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United States Government **Department of Energy**

memorandum

DATE: MAY 05 2004

REPLY TO
ATTN OF: EM-3.2 (C. Broussard, 301-903-5452)

SUBJECT: Issuance of Environmental Management Functions, Responsibilities, and Authorities Document

TO: Distribution

Consistent with requirements within DOE M 411.1-1C, "Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual," dated December 2003, attached for your immediate implementation is the Office of Environmental Management Functions, Responsibilities, and Authorities (EM FRA) document, dated March 31, 2004. This document supersedes the previous version of the EM FRA dated March 2000. The EM FRA delineates the safety responsibilities for EM Headquarters (HQ), as well as names the EM HQ organization that has been given the authority and accountability to implement the responsibilities.

Copies of specific Field Managers' delegations are contained in Appendix C of the attached.

If you have any questions, please contact Ms. Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management/Operations Oversight, at (202) 586-5151.

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

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United States
Department of Energy's
Office of Environmental Management

Safety Management Functions, Responsibilities, and Authorities Document

Revision 3

March 31, 2004

TABLE OF CONTENTS

TABLE OF CONTENTS.....i

LIST OF FIGURES AND TABLES ii

LIST OF ACRONYMS AND ABBREVIATIONS iii

EXECUTIVE SUMMARY v

1.0 INTRODUCTION 1

2.0 OBJECTIVE..... 1

3.0 SCOPE 1

4.0 ORGANIZATION 2
- 4.1 Office of the Assistant Secretary for Environmental Management (EM-1).....2
- 4.2 Principal Deputy Assistant Secretary for EM (EM-2).....3
- 4.3 Chief Operating Officer (EM-3).....3
- 4.4 Office of Safeguards and Security/Emergency Management (EM-3.1).....3
- 4.5 Office of Integrated Safety Management / Operations Oversight (EM-3.2).....4
- 4.6 Consolidated Business Center (EM-3.3).....4
- 4.7 Western Sites Project Office (EM-3.4).....4
- 4.8 Office of Logistics and Waste Disposition Enhancements (EM-10).....4
- 4.9 Office of Environmental Cleanup and Acceleration (EM-20).....4
- 4.10 Office of Business Operations (EM-30).....4
- 4.11 Office of Performance Intelligence and Improvement (EM-40).....5

5.0 INTERFACES 5
- 5.1 Interface Between EM Headquarters and Field Elements 5
- 5.2 Interface Between EM and DNFSB 6
- 5.3 Interfaces Between EM, EPA, and State Environmental Regulatory Entities..... 6
- 5.4 Interfaces Between EM, EH, and OA 6

6.0 DIRECTION FROM MULTIPLE PROGRAM OFFICES 7

7.0 SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES 7

8.0 DELEGATION OF AUTHORITY 8

9.0 EM FRA REVISIONS/UPDATES 9

Appendix A: List of Directives and Code of Federal Regulation Documents Used to Develop the EM FRA, Rev. 3 ..... A-1

Appendix B: Definitions..... B-1

Appendix C: Memoranda Signed by the Assistant Secretary that Delegate Safety Management Functions, Responsibilities, and Authorities from EM Headquarters to the Field C-1

Appendix D: Reserved..... D-1

Appendix E: Presentation and Discussion of EM FRA Changes E-1

LIST OF FIGURES AND TABLES

Figure 1. Office of Environmental Management: Responsibility, Authority and Accountability for ES&H..... 2

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions 12

LIST OF ACRONYMS AND ABBREVIATIONS

AMEM	Assistant Manager for Environmental Management
ASEM	Assistant Secretary for Environmental Management
ATMS	Automated Transportation Management System
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CAP	Corrective Action Plan
CBDPP	Chronic Beryllium Disease Prevention Program
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CIO	Department of Energy Chief Information Officer
CH	DOE Chicago Operations Office
COC	Certificates of Compliance
COO	Chief Operating Officer
CRD	Contractor Requirements Document
CSO	Cognizant Secretarial Office(r)
CSPP	Cyber Security Program Plan
D&D	Decontamination and Decommissioning
DAS	Deputy Assistant Secretary
DEAR	Department of Energy Acquisition Regulation
DMD	Directive Management Document
DNFSB	Defense Nuclear Facilities Safety Board
DOD	Department of Defense
DOE	United States Department of Energy
DOT	United States Department of Transportation
DP	Office of Deputy Administrator for Defense Programs
EA	Environmental Assessment
ECP	Employee Concerns Program
EH	Department of Energy Office of Environment, Safety and Health
EIS	Environmental Impact Statement
EM	Department of Energy Office of Environmental Management
EM-1	Office of the Assistant Secretary
EM-2	Principal Deputy Assistant Secretary for EM
EM-3	Chief Operating Officer
EM-3.1	Office of Safeguards and Security and Emergency Management
EM-3.2	Office of Integrated Safety Management and Operations Oversight
EM-10	Office of Logistics and Waste Disposition Enhancements
EM-20	Office of Environmental Cleanup and Acceleration
EM-30	Office of Business Operations
EM-40	Office of Performance Intelligence and Improvement
EPA	Environmental Protection Agency
ERO	Emergency Response Organization
ES&H	Environment, Safety, and Health
EXs	Environmental Exclusions
FEM	Field Element Manager
FRA	Functions, Responsibilities, and Authorities
FRAM	Functions, Responsibilities, and Authorities Manual
GC	Department of Energy Office of General Counsel
HQ	Headquarters
ID	DOE Idaho Operations Office
ISMS	Integrated Safety Management System
LCAM	Life Cycle Asset Management
LPSO	Lead Program Secretarial Office(r)
MCEP	Motor Carrier Evaluation Program
MOU	Memorandum of Understanding

N	Notice
NCO	NEPA Compliance Officer
NDM	NEPA Document Manager
NEPA	National Environmental Policy Act
NGS	Non-Government Standards
NGSB	Non-Government Standards Bodies
N&S	Necessary & Sufficient
NN	Office of Deputy Administrator for Defense Nuclear Nonproliferation
NNSA	National Nuclear Security Administration
NOV	Notice of Violation
NPL	National Priorities List
NRC	Nuclear Regulatory Commission
O	Order
OA	Office of Independent Oversight and Performance Assurance
ODs	All EM-2 offices reporting directly to DASs and EM-3 HQ offices, except for EM-3.2, reporting to COO
OH	DOE Ohio Field Office
OMB	Office of Management and Budget
OPI	Office of Primary Interest
OR	DOE Oak Ridge Operations Office
ORP	DOE Office of River Protection
ORPS	Occurrence Reporting and Processing System
ORR	Operational Readiness Review
OSH	Occupational Safety and Health
OSHA	Occupational Safety and Health Administration
P	Policy
P2E2	Pollution Prevention and Energy Efficiency
P.L.	Public Law
PM	Program Manager
Ports/Pad	DOE Portsmouth and Paducah Project Office
PSO	Program Secretarial Office(r)
QAP	Quality Assurance Program
RCRA	Resource Conservation and Recovery Act
RF	DOE Rocky Flats Field Office
RL	DOE Richland Operations Office
RPP	Radiation Protection Program
SAR	Safety Analysis Report
SARP	Safety Analysis Report for Packaging
SMAC	Shipment Mobility/Accountability Collection
SME	Subject Matter Expert
SO	Secretarial Office(r)
SR	DOE Savannah River Operations Office
S/RID	Standards/Requirements Identification Document
SSCs	Structures, Systems, Components
STD	Standard
SWDA	Solid Waste Disposal Act
TRANSCOM	DOE Transportation Tracking and Communications System
TRU	Transuranic
TSCA	Toxic Substances Control Act
TSMC	Technical Standard Management Committee
TSP	Technical Standards Program
UMTRCA	Uranium Mill Tailings Radiation Control Act of 1978
USQ	Unreviewed Safety Question
WIPP	Waste Isolation Pilot Plant

EXECUTIVE SUMMARY

The Environmental Management Functions, Responsibilities, and Authorities document (EM FRA) contains the environment, safety, and health (ES&H) functions, responsibilities, and authorities necessary for achieving the integrated safety management of EM activities. It is a central component of EM's response to the Department of Energy's (DOE's) commitment to promulgate requirements and associated instructions that provide direction and guidance for the safety management process, including responsibility for carrying it out.

The EM FRA defines the safety management functions and responsibilities predicated on the requirements in DOE directives that are applicable to EM. The EM FRA captures all current ES&H responsibilities assigned[1] to the DOE program or line offices by the corporate-level DOE FRAM (DOE Manual 411.1-1C) and other applicable management and safety management directives. The EM FRA organizes or bins responsibilities into functional areas delineated by the Integrated Safety Management System process.

Each responsibility statement in the EM FRA identifies the EM Headquarters organization with implementing lead role or indicates that the authority is delegated to the Field Element Managers[2] (FEMs) or to other individuals. The EM FRA is an administrative instrument assigning responsibilities or documenting formal delegation of safety management authorities within EM Headquarters. Within EM, delegations of authority to individuals are made by formal memoranda only. Memoranda of delegation between EM Headquarters and the FEMs are referenced in the EM FRA; however, the EM FRA is a headquarters document and is not the formal mechanism by which delegations to the field are effected. Specific delegation memoranda to individuals are issued to establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.

