a.(14)	HS-60	HS-63 HS-64

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Independent Oversight (Oversight)	Develop and maintain DOE safeguards and security; cyber security; emergency management; and ES&H Office of Independent Oversight policies, procedures, standards, and guidelines.	DOE O 470.2B,5.a.(1)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Direct, manage, and conduct the safeguards and security; cyber security; emergency management; and ES&H independent oversight programs.	DOE O 470.2B 5.a.(5)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	DOE organizations performing independent oversight under the direct authority of the Secretary of Energy, such as the Office of Health, Safety and Security, shall conduct independent oversight processes in accordance with the requirements of Order DOE O 226.1 for independent oversight or comparably effective criteria established by the director of the independent oversight organization.	DOE O 226.1, 5.f.(1)	HS-60	HS-61 HS-62 HS-63 HS-64 HS-70
Independent Oversight (Oversight)	Ensure emergency management and ES&H findings (and related information) are entered into CATS in a timely manner (e.g., within 5 days following the transmittal of the final report).	DOE O 470.2B 5.a.(7)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Evaluate the effectiveness of DOE Headquarters and field organization implementation of the requirements of Order DOE O 450.1.	DOE O 450.1, 5.e	HS-60	HS-64
Independent Oversight (Oversight)	Maintains awareness of the status of findings and ratings identified during independent oversight appraisals.	DOE O 470.2B 5.a.(9)	HS-60	
Independent Oversight (Oversight)	On a selected basis, conducts independent oversight appraisals to verify and validate the effectiveness of corrective actions and to confirm closure of findings.	DOE O 470.2B 5.a.(13)	HS-60	HS-61 HS-62 HS-63 HS-64

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Independent Oversight (Oversight)	Perform a sample review of DPOs (Differing Professional Opinions) biennially from the list provided by the DPO Managers.	DOE M 442.1-1.5.D.(3)	HS-60	HS-64
Independent Oversight (Oversight)	Perform periodic independent oversight of ISM implementation at all levels (i.e., DOE Headquarters Secretarial offices, DOE field offices, and DOE contractors), consistent with the requirements of DOE O 226.1, Implementation of DOE Oversight Policy.	DOE M 450.4-1, 2.h.(4)	HS-60	HS-64
Independent Oversight (Oversight)	Plan and conduct independent oversight appraisals to determine compliance with requirements of Order DOE O 420.1B.	DOE O 420.1B, 5.c.(2)	HS-60	HS-64
Independent Oversight (Oversight)	Plans and conducts appraisals to determine compliance with the requirements of Order DOE O 433.1A, 5.a.(6).	DOE O 433.1A, 5.a.(6)	HS-60	HS-64
Independent Oversight (Oversight)	Provide independent oversight of the Comprehensive Emergency Management System.	DOE O 151.1C, 4.a.(9)	HS-60	HS-63
Independent Oversight (Oversight)	Provide DOE managers with independent evaluations of safeguards and security; cyber security; emergency management; and ES&H policies, programs, and implementation. Evaluations may be provided in various written formats (e.g., inspection, management evaluation, special study, special review, and follow-up review reports).	DOE O 470.2B 5.a.(11)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Report [QA] independent oversight assessment results to the appropriate Under Secretary, the Chief Health, Safety and Security Officer, and the assessed organization.	DOE O 414.1C, 5g.(2)	HS-60	HS-61 HS-62 HS-63 HS-64

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Independent Oversight (Oversight)	Review corrective action plans and provides comments, when necessary, within prescribed time frames. Ensures comments are resolved or elevates comments until resolution is obtained. If needed, elevates comments to the Deputy Secretary and/or the Secretary for resolution.	DOE O 470.2B 5.a.(8)	HS-60	HS-61 HS-62 HS-63 HS-64
Integrated Safety Management system – ISMS (Policy)	Develop, maintain, and publishes Department policy and directive relating to Integrated Safety Management	42 USC 2201	HS-10	
Lessons Learned, Feedback, and Improvement (Assistance)	Actively seek feedback for continuous improvement of lessons learned and operating experience identification, analysis, and dissemination and upgrade requirements and guidance.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Actively seek feedback for continuous improvement of ORPS as appropriate.	DOE O 210.2	HS-30	HS-31 HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Develop and disseminate lessons learned.	DOE M 140.1-1B DOE M 231.1-2 DOE N 231.2 DOE O 210.2 DOE O 225.1A DOE O 231.1A Chg 1 DOE O 414.1C DOE O 425.1C DOE O 440.1B DOE O 451.1B Chg 1 DOE O 460.1B DOE O 5480.19 Chg 2	HS-30	HS-20 HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Develop and maintain the ORPS.	DOE M 231.1-2 DOE O 210.2, 4a (3) & 5.c.(1) DOE O 231.1A	HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Lessons Learned, Feedback, and Improvement (Assistance)	Develop methodologies and other tools for lessons learned and operating experience reporting and analysis.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Ensure that lessons learned and operating experience, feedback and improvement work products are accessible so they can be incorporated into training.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Identify best practices and disseminate them through the HSS website.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Implement the DOE Lessons Learned and operating Experience Program in coordination with PSO, FOM, contractors, and industry	DOE O 210.2, 4. a., - j,, & 5.c	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Prepare and disseminate information obtained from analysis of ORPS information.	DOE O 210.2	HS-30	HS-31 HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Support the analysis and dissemination of lessons learned and operating experience information across the DOE complex.	DOE O 210.2	HS-30	HS-32
NTC Safety Program (Oversight)	Technical, management and/or programmatic oversight of issues that impact compliance with regulations, standards, or commitments or effective implementation.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
Nuclear and Facility Safety (Policy)	Develop and maintain directives for contractor training for nuclear activities.	DOE O 5480.20A, Chg 1 7.b.(1)(e)	HS-20	
Nuclear and Facility Safety (Policy)	Develop Departmental policies, guidance and implementing strategies related to the specialized safety disciplines of nuclear safety, facility, design, health physics, industrial hygiene, fire protection, electrical safety, high explosives, firearms safety, pressure safety, and chemical safety.	DOE 5480.20A 7.b.(1) DOE M 450.4-1 2.h DOE P 420.2A	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Nuclear and Facility Safety (Policy)	Develop policies and standards for safety management programs such as facility maintenance, personnel training, and conduct of operations.	DOE 5480.19 6.b DOE 5480.20A 7.b.(1)	HS-20	
Nuclear and Facility Safety (Policy)	Establish nuclear and facility safety requirements through the development and maintenance of clear and integrated policies, guidance, and standards including regulations on nuclear safety management in Part 830.	10 CFR 830 DOE M 411.1-1C Table 7 DOE O 414.1C 5.e.(1) DOE O 420.1B 5.a DOE P 410.1A	HS-20	
Nuclear and Facility Safety (Policy)	Establish programs, policies, and standards that assures protection of the Department's Federal and contractor personnel from occupational injury and illness and assures safety of facility design and operations.	DOE 5480.30 7.d DOE M 450.4-1 2.h DOE O 420.1B 5.a	HS-20	
Nuclear and Facility Safety (Assistance)	Evaluate corporate issues to determine root cause or identify systemic problems and make recommendations for programmatic or human performance improvements.	DOE O 210.2, 5.c (7)	HS-10 HS-30	HS-31 HS-32
Nuclear and Facility Safety (Policy)	Evaluate the effectiveness of policies and requirements in accomplishing the Department's goals and make adjustments and improvements based on feedback from line management.	DOE 5480.20A 7.b.(1) DOE 5480.30 7.d	HS-20	
Nuclear and Facility Safety (Policy)	Interface with national and international external safety and heath regulators, with DOE program and field elements, and with industry groups on matters related to facility operations safety.	DOE O 210.2, 5.c (7)	HS-10 HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Nuclear and Facility Safety (Assistance)	Perform appraisals related to critical issues of immediate interest to DOE senior management. This includes conducting event reviews, Operational Readiness Reviews, Operational Event Investigations, Accident Investigations, and Safety Allegation Investigations.	DOE O 210.2 DOE O 225.1A	HS-30	HS-31 HS-32