[1] "Assign" is used in the EM FRA to specify that the responsibility is Secretarial direction to a Secretarial Officer (SO) or Field Element Manager (FEM) via a DOE Directive. This is in contrast to a delegation of authority issued by a Cognizant Secretarial Officer (CSO) to an individual, through which a CSO directs the individual to carry out a particular function that is assigned to the CSO by the Secretary. For a delegation of authority the CSO remains responsible and accountable to the Secretary for the assignment. The terms: authority, responsibility and delegation are defined in Appendix B of this document based on the terminology used in the DOE FRAM.

[2] Field Element Manager indicates the Operations Office Manager, the Field Office Manager, or the Project Office Manager who takes direction from the Assistant Secretary for Environmental Management. These delegated authorities can have expiration dates.

1.0 INTRODUCTION

DOE is committed to an integrated management systems approach to ensure work is done safely. This approach is reflected in the guiding principles and core management functions established in DOE P 450.4, "Safety Management System Policy." Among these guiding principles is the responsibility of DOE line management[3] for safety and the clear definition and understanding of the associated DOE functions, responsibilities, and authorities. Throughout this document, the term "safety" is used synonymously with ES&H to encompass protection of the public, the workers, and the environment.

The strategy for implementing these two guiding principles is further defined by DOE Policy 411.1, "Safety Management Functions, Responsibilities and Authorities Policy." This policy requires

1. Development of a corporate-level document that defines the Department's primary safety management functions, responsibilities and authorities, and

2. A framework for the development of lower-tier documents to further describe line, support, oversight, and enforcement organization implementation.

This document satisfies the corporate-level DOE FRAM requirement for a “lower tier” FRA-document that describes line organization implementation of the corporate level responsibilities delineated in the DOE FRAM. The EM FRA captures all corporate-level DOE FRAM responsibilities assigned specifically to EM and generally to the Secretarial Officers (SOs), Program Secretarial Officers (PSOs), and Cognizant Secretarial Officers (CSOs).

The EM FRA is a living document that is reviewed and updated as necessary and/or within 90 days of the issuance of a revision to the DOE FRAM. The EM FRA is maintained under a formal change control system (Section 9.0), and is updated on at least an annual basis.

2.0 OBJECTIVE

The objective of the EM FRA is to ensure EM Headquarters’ functions, responsibilities, and authorities for safety management are clearly identified and assigned/delegated, both within EM Headquarters, and from EM Headquarters to the field. The EM FRA identifies those EM Headquarters’ organizations whose function it is to carry out specific safety-related responsibilities; it further identifies responsibilities for which authority is delegated to the FEMs or to other individuals.

3.0 SCOPE

The EM FRA applies to the EM Headquarters’ organization and, unlike the DOE FRAM, is not a DOE directive. The EM FRA is an administrative instrument assigning responsibilities or documenting formal delegation of safety management authorities within EM Headquarters. Each responsibility statement in the EM FRA identifies the EM Headquarters organization with implementing lead role or indicates that the authority is delegated to the FEMs or to other individuals. The EM FRA identifies functions and authorities delegated to the FEMs; however, delegations to the FEMs are made through formal memoranda that define Headquarters’ expectations and qualifying or limiting conditions associated with the delegation. It is the field organization’s responsibility to develop a FRA that captures delegations from the program offices (i.e., EM, Defense Programs, Nuclear Energy and Science) and specifically designates the organization within the field element that executes the delegated authority and function.

[3] "DOE line management" refers to that portion of the Department organization having a linear reporting relationship extending from the Secretary to the people in the facilities directly performing the Department's missions. It is distinct from "DOE support organizations," such as those of Offices of the Assistant Secretaries for Environment, Safety and Health, which also have safety responsibilities and functions [DOE M 411.1-1C].

4.0 ORGANIZATION

EM has programmatic responsibilities for waste management, environmental restoration, technology development, and nuclear material and facility stabilization across the DOE complex. In addition to major mission-related projects and programs, EM has landlord responsibilities for numerous sites and facilities. EM is responsible for technical support to DOE's emergency management program and has a DOE-wide technical support role for the transportation and packaging functional areas. EM's internal organization as it relates to the Department is shown in Figure 1. The missions of the specific organizations within EM are summarized below.

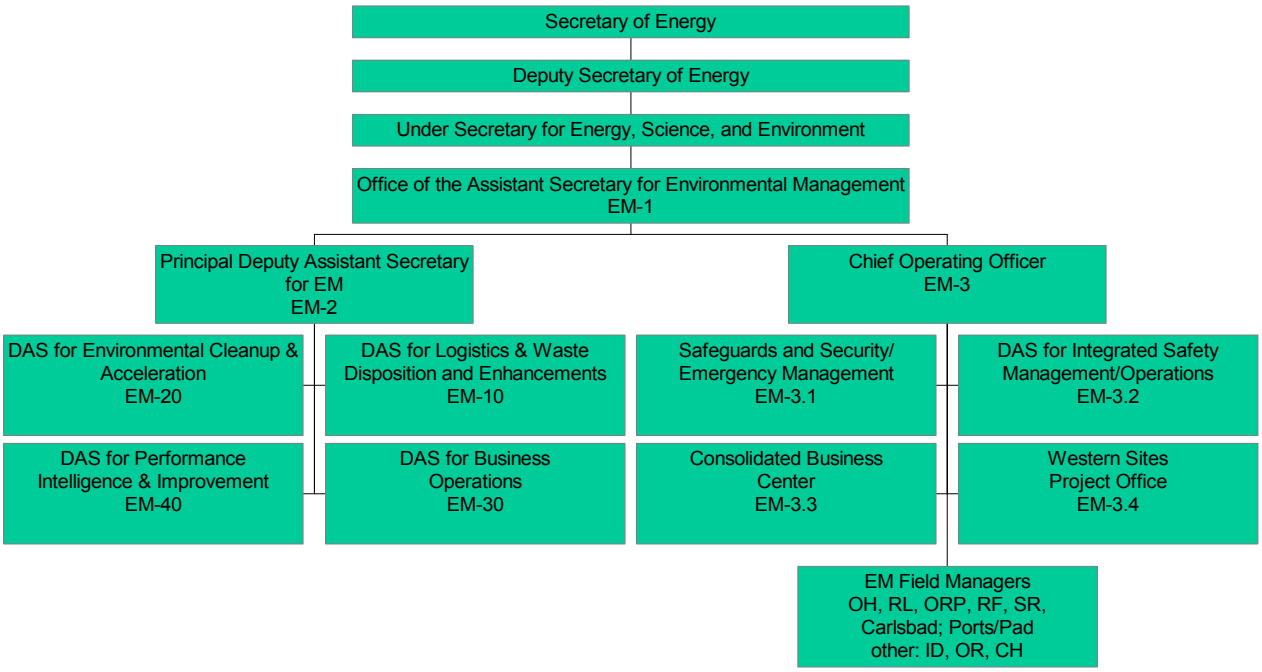

FIGURE 1. EM Organization Chart as Related to DOE

4.1 Office of the Assistant Secretary for Environmental Management (EM-1)

The Office of the Assistant Secretary for Environmental Management (EM-1) provides program policy development and guidance for the assessment and cleanup of inactive waste sites and facilities, and waste management operations; develops and implements an aggressive applied waste research and development program to provide innovative environmental technologies to yield permanent disposal solutions at reduced costs. The Office of the Assistant Secretary provides centralized management for the Department for facility deactivation and decommissioning, waste management operations, environmental restoration and related applied research and development (R&D) programs and activities, including the EM program policy guidance to all DOE field elements in these areas. The Assistant Secretary serves as the Environmental Management Acquisition Executive. The Assistant Secretary, as the CSO, is responsible for the institutional health and long-term planning, landlord activities, and for overall site integration and operations and provides direction, policy, and management oversight to seven major sites (Ohio Field

Office, Richland Operations Office, Office of River Protection , Rocky Flats Field Office, Savannah River Operations Office, Carlsbad Field Office, and Portsmouth/Paducah Project Office), as well as various small sites associated with these and other DOE site offices.

In addition, the Assistant Secretary for Environmental Management is responsible for ongoing cleanup projects and facilities at sites where the Cognizant Secretarial Officer for the Site is either the Under Secretary for Nuclear Security/Administrator for the National Nuclear Security Administration, e.g., Y-12, or the Director of the Office of Science, e.g., Oak Ridge National Laboratory, or the Director of the Office of Nuclear Energy, e.g., the Test Reactor Area at Idaho. In these cases the Assistant Secretary for Environmental Management retains responsibility for the health and safety of the specific cleanup projects and facilities for EM's activities at these sites even though site-wide safety responsibility is the responsibility of a different Secretarial Officer.

4.2 Principal Deputy Assistant Secretary for EM (EM-2)

The Principal Deputy Assistance Secretary (EM-2) assists the Assistant Secretary for Environmental Management (EM-1) in carrying out program and policy direction under EM's jurisdiction. The Principal Deputy ensures integrated coordination of corporate initiatives across the Department. The Deputy provides daily oversight of the mission programs (Environmental Cleanup and Acceleration, and Logistics and Waste Disposition Enhancements) and the management support organizations (Business Operations and Performance Intelligence and Improvement), and is the EM management official responsible for operations in the headquarters mission programs. Serves as the senior EM official responsible for the operation of the Core Technical Group (located within the office of Environmental Cleanup and Acceleration) and associated assistance to EM field sites.

4.3 Chief Operating Officer (EM-3)

The Chief Operating Officer (COO) is responsible for operational oversight, readiness reviews and the conduct of operations at EM sites. The Office serves as the EM focal point for matters related to environmental compliance, day-to-day operations in EM facilities, emergency management, and safeguards and security at EM sites. The Chief Operating Officer is responsible for coordination and leadership on issues raised by outside organizations such as the Defense Nuclear Facilities Safety Board. The Chief Operating Officer serves as the EM Agent on the Federal Technical Capability Panel. The COO also provides day-to-day oversight of environmental health and safety, safeguards and security, emergency management, and contract execution at EM sites and facilities. The COO ensures overall site integration and operations to ensure line management accountability. The COO serves as the first line supervisor to EM Field Managers/AMEMs. The Chief Safety Officer for EM is organizationally positioned in the Office of the Chief Operating Officer and reports directly to the COO. The Chief Safety Officer duties include being the principal advisor to the COO, Assistant Secretary, and EM Program on safety and nuclear criticality issues for the EM program. The Chief Safety Officer will provide expert evaluation of the authorization and safety basis documentation at EM sites and activities.

4.4 Office of Safeguards and Security/Emergency Management (EM-3.1)

The Office of Safeguards and Security/Emergency Management serves as the EM single point of contact for safeguards and security issues across EM programs. Provides program advocacy and technical assistance for EM safeguard policy and security development and implementation, and safeguards and security budget justification. Serves as EM Headquarters Security Officer. Provides policy and program direction for EM field element emergency management planning functions to ensure that each field element has adequate response capabilities. Develops the EM Headquarters Plan and Implementing Procedures and reviews EM field element Emergency Readiness Assurance Plans. Participates in the Headquarters response to an emergency condition at any EM field facility and any transportation incident. Develops an emergency response training program for federal, state, tribal and local emergency responders for DOE (non-weapons) transportation incidents. Provides safeguards and security expertise to EM, in a teaming

approach with the Office of Security and Emergency Operations, and ensures that EM sites effectively implement safeguards and security policy requirements.

4.5 Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight (EM-3.2)

The Office of Integrated Safety Management and Operations Oversight ensures implementation of EM's Integrated Safety Management System. Serves as EM's liaison to the Defense Nuclear Facilities Safety Board (DNFSB), represents the Assistant Secretary on day-to-day Board-related issues and ensures compliance with the requirements of DNFSB recommendations. Manages the EM operational safety, health and quality assurance programs such as; Price Anderson Amendment Act reporting; Startup/restart of Nuclear Facilities; Operational Readiness Reviews; occurrence reporting information; Conduct of Operations and operational assessments. Serves as the senior EM official providing day-to-day operational oversight, feedback, and direction to EM's field elements. Also serves as the lead for coordinating with EH on safety related matters.

4.6 Consolidated Business Center (CBC) (EM-3.3)

The Consolidated Business Center provides business support services to its customers in the field offices and project sites. Business support functions include; contracting/procurement; financial management; human resources management; information resource management (IT); legal; and logistics. They also maintain a site closure cadre with technical and operational expertise in closing EM sites such as Rocky Flats and Ohio. The CBC will be an EM Headquarters element located outside of the Washington, DC. area. The CBC Director will report to the Chief Operating Officer, who is responsible for the operations of the CBC.

4.7 Western Sites Project Office (EM-3.4)

The Western Sites Project Office is responsible for effectively implementing EM responsibilities, obligations, and activities at National Nuclear Security Administration (NNSA) sites located in western regions of the United States. This Office serves as the entry point for the Office of Environmental Management for information and resolution of issues.

4.8 Deputy Assistant Secretary for Logistics and Waste Disposition Enhancements (EM-10)

The mission of the Office of Logistics and Waste Disposition Enhancements is to ensure appropriate disposal sites and options are in place to enable the accelerated risk reduction and cleanup of sites under the jurisdiction of the Office of Environmental Management (EM). This includes management of transportation emergency response and security, route management, transportation operations and dispatch, and assets integration and management. In addition, the Office identifies and manages programs for commercial and Federal disposition options.

4.9 Deputy Assistant Secretary for Environmental Cleanup and Acceleration (EM-20)

The mission of the Office of Environmental Cleanup and Acceleration is to assist in the accelerated risk reduction and cleanup of sites under the jurisdiction of the Office of Environmental Management (EM) by instituting programs that focus on technology deployment, and assessment and development of alternatives to baseline technologies. In addition, the mission of the Office includes providing technical and engineering services for criticality safety, fire protection and safety, and radiation safety. The Office maintains a cadre of subject matter experts to review, assess and identify vulnerabilities in safety and other engineering systems at EM sites.

4.10 Deputy Assistant Secretary for Business Operations (EM-30)

The mission of the Office of Business Operations is to manage, integrate and coordinate infrastructure support for the Office of Environmental Management (EM). Infrastructure support includes: budget

development and execution; project planning and control and strategic planning and analysis; internal/external coordination; and, business services.

4.11 Deputy Assistant Secretary for Performance Intelligence and Improvement (EM-40)

The mission of the Office of Performance Intelligence and Improvement is to assist in achieving performance excellence in the accelerated cleanup and closure of Environmental Management sites. The mission includes developing and implementing strategic initiatives consistent with the President's Management Agenda, developing sound and innovative acquisition strategies for the accelerated cleanup and closure of Environmental Management sites, and conducting analyses to show progress towards meeting Environmental Management's strategic objectives.

5.0 INTERFACES

Successful execution of EM's mission requires clear communication of direction and feedback between the FEM and EM Headquarters. FEMs are responsible for contracting, authorizing and overseeing the safe conduct of EM programs and projects. Communications include the flow of direction from Headquarters to the field and the flow of appropriate feedback from the field to Headquarters. The EM line organization consists of a line extending from the Secretary to the Office of the Assistant Secretary for Environmental Management to the Chief Operating Officer to the FEM to the head of the contractor organization, and finally to the individual performing the work. The specific interfaces and lines of authority between the FEM and the head of the contractor organization are defined in each FEM's FRA.

5.1 Interface Between EM Headquarters and Field Elements

All managers who report directly to the Secretary, the Deputy Secretary or the Under Secretary are referred to as Secretarial Officers. A primary responsibility of the Secretarial Officers is to support the Under Secretary, the Deputy Secretary, and the Secretary in meeting their responsibilities.

The Secretarial Officers responsible for accomplishing work in a safe and environmentally sound manner at DOE-owned or DOE-leased sites and facilities are Cognizant Secretarial Officers (CSOs). The CSOs have line accountability for a laboratory or a bounded set of facilities. The CSOs provide direction to line organizations in DOE HQ and the field regarding safety management processes and systems. Although the ultimate responsibility for safety rests with the Secretary, EM-1 is responsible for providing direction to the line organizations for those sites owned by EM and is accountable for the appropriate and successful implementation of DOE policies and requirements.

In accordance with the DOE FRAM, CSOs and Field Managers are required to establish Memorandums of Understanding (MOUs) that define the agreed upon procedures governing operations of a particular site, facility or laboratory where multiple program offices conduct work. Copies of the MOUs are distributed to all signatories and to all contractors whose operations are affected by the MOUs. These MOUs should be incorporated into organizational functions, responsibilities, and authorities documents, as appropriate.

At sites where EM is not the CSO, but conducts and funds programs at the site, it is considered a Program Secretarial Office (PSO). The PSO provides direction and defines the missions and budgets to be implemented by the field for its specific programs

For facilities where EM is the CSO, it has generally delegated operating authority for its installations and facilities to the FEM, who has direct authority for day-to-day control. Delegation of safety authority to the FEM does not relieve the CSO of responsibility for safety. EM is responsible for providing the direction and oversight necessary to ensure that missions are performed safely, on schedule, and within budget; FEMs direct, plan, and monitor the activities of DOE and contractor employees.

5.2 Interface Between EM and DNFSB

The interface between DOE Organizations and the Defense Nuclear Facilities Safety Board (DNFSB) is detailed in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*. In summary, the Secretary maintains an interface with the DNFSB through the Departmental Representative to the Board (S-3.1), who represents the Secretary in interactions with the Board. The Departmental Representative advises the Secretary and Secretarial Officers of Board issues. The Departmental Representative coordinates with affected Secretarial Officers and designates a CSO to respond to Board recommendations, correspondence, or other issues. If the Assistant Secretary for EM is the CSO responsible for responding to a Board safety issue, then the Chief Operating Officer (EM-3) designates and directs a responsible manager for planning, response, and implementation of activities for that recommendation, correspondence, or issue. The EM responsible manager supports the Chief Operating Officer (EM-3) in preparing and implementing the EM response to the DNFSB for the Assistant Secretary.