Nuclear and Facility Safety (Assistance)	Provide assistance to line management in implementing the Department's policies.	DOE O 420.1B 5.a DOE O 433.1A 5.a	HS-20	
Nuclear and Facility Safety (Assistance)	Provide corporate technical assistance and support to line management in Headquarters and field organizations on an as requested basis. This includes support in areas such as Accident Investigation Training, criticality safety program technical advice, support to the Energy System Advisory Board and the Homeland Safety and Security Program.	DOE O 210.2 DOE O 225.1A	HS-30	HS-31 HS-32
Nuclear and Facility Safety (Assistance)	Serve as the primary interface with the Defense Nuclear Facilities Safety Board (DNFSB) for crosscutting Departmental issues.	DOE O 210.2 DOE O 225.1A	HS-1.1	All Offices
Occupational Injuries and Illnesses (Assistance)	Annual Summary of Occupational Injuries and Illnesses.	10 CFR 835, Subpart H DOE M 231.1-1 DOE O 231.1A	HS-30	HS-32
Occupational Injuries and Illnesses (Assistance)	Develop, implement, and maintain a system for ES&H reporting.	10 CFR 835, Subpart H DOE M 231.1-1 DOE O 210.2, 5.c..(1) DOE O 231.1A	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Operating Experience Program (Assistance)	The primary functions of the DOE Operating Experience (OE) Program are to collect, screen, trend, and evaluate DOE-wide and site/facility specific operational events, lessons learned from within and outside of DOE, and to assure insights and relevant lessons learned are used to improve the safety and reliability of DOE missions and programs. The resultant corporate applications are improved implementation of safety requirements so that safety vulnerabilities can be identified, prioritized, communicated and resolved on a timely basis. As such, the OE Program is the key complement in the DOE ISMS program through enhancement of the feedback process	DOE O 210.2	HS-30	
ORPS (Assistance)	Actively seek feedback for continuous improvement of ORPS and upgrade requirements as appropriate.	DOE M 231.1-2 DOE O 231.1A	HS-30	HS-32
ORPS (Assistance)	Annual corporate reports to OMB on Department's progress on implementing E. O. 13423 goals.	DOE O 450.1 Chg 3 5.a.(2) E.O. 13423	HS-20	
ORPS (Assistance)	Develop, maintain, and implement the ORPS Program.	DOE M 231.1-2 DOE O 210.2, 4.a.(3) & 5.c.(1) (11) DOE O 231.1A	HS-30	HS-32
ORPS (Assistance)	Identify best practices and disseminate them through the DOE website.	DOE O 210.2, 4.a.(3) (6), 4.b., 4.d.,4.f.,4.g.,4.h. & 5.c.(1) & (11)	HS-30	HS-32
ORPS (Assistance)	Prepare and disseminate information obtained from analysis of ORPS information	DOE O 210.2, 4.a.(3), (4), 4.b.,4.d., 4.h., & 5.c.(6), (8), (9)	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Performance Assessment (Assistance)	Ensure that lessons learned and operating experience, feedback and improvement work products are accessible so they can be incorporated into revisions of DOE directives.	DOE O 210.2, 4.a.(3), 4.b., 5.c.(1)	HS-30	HS-32
Performance Assessment (Assistance)	Ensure active liaison with Federal agencies, private industry and international organizations on performance measures.	DOE O 210.2, 4.a.(2), 4.c., 5.c.(7)	HS-30	HS-32
Performance Assessment (Policy)	Ensure active liaison with industry groups, other Federal agencies and international organizations to share information and facilitate the development of integrated, comprehensive Departmental quality assurance policies, standards and guidance.	DOE O 414.1C	HS-30	HS-31
Performance Assessment (Assistance)	Ensure meaningful and easily understood assessments of the Department's overall effectiveness in protecting the public, the worker, and the environment are produced in a timely manner and communicated to senior management.	DOE O 210.2, 4.a.(4) c, 4.a.(6), 4.(d), 4.(h), 5.c	HS-30	HS-32
Performance Assessment (Policy)	Maintain directives and rules for quality assurance, suspect and counterfeit parts, safety software quality assurance, and corrective action management.	DOE O 414.1C	HS-20	HS-31
Performance Assessment (Assistance)	Manage and directs certification program activities aimed at ensuring corporate capabilities and programs that are deployed to protect workers, the environment and the general public are fully operational and effective.	DOE O 414.1C	HS-30	HS-31
Performance Assessment (Assistance)	Manage and directs corporate ES&H analyses to support top management decision-making and increase awareness of ES&H performance issues.	DOE O 210.2, 4	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Performance Assessment (Assistance)	Manage and direct the development and implementation of a quality assurance certification programs to ensure the reliability of DOE operations.	DOE O 414.1C	HS-30	HS-31