5.3 Interfaces Between EM, the U.S. Environmental Protection Agency (EPA), and State Environmental Regulatory Entities

The EM policy for negotiating and approving environmental compliance and cleanup agreements is delineated in "Guidance for Environmental Cleanup and Compliance Agreements and Related Milestones," signed by the Assistant Secretary for Environmental Management on December 15, 2000. The guidance applies to all environmental agreements and enforceable milestones developed in conjunction with EPA and/or state regulatory authorities, and to all new and/or modified environmental agreements or enforceable milestones.

The Review and Approval Guidance assigns the field office as the lead for the Department in agreement negotiations. The field focal point is the Assistant Manager for Environmental Management (AMEM) or equivalent, at the field office, or the AMEM's designee. The field focal point is responsible for identifying new agreements or changes to existing ones, preparing a negotiation strategy, and coordinating with Headquarters focal point and field senior management.

The Principal Deputy Assistant Secretary for EM (EM-2) oversees implementation of the guidance process with oversight responsibility to ensure all environmental agreements are concluded and milestones are met. Other Headquarters elements, e.g., General Counsel (GC), Office of Environment, Safety, and Health (EH), etc. may be consulted either by the Headquarters focal point and/or the field focal point.

5.4 Interfaces Between EM, EH, and the Office of Independent Oversight and Performance Assurance (OA)

OA and EH may interface with EM line management (i.e., EM-3) in an independent oversight, technical support and enforcement role. The subjects of these interfaces include the following:

• *Departmental Policy, Technical Support, and Regulatory Liaiso*n. EH has the lead in establishing Department-wide ES&H policy and standards. On ES&H matters, EH may also provide EM with expert resources and recommendations. All policy and direction issued by EH that could affect other DOE organizations are normally reviewed via the DOE Directives System process and approved by the Deputy Secretary.

• *Independent Oversigh*t. OA is the Headquarters element conducting independent oversight and assessment of ES&H activities. OA also oversees emergency management activities and security.

• *Enforcemen*t. EH carries out the Department's function under the Price-Anderson Amendments Act of 1998.

6.0 DIRECTION FROM MULTIPLE PROGRAM OFFICES

As noted above, the CSOs are the line managers for a site and are responsible for resolving disputes among the Secretarial Officers and field office associated with a site. Any conflict among the Secretarial Officers concerning direction to the field is resolved by the Deputy Secretary (as the Department's Chief Operating Officer). At sites where EM is the CSO, it is responsible for site-wide operational oversight on behalf of all programs having work performed at those sites. Program Secretarial Officers (PSOs) provide broad program policy and direction, budget to support program work, and an appropriate share of the landlord costs.

7.0 SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

The DOE FRAM requires that "lower-tiered" FRA documents capture the safety management functions, responsibilities, and authorities necessary to accomplish the intent of DOE directives, regulations, and safety management mechanisms. To fulfill this direction, the EM FRA directly quotes the corporate-level DOE FRAM and ES&H directive responsibilities assigned to EM (e.g., the DAS, CSO, PSO) and either:

1. Identifies which EM organizations have lead and support roles for implementation, or

2. Indicates that the respective authority can be delegated to the FEM.

The corporate-level DOE FRAM contains responsibility statements assigned to EM, PSO, CSO, and DAS and is organized or binned into the integrated safety management system (ISMS) functions and categories as listed below:

- Provide Direction,
- Define Scope of Work,
- Analyze Hazards,
- Develop and Implement Controls,
- Perform Work, and
- Collect Feedback and Pursue Improvement.

These categories are further subdivided into various subcategories. The EM FRA captures all the corporate-level responsibilities assigned to EM in the DOE FRAM and designates the EM organization with the lead and support implementing role. This is shown in Table 1. It then bins other related DOE directive responsibilities under the corporate-level responsibilities. The EM organizations having either the lead or support role in fulfilling the respective responsibilities are identified. The acronyms or office codes used in Table 1 for the various EM organizations are shown below.

Acronyms or Office Codes for Table 1 FRA Assignments

EM-1	Office of the Assistant Secretary
EM-2	Principal Deputy Assistant Secretary
EM-3	Chief Operating Officer
EM-3.1	Office of Safeguards and Security and Emergency Management
EM-3.2	Office of Integrated Safety Management and Operations Oversight
EM-3.3	Consolidated Business Center
EM-3.4	Western Sites Project Office
EM-10	Office of Logistics and Waste Disposition Enhancements
EM-20	Office of Environmental Cleanup and Acceleration
EM-30	Office of Business Operations
EM-40	Office of Performance Intelligence and Improvement
ODs	All EM-2 offices reporting directly to DASs and EM-3 offices, except for EM-3.2 (which is a DAS position), reporting to COO

DASs	All EM Deputy Assistant Secretaries
FEM	Field Element Manager

Table 1 contains a line-by-line analysis of which EM organization has the lead role for implementing a particular safety management responsibility. Each row of the table consists of six columns, including:

1. Numerical identifier (ID)[4],
2. Citation of the DOE directive,
3. Quotation of a responsibility statement,
4. Abbreviation of the EM organization(s) with the lead role in ensuring that the responsibility is fulfilled,
5. Abbreviation of the EM organization(s) with the support role in ensuring that the responsibility is fulfilled, and
6. Any necessary notes to further clarify how a particular responsibility is either dispositioned within EM or delegated to the FEM. This column is also used to clarify certain EM responsibilities.

For example, Row "3.2.01" (Table 1), cites Title 10 CFR 830[5], and quotes the driver: "Approve final facility hazard categorization for hazard category 2 and 3 nuclear facilities, where this authority has not been delegated." "EM-2" is listed in column four under the heading "Lead Role," indicating that this is the responsibility of the Principal Deputy Assistant Secretary for EM. The Chief Operating Officer (EM-3) supports EM-2 by reviewing and recommending approval or disapproval on final facility hazard categorizations so "EM-3" is listed in the "Support Role" column. The Field Element Manager submits the final facility hazard categorization for approval, or in some cases approves it if delegated the authority. In the last column, "Notes," the following clarifications for the conditions of the delegation are included: "Delegated to OH, RF, CH, SR, RL, ORP, ID, Ports/Pad. For Carlsbad and OR, Dae Chung at HQ is the authority." The appropriate FEMs are listed based on the current delegation of authority memos. The delegation of authority memoranda are included in Appendix C.

8.0 DELEGATION OF AUTHORITY

The Secretary is the source for all DOE authority and may delegate that authority throughout the Department and/or establish further responsibilities. Although the authority for executing specific functions (responsibilities) can be delegated down the line to the individual who actually executes the function, the responsibility for that function cannot be delegated; designees, however, are to be held accountable for any impropriety or dereliction in the use of delegated authority. In particular, contractors operating DOE facilities are accountable for the safe performance of their activities, while DOE line management is responsible for directing and monitoring the performance of those contractors to ensure the safety of work and facilities.

As explained in Section 7, above, Table 1 documents the assignment of responsibility and/or the possible delegation of authority for specific safety functions (responsibilities) to specific DOE Headquarters offices or to the FEMs. These authorities may be delegated by the Assistant Secretary unless such delegation is prohibited by regulation, other obligation, or the DOE FRAM. Authority is delegated by means of DOE directives, position descriptions, or memoranda. Records of delegation relating to EM FRA responsibilities are kept current by the Deputy Assistant Secretary for Integrated Safety Management / Operations Oversight (EM-3.2). Any new delegations or changes to existing delegations should be reported to, and coordinated with, EM-3.2.

Delegation of approval authority does not preclude EM Headquarters from issuing requirements, expectations, and guidance affecting that authority, or from participating in field element interactions with the operating contractor. EM Headquarters will coordinate any interactions with an operating contractor through the cognizant field element.

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[4] Each responsibility is given a unique numerical identifier in Table 1. The identifiers are presented in the sequence of the ISMS-related categories noted earlier in this section.

[5] Full titles and dates of the drivers are provided in Appendix A.

The following restrictions apply to the delegation of authority.

- All delegations of authority must be in writing, which must be provided to the designee. This document shall establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.

- The delegation may be rescinded by the delegating authority in writing at any time.

- Verbal delegations shall not be used unless covered by a written delegation (e.g., that the Deputy Manager assumes authority whenever the Manager is on travel).

- Permanent delegations are in effect until rescinded in writing by the delegating official. Temporary delegations specify when authority is to be terminated.

- Any time a DOE signature is required, the signing official shall have written authority.

The EM FRA is an administrative mechanism assigning responsibilities or documenting formal delegation of safety management authorities within EM Headquarters. Although the EM FRA documents delegations of authorities and functions to specific positions, it is not the administrative vehicle for such delegations. All delegations to individuals are documented in official memoranda of delegation that inform the individual of his/her delegated authorities. These delegations are cited in Table 1 and Appendix D. Copies of the delegation memoranda are given in Appendix C.