Professional Development Program (Policy)	Develop policy recommendations for Security and Safety Professional Development Programs including training requirements.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Training)	Base curriculum on an integrated security and safety career development program that will emphasize the mid-level and senior level training needs of federal personnel.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Assistance)	Identify, maintain, and enhance the skills and competencies of safety and security professionals within the Department essential to maintain the technical qualifications and professional skill base.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Policy)	In coordination with the Federal Technical Capabilities Panel (FTCP) review and revise Technical Qualifications for safeguards and security personnel.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Assistance)	Initiate the development of job/functions/competencies for each of the security and safety functional areas in conjunction with the Federal Technical Capabilities Panel (FTCP).	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Assistance)	Manage processes common to security and safety including the establishment of competency data base.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Training)	Provide leadership training to support the DOE safety and security workforce through the Leadership Development Institute.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Professional Development Program (Training)	Provide management training to support the DOE safety and security workforce through the Management Development Institute.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Quality Assurance – QA (Assistance)	Chair meetings of quality assurance subject matter experts to share lessons learned, review Departmental issues, and provide advice to management on quality assurance matters.	DOE O 414.1C, 5.e.(2)(a)	HS-30	HS-31
Quality Assurance – QA (Assistance)	Consult with line management in the implementation of requirements and standards and provides guidance and interpretation on Departmental nuclear and facility quality assurance standards.	DOE O 414.1C 5.e.(1)	HS-20 HS-30	HS-31
Quality Assurance – QA (Policy)	Coordinate within DOE, and with other agencies and groups, in the development of QA policy, requirements, guidance, and standards. Provide responses to requests for advice and assistance to DOE elements concerning DOE QA directives and regulations.	DOE M 411.1-1C Table 7 DOE O 414.1C 5.e.(1)	HS-20	HS-31
Quality Assurance – QA (Policy)	Develop and maintain DOE QA directives (i.e., policy, requirements, guides, and standards) and regulation (i.e., 10 CFR Part 830, Subpart A).	DOE M 450.4-1 2.h.(3) and (5) DOE O 414.1C e.(1).(b) DOE O 420.1B 5.a.(3) DOE O 425.1C 5.c10 CFR 830, Subpart A DOE O 440.1B, 8.a. & 8.b DOE O 433.1A 5.a.(3)	HS-20 HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Quality Assurance – QA (Assistance)	Develop and support the implementation of a suspect and counterfeit parts program that facilitates the identification of these parts, ensures that the appropriate organizations are notified, and follows-up to ensure resolution of critical issues.	DOE O 210.2a, 5.c.(10) & 4.a.(6)(b), 4.a.(6)(b), 4.a.(6c), 4.a.(6)(g) DOE O 414.1C, 5.e.(2)c	HS-30	HS-31 HS-32
Quality Assurance – QA (Policy)	Establish DOE policies and processes for safety software quality assurance programs	DOE O 414.1C, 5.e.(1)	HS-20	
Quality Assurance – QA (Policy)	Interface with other Federal agencies, industry groups, and international organizations to share information and facilitate the development of integrated, comprehensive Departmental quality assurance policies, standards, and guidance.	DOE O 414.1C 5.e.(1) DOE O 450.1 chg2 5.a.(3)	HS-20	HS-31
Quality Assurance – QA (Assistance)	Maintain quality assurance technical expertise and provides the DOE complex with advice and consultative services to assist them in understanding and implementing policies, standards, and guidance in response to compliance and program requirement issues.	DOE O 414.1C, 5.e.(1)c, (2)(a)	HS-30	HS-31
Quality Assurance – QA (Assistance)	Manage Suspect/Counterfeit Parts Reporting Program.	DOE O 210.2, 4.a.(6)(a),(6)(b), (6)(c), 5.c.(10) DOE O 414.1C, 5.e.(2)c DOE O 440.1B	HS-30	HS-32