Any delegation of specific ES&H authorities that are documented by an EM memorandum should be provided to the Deputy Assistant Secretary for Integrated Safety Management / Operations Oversight for inclusion in an update to the EM FRA (also refer to Section 9.0, below).

9.0 EM FRA REVISIONS/UPDATES

The Assistant Secretary for Environmental Management (EM-1) is responsible for approving and implementing the EM FRA. The EM FRA is reviewed by EM and all other DOE organizations with interfaces with EM including EH, OA, DP, SC and all FEMs under EM's cognizance. The Deputy Assistant Secretary for Integrated Safety Management / Operations Oversight has the lead responsibility for managing and maintaining the EM FRA as a living document. Changes to the EM FRA are made in response to:

1. Changes in an internal EM delegation of specific ES&H authority,

2. Changes in delegations of authority to the FEM,

3. Reorganizations of EM,

4. Changes in the DOE Directive System that modify contents of the EM FRA including:

    (a) Publication of a new Order or Manual that affects EM responsibilities,
    (b) Modification of an existing Order or Manual that affects EM responsibilities,
    (c) Cancellation of an Order or Manual with replacement by a new Order or Manual,
    (d) Cancellation of an Order or Manual without replacement,
    (e) Cancellation of an Order or Manual with replacement by a rule, and

5. Publication of new or modified Code of Federal Regulation documents, or withdrawal of such documents, that modify the contents of the EM FRA.

Except for minor changes, changes to any of these items will require modification of the EM FRA. In future revisions of the EM FRA, the date of the change and a summary discussion of the change will be included in Appendix E.

Changes in delegation of authority require a formal memorandum between EM-1 and the affected individual.

Changes to DOE Directives, as defined in statement "4" of this section, may require that the Assistant Secretary for Environmental Management or the Assistant Secretary's designee, delegate the authority for implementation of the new responsibilities either within EM or to the Field. The Deputy Assistant Secretary for Integrated Safety Management / Operations Oversight monitors the DOE Directives System and notifies the Assistant Secretary of pertinent changes. The Deputy Assistant Secretary for Integrated Safety Management / Operations Oversight provides the Assistant Secretary a formal transmittal that describes the change and provides either draft assignments of functions within EM or draft delegation memoranda to the FEMs.

Cancellation of an Order replaced by a rule issued under Title 10 of the Code of Federal Regulations requires special consideration. Cancellation of an Order under this circumstance does not necessarily absolve the responsible organizations within DOE of their functions for ensuring implementation of requirements in the newly issued rules. Cancellation of an Order under this circumstance requires an evaluation of the requirements in the superseding rule to determine the need to continue line management oversight of the requirements. For example, if the requirements in the rule do not significantly differ from those in the canceled Order, then there need be no modification in the EM FRA.

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Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	**Driver**	**Responsibility**	**Lead Role**	**Support Role**	**Notes**
		1.1 DOE Strategic Plans, Including Mission Statements			
1.1	GPRA 1993	Provide input to and implement the provisions of the Secretary's Strategic Plan, including the Department's mission statement.	**EM-2**		
		1.2 Secretarial Office Strategic Plans, Including Mission Statement			
1.2	GPRA 1993	Prepare secretarial office strategic plans and mission statements, and submit them to the Deputy Secretary for approval. Implement DOE and secretarial office strategic plans and mission statements.	**EM-2**		
1.2.01	DOE O 413.1A	(1) Maintain stewardship of Federal resources and ensure they are used efficiently and effectively to achieve intended program results. (2) Take systematic and proactive measures to establish cost-effective and appropriate management controls. (3) Establish and maintain a separate management control program as required by this Order. (4) Appoint a management control action officer to coordinate all planning, evaluating, and reporting related to the DOE Management Control Program.	**EM-1**	EM-2	
		1.3 Cognizant Secretarial Office (CSO) Mission Assignment to FEM			
1.3	DOE M 411.1-1C	CSO provides direction line organizations in DOE Headquarters and field regarding safety management processes and systems. Provide mission assignments and program guidance to FEMs. The CSOs are Secretarial Officers with line accountability for a laboratory or a bounded set of facilities.	**EM-3**		
		1.4 Budget For Program			
1.4.01	DOE O 520.1	Prepare the proposed budget for the program office and coordinate with the headquarters' Chief Financial Officer.	**EM-2**	EM-3	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.4.02	DOE M 411.1-1C	The CSO is responsible and accountable for ensuring safe operations at DOE sites and facilities.	**EM-3**		
1.4.03	DOE O 520.1	1) Conduct operations under their cognizance in a manner consistent with financial policy, procedures, and guidance promulgated by the CFO. 2) Coordinate with the CFO on the development of their performance masurement systems for DOE programs that evaluate and compare progress in achieving program objectives with resources expended. 3) Coordinate with the CFO on all activities and issues that have budgetary and financial impact. 4) Allocate adequate staff positions and other resources to support Field CFO financial management functions.	**EM-1**	EM-2	
1.4.04	DOE M 411.1-1C	CSOs are responsible for providing direction to line organizations in their assigned areas and are accountable for the appropriate and successful implementation of DOE policies and requirements.	**EM-3**		
1.4.05	DOE O 430.1B	Leads in defining, planning, and budgeting for program needs, including operations, facilities, and projects. LPSO issues program missions, budgets, and planning estimates covering a 10 year planning horizon for site infrastructure and LPSO-related real property assets and approve Ten Year Site Plans (TYSPs) and land-use management plans for their sites. CSO/PSO issues program missions, budgets, and planning estimates covering a 10-year planning horizon for their program-related work and/or real property assets and approve elements of TYSPs related to their programmatic responsibilities at related sites.	**EM-2**	EM-3	
1.4.06	DOE O 130.1	Prepare programmatic budget requirements and guidance needed by Field Elements to develop budget data required at Headquarters for the CRB process. Submit guidance to the Office of Budget in a timely manner for issuance in the field budget call.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.4.07	DOE O 130.1	Designate and maintain a principal point-of-contact for the budget formulation process.	**EM-2**		
1.4.08	DOE O 130.1	Provide the Office of Budget with new or unforeseen field budget data requirements that need to be issued supplemental to the field budget call.	**EM-2**		
1.4.09	DOE O 130.1	Work through Field Office-designated budget points-of-contact rather than through direct interaction with contractors on field budget matters.	**EM-2**		
1.4.10	DOE O 130.1	Develop CRB budget requests consistent with the Department's Strategic Plan, Secretarial decisions resulting from the spring planning process, the CRB budget call, and DOE Budget Formulation Instructions.	**EM-2**		
1.4.11	DOE O 130.1	Develop OMB budget requests in compliance with final Secretarial budget decisions resulting from the CRB process, the OMB budget call, OMB Circular A-11, and DOE Budget Formulation Instructions reporting requirements.	**EM-2**		
1.4.12	DOE O 130.1	Participate in OMB budget hearings and provide, through the Office of Budget, additional data if requested by OMB in support of the program's budget request.	**EM-1**	EM-2	
1.4.13	DOE O 130.1	Develop congressional budget requests in compliance with final Presidential policy and economic decisions, and supporting OMB funding allowance levels. Requests shall also comply with guidance, formats, and reporting requirements contained in OMB Circular A-11, the Congressional Budget Call, and DOE Budget Instructions.	**EM-2**		
1.4.14	DOE O 130.1	In coordination with the Office of Budget, brief appropriations subcommittee staffs on the organization's portion of the Department's budget and provide additional data to Congress through the Office of Budget, as requested.	**EM-2**	EM-3	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.4.15	DOE O 130.1	Testify at congressional budget hearings, if requested, and provide additional data to Congress, as needed, in support of the program's budget request.	**EM-1**	EM-2 EM-3	
1.4.16	DOE O 130.1	Develop internal procedures and controls to ensure compliance with all CFO requirements and to ensure that all field budget data requirements are submitted through the field budget process to eliminate the need for unilateral budget requests to Field Elements.	**EM-2**		
1.4.17	DOE O 430.1B	Notify Field Elements of plans to close program facilities and terminate missions. Declares excess real property assets in accordance with the requirements of this Order, including an annual declaration and report to OECM on the real property assets that are excess to program needs and notification to the site/field manager of mission terminations. Provides annual program direction and guidance, including program missions, budgets, and planning estimates for use in developing the TYSP and notification of its site program mission terminations to the host LPSO and the site/field manager	**EM-3**		
1.4.19	DOE O 430.1B	Is accountable to the Secretary for the proper stewardship of real property assets at the site, including maintaining the condition of infrastructure to support mission activities reliably, efficiently, and effectively.	**EM-1**	EM-3	LPSO/CSO Single Program Site
1.4.22	DOE O 430.1B	Ensures a qualified DOE Federal facilities management staff is assigned at Headquarters offices and field elements to provide for implementation of this Order and to ensure Federal accountability for the proper stewardship of real property assets and real estate actions.	**EM-3**		LPSO Single Program Site
1.4.23	DOE O 430.1B	Develops components for both the Department's and the program's stategic plans that link real property assets to missions and establishes a rational basis for real property assets planning and budgets, including issuing annual direction and guidance relative to planning, programming, budgeting, execution, and evaluation activities.	**EM-3**		LPSO/CSO Single Program Site