Quality Assurance – QA (Policy)	Manage the development, interpretation, and promulgation of quality management policies, requirements (including software quality assurance), and guidance documents for the Department's activities excluding quality assurance regulations in 10 CFR part 830	DOE O 414.1C, 5.e.(1)	HS-20	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Quality Assurance – QA (Assistance)	Provide point of contacts for coordination within DOE and facilitates the identification and resolution of crosscutting quality assurance issues within the Department.	DOE O 414.1C, 5.e.(1).(c) DOE O 414.1C, 5.e.(2)(a)	HS-20 HS-30	HS-31
Quality Assurance – QA (Assistance)	Provide DOE interface with the Defense Nuclear Facilities Safety Board on matters concerning nuclear and facility quality assurance policies and requirements.	DOE O 414.1C 5.e.(1)	HS-20 HS-30	HS-31
Quality Assurance – QA (Policy)	Represent the DOE to the International Atomic Energy Agency and the International Organization for Standardization on quality management policy/requirements issues.	DOE M 411.1-1C Table 7 DOE O 414.1C 5.e DOE O 450.1 5.a.(3)	HS-10 HS-20 HS-30	HS-31
Quality Assurance – QA (Assistance)	Serve as the Departmental representative to the Government Industry Data Exchange Program.	DOE O 210.2, 5.c (7) DOE O 414.1C, 5.e.(1)c, & (1)(d)	HS-30	HS-31 HS-32
Quality Assurance – QA (Assistance)	Sponsor training and workshops for Federal and contractor personnel to promote the effective implementation of quality assurance programs.	DOE O 414.1C, 5.e.(1)(b)	HS-30	HS-31
Quality Assurance – QA (Assistance)	When requested, review and provide comments on specific requirements to be included in selected contracts, authorizations agreements, safety documentation, and authorization bases.	DOE O 414.1C, 5.e.(1)(b), 1c	HS-30	HS-31 HS-32
Quality Assurance – Safety Software (Assistance)	Coordinate the activities of the Central Registry in support of an effective safety software quality assurance program.	DOE O 414.1C, 5.e.(2)(d)	HS-30	HS-31
Quality Assurance – Safety Software (Assistance)	Manage Safety Software QA Program.	DOE O 414.1C, 5.e.(2)(d)	HS-30	HS-31
Radiation Exposure Monitoring (Assistance)	Generate annual Occupational Radiation Exposure Report.	DOE M 231.1-1A DOE O 231.1A	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Radiation Exposure Monitoring (Assistance)	Operate, maintain and improve REMS database.	DOE M 231.1-1A DOE O 231.1A	HS-30	HS-31
Radiation Protection (Policy)	Actively engage with national and international standards setting bodies in development of standards and recommendations and with Federal interagency groups to harmonize Federal radiation protection policy for worker and public protection (Occupational, Environmental, Public).	10 CFR 835 DOE 5400.5 DOE O 450.1 DOE P 441.1	HS-10 HS-20	
Radiation Protection (Policy)	Approve exemptions and disposal authorization and authorized limits	DOE M 435.1-1 I.2.E.(1) DOE O 5400.5 Chg 2, 9.b.(1).(b) and II.5.c.(6) and II.1.a.(4)	HS-20	
Safety Analyses, Hazard Controls, and Hazard Categorization (Policy)	Concurrence on alternate methodologies other than safe harbor methodologies in Table 2 to Appendix A of 10 CFR Part 830.	10 CFR 830, Subpart B DOE M 411.1-1C Table 7 DOE O 420.1B 5.a	HS-20	
Safety Analyses, Hazard Controls, and Hazard Categorization (Policy)	Requirements and guidance.	10 CFR 830, Subpart B DOE M 411.1-1C Table 7 DOE O 420.1B 5.a	HS-20	
Safety Analyses, Hazard Controls, and Hazard Categorization (Assistance)	Safety Basis Information System (SBIS).	10 CFR 830, Subpart B DOE O 420.1B 5.a	HS-20	
Safety Management Functions, Responsibilities and Authorities Policy (Policy)	Post DOE M 411.1-1 and any overriding Secretarial Memoranda on web site.	DOE M 411.1-1C	HS-10	
Safety Management Functions, Responsibilities and Authorities Policy (Policy)	Update DOE M 411.1-1 annually	DOE M 411.1-1C	HS-10	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Technical Qualifications (Policy)	Develop policy for Federal technical qualifications program.	DOE M 426.1-1A	HS-10	HS-52
Technical Qualifications (Policy)	Ensure the Safeguards and Security Functional Area Qualification Standard reflects functional responsibilities of program elements.	DOE-STD-1171-2003	HS-50	HS-51
Technical Qualifications (Assistance)	Implement a Technical Qualification Program (TQP) for all DOE employees whose duties and responsibilities require them to provide oversight that could impact the safe operations of a defense nuclear facility.	DOE M 426.1-1A	HS-10	HS-52
Technical Qualifications (Assistance)	Provide adequate resources and support for FTCP.	DOE M 360.1-1B	HS-10	HS-1.23
Training Approval Program and Accreditation (Training)	Ensure NTC instructors meet accepted standards of education, training and experience.	ACE DOE O 470.4A DOE-HDBK-1001-96 FLETA	HS-50	HS-51
Training Approval Program and Accreditation (Training)	Review and approval of site TAP evaluations.	ACE DOE O 470.4A DOE-HDBK-1001-96 FLETA	HS-50	HS-51

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Training Development (Training)	Direct activities associated with developing a blended learning plan and implementing the centralized procurement of distance learning technology and equipment at the NTC.	DOE-HDBK-1076-94 DOE-HDBK-1078-94 DOE-HDBK-1086-95 DOE-HDBK-1103-96 DOE-HDBK-1200-97 DOE-HDBK-1201-97 DOE-HDBK-1204-97 DOE-HDBK-1205-97 DOE-STD-1006-92 DOE-STD-1009-92 DOE-STD-1010-92 DOE-STD-1060-93 DOE-STD-1070-94 DOE-STD-1091-96 DOE-STD-1146-2001 DOE-STD-1171-2003	HS-50	HS-51 HS-52

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Training Development (Training)	Manage and coordinate functions in the job analysis, design, and development of training and oversee contractor implementation activities.	DOE-HDBK-1076-94 DOE-HDBK-1078-94 DOE-HDBK-1086-95 DOE-HDBK-1103-96 DOE-HDBK-1200-97 DOE-HDBK-1201-97 DOE-HDBK-1204-97 DOE-HDBK-1205-97 DOE-STD-1006-92 DOE-STD-1009-92 DOE-STD-1010-92 DOE-STD-1060-93 DOE-STD-1070-94 DOE-STD-1091-96 DOE-STD-1146-2001 DOE-STD-1171-2003	HS-50	HS-51 HS-52

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Training Development (Training)	Review, audit and evaluate contractor training activities for compliance with goals, objectives and requirements, consistent with the NTC Strategic Plan and contractual commitments.	DOE-HDBK-1076-94 DOE-HDBK-1078-94 DOE-HDBK-1086-95 DOE-HDBK-1103-96 DOE-HDBK-1200-97 DOE-HDBK-1201-97 DOE-HDBK-1204-97 DOE-HDBK-1205-97 DOE-STD-1006-92 DOE-STD-1009-92 DOE-STD-1010-92 DOE-STD-1060-93 DOE-STD-1070-94 DOE-STD-1091-96 DOE-STD-1146-2001 DOE-STD-1171-2003	HS-50	HS-51 HS-52
Training Materials Development (Training)	Accident investigations.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Construction hazards analyses.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Employee counseling and health promotion training.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Employee job tasks and hazards analysis information.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Fire Protection Program (life safety).	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Hazard prevention/abatement program.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Training Materials Development (Training)	Health examinations.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Industrial hygiene programs.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Motor vehicle safety programs.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Notification of excesses of illnesses or injuries that require epidemiological analyses.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Occupational Medical Program.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Postings.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Pressure safety policies.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Records of occupational fatalities, injuries, and illnesses	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Reports of subcontractor accident information.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Safety and health plans.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Suspect/counterfeit part controls.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Worker Protection Program.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Workplace inspections.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Programs (Training)	Develop and implement training courses that support the current and evolving DOE safety and security mission with courses linked to the FTCP identified competencies.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Training Program (Training)	Ensure the effective execution of Department-wide responsibility with respect to the development and administration of environment, safety and health functional training and qualification programs.	DOE O 414.1C,4.b.(2)	HS-50	HS-51 HS-52
Training Programs (Training)	Identify competency areas that do not have training readily available or those competency areas where training is available but is deemed to be inadequate.	DOE O426.1 DOE O 470.4A DOE O 472.1 DOE M 475.1-1B DOE-STD-1171-2003	HS-50	HS-51 HS-52
Training Programs (Training)	Identify, analyze and/or develop existing training, within the DOE complex, or other agencies, that may meet the requisite knowledge and skills identified for the common competency areas.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51
Training Programs (Training)	Manage the course development process to ensure it is timely, cost effective and supports the security and safety training programs and incorporates emerging technologies	DOE O426.1 DOE O 470.4A DOE O 472.1 DOE M 475.1-1B DOE-STD-1171-2003	HS-50	HS-51 HS-52
Training Programs (Training)	Manage a basic Integrated Safety and Security Testing and Evaluation Complex (ISSTEC) that supports security police officers interim operational tactical requirements and basic security systems technician and engineer's physical security systems training needs.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51
Training Programs (Training)	Restructure HS-50 curriculum based on technical qualification standards competency development.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51

Appendix F - HSS Functions, Responsibilities and Authorities Matrix Part A: Department/External				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Training Programs (Training)	Review training requirements for departmental safety and security training programs and recommends training/equipment upgrades in accordance with an approved development plan.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51
Training Programs (Training)	Develop and implement training courses that support the current and evolving DOE safety and security mission with courses linked to the FTCP identified competencies.	DOE O 426.1	HS-50	HS-52
Training Programs (Training)	Develop and implement training courses that support the current and evolving DOE Worker and Student Protection Program with courses linked to the FTCP identified competencies.	DOE M 231.1-1 DOE O 440.1B	HS-30	HS-52
Training Programs (Training)	Serve as a clearinghouse for evaluation of currently available safety courses	DOE O 426.1	HS-50	HS-52
Volunteer Protection Program (Assistance)	Manage, administer and implement DOE's Voluntary Protection Program (DOE-VPP).	January 25, 1994 Interagency Agreement between DOE and the Occupational Safety and Health Administration (OSHA)	HS-10	HS-12

Appendix F – HSS Functions, Responsibilities and Authorities Matrix Part B: HSS Internal Management				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Administration (Management)	Provide centralized administrative services and management support (e.g., leave administration, conference management, etc.). Manage the design, development, implementation and operation of management support systems. Develop workflow management procedures and administrative policies and procedures for the organization.	DOE M 552.1-1 DOE O 110.3 DOE O 200.2 DOE O 203.1 DOE O 243.1 DOE O 243.2 DOE O 430.1 DOE O 535.1 DOE O 552.1 DOE O 580.1	HS-1.2	HS-1.23
Appraisals, Assessments, and Self-Assessments (Management)	Perform Self-Assessments of programmatic responsibilities.	DOE O 414.1C, 5.b.(7), 5.e	All HSS Offices	
Budget (Management)	Develop budget requests (corporate, OMB, and Congressional) as required; act as point of contact for budget issues; provide budget presentations and testimony, as requested.	DOE O 130.1	HS-1.2	HS-1.21
Budget (Management)	Implement budget execution and fund distribution and control requirements.	DOE M 135.1 DOE O 135.1	HS-1.2	HS-1.21
Conduct of Operations (Management)	Ensure conduct of operations provisions are incorporated into NTC programs and procedures.	DOE O 5480.19	HS-50	HS-51 HS-52
Contracts (Management)	Provide a focal point for management and coordination of the procurement activities.	DOE Acquisition Regulations (DEAR) Federal Acquisition Regulations (FAR)	HS-1.2	HS-1.21
Employee Protection (Management)	Post regulations for NTC.	10 CFR 708	HS-50	HS-52
Federal Employee Occupational Safety and Health – FEOSH (Management/Operations)	Manage and conduct the Federal Employee Occupational Safety and Health (FEOSH) Program for the protection of HSS Federal employees.	DOE O 440.1B	HS-30	HS-31

Appendix F – HSS Functions, Responsibilities and Authorities Matrix Part B: HSS Internal Management				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Firearm Safety (Management/Operations)	Ensure that firearms used by the National Training Center for training purposes are used, stored, and maintained in a safe manner.	DOE M 470.4-3 DOE O 440.1B DOE S 1091-96	HS-50	HS-51
Human Resources (Management)	Provide personnel management services including the development of organization and staffing plans, manpower controls, and management analyses in support of HSS operations and provides for the implementation of Departmental policies for personnel-related activities such as affirmative action, executive succession, employee development, and training.	DOE 311.1 DOE M 360.1-1 DOE O 320.1 DOE O 321.1 DOE O 321.1-1 DOE O 322.1 DOE O 323.1 DOE O 331.1 DOE O 342.1 DOE O 360.1 DOE O 3731.1 DOE O 3750.1 DOE O 442.1	HS-1.2	HS-1.23
Independent Oversight (Management)	Develop and maintain protocols for conducting independent oversight appraisals of safeguards and security; cyber security; emergency management; and ES&H. These protocols will address: appraisal priorities, frequency, and scheduling; appraisal planning; data collection, analysis, and validation methods; development of ratings, findings, and opportunities for improvement; report preparation; and follow-up activities, as appropriate.	DOE O 470.2B 5.a.(12)	HS-60	HS-61 HS-62 HS-63 HS-64
Information Technology (Management)	Ensure HSS information and database systems are developed, implemented, managed, secured, and maintained in accordance with Departmental requirements.	DOE M 470.4-4 DOE O 200.1	HS-1.2	HS-1.22

Appendix F – HSS Functions, Responsibilities and Authorities Matrix Part B: HSS Internal Management				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Integrated Safety Management system – ISMS (Management)	Develop and maintain HSS ISMS safety system description (including the Environmental Management system or EMS) that addresses the five core functions, as part of the HSS Integrated Work Management System.	DOE O 450.1 chg 3 5.a.(1) DOE P 450.4 DOE-HDBK-3027-99	HS-10 HS-20	HS-20 HS-30 HS-52
Integrated Work Management System (Management)	Maintain HSS Integrated Work Management System Documentation	DOE M 450.4-1	HS-1.2	All HSS
NTC Safety Program (Management)	Advise, direct, assist, and provide guidance to the contractor in the establishment of Industrial, Occupational and Construction Safety criteria, procedures, and equipment for the safe operation of NTC facilities.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
NTC Safety Program (Management)	Development, implementation, and oversight of NTC and contractor programs that implement industrial, safety regulations and requirements and govern safety and health practices at the NTC.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
NTC Safety Program (Management)	Develop Industrial, Occupational, Environmental, and Construction Safety program goals, objectives and milestones to effectively convey related performance expectations to NTC, contractors, subcontractors, and tenants at the NTC.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
Program Management (Management)	Address programmatic problems and policy issues which may impact the NTC programs.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Program Management (Management)	Implement policies, resolving problems, and establish and assign priorities to accomplish NTC mission programs and objectives.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52

Appendix F – HSS Functions, Responsibilities and Authorities Matrix Part B: HSS Internal Management				
Activity (Function)	**Responsibility**	**Authorities**	**Lead**	**Support**
Quality Assurance – QA (Management)	Ensure a HSS QAP is: 1) developed, maintained, and implemented; 2) continuously improved; 3) integrated into an ISM system; and 4) provided with adequate resources to implement.	DOE O 414.1C, 4., 5.b	HS-1.2	All HSS
Safety Functions, Responsibilities, and Authorities (Management)	Maintain and update the HSS FRA to reflect changes in the DOE FRAM and changes within HSS as required.	DOE M 411.1-1	HS-1.2	All HSS
Technical Qualifications Program (Management)	Ensure HSS personnel are qualified to perform their safety management functions and these qualifications are reflected in position descriptions and performance criteria.	DOE M 426.1-1A	All HSS	HS-1.23
Technical Qualifications Program (Management)	Implement Federal Technical Capability Program (FTCP) within HSS.	DOE O 426.1-1, 3.a	HS-1.2	HS-1.23 HS-10
Training Programs (Management)	Ensure safety training meets the needs of the federal HSS staff.	DOE O 426.1	HS-50	HS-52