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.4.24	DOE O 430.1B	Provides annual program direction, guidance, and oversight for implementing the requirements of this Order by the program and sites under the LPSO's cognizance.	**EM-3**		LPSO/CSO Single Program Site
1.4.26	DOE O 430.1B	Reviews and approves TYSPs submitted by the site/field manager.	**EM-3**		LPSO Single Program Site
1.4.27	DOE O 430.1B	Provides annual program direction and guidance consistent with agreements between the LPSO and CSOs at the site for details of real property assets.	**EM-3**		LPSO/CSO Single Program Site
1.4.28	DOE O 430.1B	Coordinates all CSO/PSO programmatic needs at a site with the site/field manager for a consolidated TYSP that includes all tenant CSOs/PSOs.	**EM-3**		LPSO/CSO Single Program Site
1.4.29	DOE O 430.1B	Ensures the TYSP is consistent with agreements between the LPSO and CSOs about the details of programmatic real property assets, especially pertaining to stie infrastructure.	**EM-3**		LPSO/CSO Single Program Site
1.4.30	DOE O 430.1B	Resolves conflict at the site between LPSO, CSOs, and the site/field manager for planned site infrastructure.	**EM-3**		LPSO Multi Program Site
1.4.32	DOE O 430.1B	Prepares and approves CSO-specific TYSPs for their requirements at the site when the CSOs separately plan and budget for their programmatic real property assets at the site. These TYSPs can be separate from the site/field manager's TYSP, but must be coordinated with the site/field manager and LPSO and attached to the site/field manager's TYSP for a consolidated site TYSP.	**EM-3**		CSO/PSO Multi Program Site
1.4.37	DOE O 430.1B	Approves the TYSP if it was prepared by the CSO's site/field manager.	**EM-3**		CSO/PSO Multi Program Site
1.4.38	DOE O 430.1B	Reviews and comments on the TYSP if it was prepared by the site/field manager to ensure expected real propety asset needs, especially for site infrastructure, are covered consistent with agreements between the LPSO/CSOs/PSO about the details of real property assets.	**EM-3**		CSO/PSO Multi Program Site

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.4.39	DOE O 430.1B	Approves the appropriate land-use planning and management process documentation (e.g., Site Closure Plan, Sitewide National Environmental Policy Act Documentation, Land-Use Action Control Plan under CERCLA).	**EM-1**	EM-2	
		1.5 Resource Allocations to FEM			
1.5	DOE M 411.1-1C	Allocate resources consistent with the final approved budget to accomplish missions and safety initiatives.	**EM-1**	EM-2 EM-3	
		1.6 Technical Qualification And Competency			
1.6.01	DOE M 426.1-1A	The Federal Technical Capability Panel (FTCP)consists of senior managers designated as Agents to represent Headquarters and field elements with defense nuclear facility responsibilities. The Panel reports to the Deputy Secretary and is responsible for overseeing issues affecting the Department's FTCP. This includes overseeing the Technical Qualification Program (TQP), which includes the Safety System Oversight (SSO) Program, the Facility Representative Program, and the Senior Technical Safety Manager (STSM) Program.	**EM-3**		DOE M 426.1-1 is current and DOE M 426.1-1A is expected out in the extreme near term…so we used the DRAFT Manual -1A
1.6.02	DOE M 426.1-1A	Overseeing implementation of the TQP for their organizations.	**EM-3**		DOE M 426.1-1 is current and DOE M 426.1-1A is expected out in the extreme near term…so we used the DRAFT Manual -1A
1.6.03	DOE M 426.1-1A	Assisting the FEM/PSO/LPSO in establishing or maintaining a formal STSM Program for their organizations. Facilitating recruitment to fill open STSM positions with technically competent individuals. Concuring with STSM vacancy announcements to ensure the inclusion of adequate selection criteria. Concuring with competitive selections for STSM positions where the individual has not previously qualified as a STSM.	**EM-3**		DOE M 426.1-1 is current and DOE M 426.1-1A is expected out in the extreme near term…so we used the DRAFT Manual -1A

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.6.04	DOE M 426.1-1A	The Panel prepares an annual report to the Secretary of Energy, based in part on the staffing plans described in this Manual.	**EM-3**		DOE M 426.1-1 is current and DOE M 426.1-1A is expected out in the extreme near term…so we used the DRAFT Manual -1A
1.6.05	DOE O 360.1B	Approve training policies and procedures for their DOE element.	**EM-3**		
1.6.06	DOE O 360.1B	Prioritize critical needs, provide resources for, plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes.	**EM-3**		
1.6.07	DOE O 360.1B	Define mandatory training requirements for employees in their element, including manager and supervisor training among other responsibilities.	**EM-3**	EM-2	
1.6.08	DOE O 360.1B	Ensure efficient and effective management of training programs for their elements' workforces.	**EM-3**	EM-2	
1.6.09	DOE O 360.1B	Designate training approval and authorization officials for their DOE elements.	**EM-3**	EM-2	
1.6.10	DOE O 360.1B	Assign responsibilities for training requirements and functions, including designation of a training official(s) and a DOE point of contact and an alternate for training programs.	**EM-3**	EM-2	
1.6.11	DOE O 360.1B	Approve their elements' participation in training agreements governing multi-element programs.	**EM-3**	EM-2	
1.6.12	DOE O 360.1B	Approve training agreements for their own elements' programs, agreements with other DOE elements on one-to-one basis, and local geographic area interagency and intergovernmental training-related agreements.	**EM-3**	EM-2	
1.6.13	DOE O 360.1B	Provide subject matter experts to meet training program requirements.	**EM-3**	EM-2	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.6.14	DOE O 360.1B	Ensure training compliance with applicable laws, regulations, policies, requirements, and provisions of workforce training agreements.	**EM-3**	EM-2	Managers, supervisors and employees
1.6.15	DOE O 360.1B	Waive training completion and continued service obligations for Federal employees prior to separation from DOE, as appropriate. Approve acceptance of training-related awards, honorariums, and/or other contributions toward costs of training from Internal Revenue Service recognized 501(c)(3) organizations, with advice from the Office of General Counsel, as required.	**EM-1**	EM-3	
1.6.16	DOE O 360.1B	Participate in performance and training needs assessments and related workforce planning, identify training opportunities, and maintain current individual development plans. Ensure timely request, approval, authorization, and notification. Ensure completion of training assignments, evaluation requirements, and continued service obligations. Review and maintain accuracy of training records and document requirements and competencies related to training.	**EM-3**		Managers, supervisors and employees
1.6.17	DOE M 360.1-1B	Develop and implement a Technical Qualification Program Plan as a separate component of its training plan. Technical Qualification Program Plans must be approved by the head of the element and include the process and requirements for the following: (1) identifying personnel and positions required to participate in the Technical Qualification Program; (2) identifying and maintaining technical qualification standards or individual qualification requirements, as appropriate; (3) evaluating employees against qualification standards and documenting the approval of equivalencies for DOE-wide competencies; (4) establishing and updating individual development plans, training plans, qualification cards or related records to document learning activities; (5) implementing continuing training and requalification programs; and (6) applying evaluation requirements for completing the technical qualification standard (e.g., written or oral examinations).	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	**Driver**	**Responsibility**	**Lead Role**	**Support Role**	**Notes**
1.6.18	DOE M 360.1-1B	Qualification requirements must be documented by each DOE element in qualification standards or other appropriate means. These requirements must be established using the systematic approach to training methodology and include the necessary basic technical knowledge; technical discipline competency requirements; and position-specific knowledge, skills, and abilities.	**EM-2**		
1.6.19	DOE M 360.1-1B	Designate the positions in their respective organizations required to participate in the Technical Qualification Program and the applicable qualification standard(s).	**EM-3**		
1.6.20	DOE O 5480.20A	Assume line management responsibility and accountability for nuclear facility personnel qualification programs.	**EM-3**		
1.6.21	DOE O 5480.20A	Perform reviews to confirm implementation of DOE O 5480.20A using DOE-STD-1070-94.	**EM-3**		
1.6.22	DOE O 5480.20A	Assure that Cognizant Secretarial Office personnel responsible for training are proficient in personnel training processes and requirements, and that they have diverse expertise so that important areas related to nuclear and occupational safety are covered.	**EM-3**		
1.6.23	DOE O 5480.20A	Approve assessments for full-scope or part-task simulators at Category A test and research reactor facilities.	**EM-3**		
1.6.24	DOE O 5480.20A	Ensure that resources are provided for developing, implementing, and maintaining nuclear facility personnel training and qualification programs.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction

ID	Driver	Responsibility	Lead Role	Support Role	Notes
1.6.25	DOE N 411.1	Update the Technical Qualifications Program position list to identify the Federal positions whose duties and responsibilities require them to meet the FAQS for safety software. (a) Qualify those personnel who have responsibility for safety software to the requirements of the FAQS for safety software. (b) Update qualifications of other personnel if their FAQSs are revised to include safety software competencies.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		2.1 Policies, Orders, Notices, Manuals, Guides, and Page Changes			
2.1.01	DOE M 251.1-1A	The Office of Primary Interest shall identify the need for a directive. This may result from new legislation or Regulation, a change or development in Departmental policy, a change in technology, lessons learned, etc.	**EM-2**	EM-3	
2.1.02	DOE M 251.1-1A	The head of the Office of Primary Interest shall apoint a Directive Development Manager, who shall determine the type of directive that is appropriate as well as the Deparmental Elements and contractors to participate in development of the directive.	**EM-2**	EM-3	
2.1.03	DOE M 251.1-1A	The Directive Development Manager and Directives System Manager shall develop a schedule for completion of major tasks; for example, preparation of the DMD and draft directive, review of each by Departmental Elements and contractors, preparation of cost impact estimates (if required), resolution of comments, and preparation, approval, and distribution of final directive.	**EM-2**	EM-3	
2.1.04	DOE M 251.1-1A	If EM is not the OPI: Heads of Departmental Elements . . . provide comments on directives systems documents as requested. . . review Directive Management Documents and draft directives and provide comments within established schedules.	**EM-2**		
2.1.05	DOE M 251.1-1A	The Directive Development Manager shall develop the DMD for a new or revised Order or Manual using the format and outline provided in Attachment II-1 of the manual. The DMD shall then be submitted to the Directives System Manager for editorial review in advance of coordination. Any changes made as a result of this review must be concurred in by the Office of Primary Interest.	**EM-2**	EM-3	
2.1.06	DOE M 251.1-1A	If EM is the OPI: Designate a Directive Development Manager to coordinate review of directives.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
2.1.07	DOE M 251.1-1A	Review the DMD to identify significant issues, comment on the need for and feasibility of implementing the proposed directive, suggest alternate approaches, and comment on the preliminary cost documentation.	**EM-2**	EM-3	
2.1.08	DOE M 251.1-1A	The Office of Primary Interest shall provide preliminary cost documentation on the DMD for each Order, Notice, or Manual with new, modified, or canceled requirements.	**EM-2**	EM-3	
2.1.09	DOE M 251.1-1A	The Directive Development Manager, with editorial assistance provided by the Directives System Manager, shall prepare a draft directive and the initial cost impact estimate using input generated by the DMD. The Directive Development Manager shall solicit participation in development of these documents from Departmentla Elements and contractors where appropriate.	**EM-2**		
2.1.10	DOE M 251.1-1A	The Directives System Manager's editorial review, conducted in cooperation with appropriate Departmental Elements (General Counsel, Program Offices, etc.), shall include examining the document organization and internal consistency, determining its compatibility with other directives and external Regulations, and ensuring that its provisions are clearly and succinctly stated.	**EM-2**		
2.1.11	DOE M 251.1-1A	Review the draft directive and provide comments to the Office of Primary Interest, which shall prepare the final draft for approval and provide feedback to the reviewers.	**EM-2**	EM-3	
2.1.12	DOE M 251.1-1A	The Office of Primary Interest is responsible for identifying requirements added, deleted, or modified by any new or revised Order, Manual, or Notice.	**EM-2**		
2.1.13	DOE M 251.1-1A	The process used for Orders and Manuals shall be used for Notices where feasible.	**EM-2**		
2.1.14	DOE M 251.1-1A	The process used for Orders and Manuals shall be used for Guides, with the exception that DMDs, cost impact information, and estimates are not developed for Guides.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
2.1.15	DOE O 251.1A	Departmental Elements and contractor organizations that will be affected by a directive shall have the opportunity to participate in the development, coordination, and sunset review of directives.	**EM-2**		
2.1.16	DOE O 251.1A	Offices of Primary Interest and commentors shall attempt to resolve conflicting positions on major issues. The Office of Primary Interest shall apprise the reviewer of how it proposes to address the issue before the directive is approved. The commentor shall have the option of referring to the Directives Management Board those issues where the proposed resolution is not satisfactory.	**EM-2**		
2.1.17	DOE O 251.1A	Policies, Orders, and Manuals that contain safety and health requirements applicable to defense nuclear facilities should be reviewed every 2 years by the Office of Primary Interest and implementing organizations to determine if revision is appropriate. However, such directives are not subject to sunset/expiration provisions in DOE M 251.1-1A.	**EM-2**	EM-3	
2.1.18	DOE M 251.1-1A	If EM is the OPI: Develop and maintain directives within their functional areas that conform to the requirements of the Manual and are responsible for the technical content of directives.	**EM-2**		
2.1.19	DOE M 251.1-1A	If EM is the OPI: (1) Determine, based on a user survey available to Departmental Elements and applicable contractors, whether the directive is to be revised. (2) Revise the directive, if necessary, prior to sunset/expiration, if such a date is applicable.	**EM-2**	EM-3	
2.1.20	DOE M 251.1-1A	If EM is the OPI: Prepare Directive Management Documents (DMDs) for new directives and major revisions. The DMD shall reflect preliminary cost documentation.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
2.1.21	DOE M 251.1-1A	If EM is the OPI: Prepare an initial and final cost impact estimate for each Order, Notice, or Manual with new, modified, or canceled requirements that are likely to increase or decrease implementation costs. (Note: This requirement will not be implemented until approval and issuance of DOE G 251.1-2.)	**EM-2**		
2.1.22	DOE M 251.1-1A	If EM is the OPI: The Office of Primary Interest shall, for all directives affecting health and safety at defense nuclear facilities, coordinate with the Departmental Representative to the Defense Nuclear Facilities Safety Board (DNFSB). The Departmental Representative, working with the Office of Primary Interest, will ensure that the DNFSB has been provided an opportunity to comment on directives prior to issuance.	**EM-3**	EM-2	
2.1.23	DOE M 251.1-1A	If EM is the OPI: The Office of Primary Interest: Prepare DMDs and directives, resolve comments received from reviewers, and provide feedback to them prior to submitting a final draft directive to the Directives System Manager for issuance. Prior to the issuance of a directive, Offices of Primary Interest must concur in the final language (including proposed editorial changes and specific language implementing Directives Management Board decisions) contained in directives under their purview.	**EM-2**		
2.1.24	DOE N 411.1	Support the development, review, and approval of safety software directives by the Office of Environment, Safety and Health.	**EM-3**		
		2.2 Technical Standards for Use within DOE			
2.2.01	DOE O 252.1	Technical Standards Managers will serve as organization point-of-contact for technical standards activities; coordinate organization participation in the TSP in accordance with the TSPPs; participate with the TSMC in cooperation with the DOE TSP Manager; conduct and report technical standards activities in accordance with the requirements.	**EM-2**	EM-3	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
2.2.02	DOE M 411.1-1C	Assign technical standard managers (TSMs) for DOE officers and contractors.	**EM-2**	EM-3	
2.2.03	DOE O 252.1	Each DOE organization must report participation in Voluntary Consensus Standards (VCS) activities conducted in support of DOE missions and functions through the designated TSM and the TSP (use Form DOE F 1300.2)	**EM-2**		
2.2.04	DOE O 252.1	Each DOE organization will select, use, and adhere to appropriate voluntary consensus standards (VCSs), consistent with PL 104-113 and OMB A-119, i.e., use suitable existing VCSs in lieu of developing new DOE Technical Standards, when choosing technical standards to support assigned DOE missions and functions, including the design, construction, testing, modification, operation, decommissioning, decontamination, and remediation of DOE's facilities and activities.	**EM-2**		
2.2.05	DOE O 252.1	Manage their organization's participation in the DOE Technical Standard Program (TSP).	**EM-2**		
2.2.06	DOE O 252.1	Designate a TSM to serve as the organization's point of contact for technical standards activities and coordinate with the TSP by participating in the TSMC.	**EM-2**		
2.2.07	DOE O 252.1	Ensure that technical standards identified or developed by their elements for DOE-wide use are products of the TSP or recognized standards development organizations.	**EM-2**		
2.2.08	DOE O 252.1	Preferentially use appropriate voluntary consensus standards (non-government standards) in lieu of developing internal DOE Technical Standards to support DOE missions and functions.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work					
ID	**Driver**	**Responsibility**	**Lead Role**	**Support Role**	**Notes**
		2.3 Rules			
2.3	DOE P 410.1A	Review and comment on proposed rules. Recommend technical and cost-saving improvements, where appropriate. Provide staff to participate on focus groups or technical development teams.	**EM-2**	EM-3	Implied by the Policy
2.3.01	DOE P 410.1A	The Department will use notice and comment rulemaking to promulgate new nuclear safety requirements within the scope of this Policy. The Department will also use notice and comment rulemaking to promulgate requirements on nuclear safety issues currently covered by DOE Orders, and will issue notices of proposed rulemaking with respect to important nuclear safety requirements in existing DOE Orders as expeditiously as practicable.	**EM-2**		
		2.4 Contract Performance Expectations			
2.4.01	EM Mission and Function Statement	Provides leadership and develops mission strategies, policy, and guidance for the Department's environmental cleanup program and associated activities at DOE sites.	**EM-1**	EM-2 EM-3	
2.4.02	EM Mission and Function Statement	Manage and provides policy direction to EM field elements and other DOE sites across the complex.	**EM-1**	EM-3	
2.4.03	EM Mission and Function Statement	Provides budget execution guidance in a manner that facilitates accelerated risk reduction and cleanup.	**EM-2**		
		2.5 Organization FRA Documents			
2.5.01	DOE M 411.1-1C	Prepare FRAM to delineate responsibilities and by whom the applicable responsibilities and authorities in this Manual are performed. EM will revise the EM FRAM within 90 days of the issuance of a revision to DOE M 411.1-1C. The EM FRAM will be reviewed and revised as appropriate at least annually.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work					
ID	**Driver**	**Responsibility**	**Lead Role**	**Support Role**	**Notes**
2.5.02	DOE M 411.1-1C	Approve and ensure implementation of the FRAMs.	**EM-1 EM-3**		
2.5.03	DOE N 411.1	Revise the EM FRA document to include Federal functions, responsibilities, and authorities for safety software.	**EM-3**		
		2.7 Allocate Resources to Contractor			
2.7	DOE O 135.1	Prepare budget execution documents in accordance with DOE M 135.1-1 to allocate resources to contractors. Ensure funds and resources are appropriately used.	**EM-2**	EM-3	
2.7.01	DOE O 135.1	Secretarial Officers shall submit proposed rescissions and deferrals to the Chief Financial Officer.	**EM-2**		
2.7.02	DOE O 135.1	Adhere to funds control processes and procedures as contained in DOE M 135.1-1, Budget Execution Manual.	**EM-2**		
		2.8 Prioritize Tasks			
2.8	DOE P 450.4	Review the safety management system and advise the FEM regarding its ability to ensure that mission and safety expectations can be met within budget constraints (as delineated in DOE P 450.4, Safety Management System Policy, Guiding Principle 4, Balanced Priorities).	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		3.1 Identify and Analyze Hazards			
3.1.01	DOE P 450.4 DOE P 450.5	Monitor and assess the effectiveness of FEM oversight of contractor analysis of hazards associated with work at their facilities.	**EM-3**		
3.1.02	Title 10 CFR 830	Approve, with EH concurrence, the methodology used to prepare the documented safety analysis for Hazard Category 2 and 3 nuclear facilities, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.	**EM-2**	EM-3	Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
		3.2 Categorize Facility/Activity Based on Hazards			
3.2.01	Title 10 CFR 830	Approve final facility hazard categorization for hazard category 2 and 3 nuclear facilities, where this authority has not been delegated.	**EM-2**	EM-3	Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
3.2.02	Title 10 CFR 830	Ensure that the hazard classification of facilities is performed consistent with 10 CFR 830.202(b)(3).	**EM-2**	EM-3	
		3.3 Evaluate Environmental Impacts			
3.3.01	DOE O 451.1B	Establish a NEPA compliance program and use the NEPA process early in project and program planning to consider environmental factors along with other relevant information.	**EM-2**		
3.3.02	DOE O 451.1B	Maintain a DOE NEPA Compliance Officer (NCO) for the office.	**EM-2**		
3.3.03	DOE O 451.1B	Designate a DOE NEPA Document Manager (NDM) at the start of each environmental assessment and environmental impact statement.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards

ID	Driver	Responsibility	Lead Role	Support Role	Notes
3.3.04	DOE O 451.1B	Ensure that internal scoping procedures, a quality assurance plan and a public participation plan are prepared for the office.	**EM-2**		
3.3.05	DOE O 451.1B	Include in new contracts and grants a provision that the awardee may not undertake on DOE's behalf an action that is subject to NEPA until DOE has notified the awardee that DOE has satisfied applicable NEPA requirements.	**EM-2**		
3.3.06	DOE O 451.1B	Incorporate NEPA milestones in project planning documents.	**EM-2**		
3.3.07	DOE O 451.1B	Incorporate NEPA compliance status information in internal budget review documents.	**EM-2**		
3.3.08	DOE O 451.1B	Submit an annual NEPA planning summary to the Assistant Secretary for Environment, Safety and Health by January 31 of each year and make it available to the public.	**EM-1**	EM-2	
3.3.09	DOE O 451.1B	Determine that an environmental assessment or an environmental impact statement is appropriate or required.	**EM-2**		
3.3.10	DOE O 451.1B	After an environmental assessment determination, prepare and issue an environmental assessment. Responsibilities for approving and adopting environmental assessments and issuing findings of no significant impact (FONSIs) may not be delegated except as provided in this Order.	**EM-1**	EM-2	
3.3.11	DOE O 451.1B	When another agency is involved in preparation, determine whether DOE shall be a lead or cooperating agency.	**EM-2**		
3.3.12	DOE O 451.1B	Obtain concurrence of DOE counsel in the legal adequacy of an environmental assessment before it is approved and in any finding of no significant impact before it is issued.	**EM-2**		
3.3.13	DOE O 451.1B	Determine, based on an environmental assessment, that the impacts of a proposed action are significant and that an environmental impact statement is required, or issuing a finding of no significant impact when appropriate.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards

ID	Driver	Responsibility	Lead Role	Support Role	Notes
3.3.14	DOE O 451.1B	Adopt another agency's environmental assessment [as appropriate].	**EM-2**		
3.3.15	DOE O 451.1B	When a commitment to mitigation is essential to render the impacts of a proposed action not significant, prepare a mitigation action plan for any such commitment before issuing the finding of no significant impact.	**EM-3**	EM-2	
3.3.16	DOE O 451.1B	Track and annually report progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impacts of a proposed action not significant.	**EM-2**		
3.3.17	DOE O 451.1B	Request from the Assistant Secretary for Environment, Safety and Health (EH-1) delegation of approval or adoption authority for a specific environmental impact statement when appropriate to expedite the review and approval process.	**EM-1**	EM-2	
3.3.18	DOE O 451.1B	When required by the Regulations, prepare a supplement analysis and with the concurrence of DOE counsel, determine whether a supplemental or a new environmental impact statement is required for a proposed action, or whether no further documentation is required.	**EM-2**		
3.3.19	DOE O 451.1B	Determine that a proposed action that may be an interim action is clearly allowable under the Regulations. For a proposed action that may be an interim action not clearly allowable under the Regulations, provide the Assistant Secretary for Environment, Safety and Health with a recommendation for a determination whether the proposed action may proceed.	**EM-2**		
3.3.20	DOE O 451.1B	Incorporate NEPA values, . . . to the extent practicable, in DOE documents prepared under the Comprehensive Environmental Response, Compensation, and Liability Act.	**EM-2**		
3.3.21	DOE O 451.1B	When appropriate, request from EH-1 a variance from the DOE NEPA Regulations or a variance from this Order.	**EM-1**	EM-2	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards

ID	Driver	Responsibility	Lead Role	Support Role	Notes
3.3.22	DOE O 451.1B	After an environmental impact statement (EIS) determination, prepare an EIS and forward it to EH for approval.	**EM-2**		
3.3.23	DOE O 451.1B	Submit a notice of intent to prepare an EIS to EH for issuances.	**EM-2**		
3.3.24	DOE O 451.1B	Issue a record of decision for an EIS, after obtaining EH concurrence in its environmental content and ensuring that DOE counsel concurs in its legal adequacy.	**EM-1**	EM-2	
3.3.25	DOE O 451.1B	Prepare any mitigation plan required under DOE Regulations before taking an action that is the subject of a mitigation commitment made in a record of decision.	**EM-2**		
3.3.26	DOE O 451.1B	Track and annually report progress made in implementing, and the effectiveness of, any mitigation commitment made in a record of decision.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		4.1 Identify Standards And Requirements			
4.1.1	DOE M 411.1-1C	Ensure that an authorization agreement is established between the contractor and DOE for Hazard Category 2 facilities.	**EM-3**	EM-2	
4.1.1.01	DOE M 411.1-1C	For hazard category 2 (and below) facilities, review and approve the authorization agreement.	**EM-3**	EM-2	Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
4.1.2.03	DOE O 420.1A	Cognizant Secretarial Officers or designees for facilities or planned facilities under their programmatic responsibilities shall I review and approve requests for exemptions (for fire protection, nuclear safety, criticality safety, natural hazard phenomenon mitigation).	**EM-3**	EM-2	
4.1.2.04	DOE O 460.1B	Office of Environmental Management: . . . grant or deny DOE exemptions from the requirements of this Order.	**EM-3**	EM-2	
4.1.2.05	Title 10 CFR 820	The Secretarial Officer who is primarily responsible for the activity to which a DOE Nuclear Safety Requirement relates may grant a temporary or permanent exemption from that requirement. The Secretarial Officer for ES&H shall exercise this authority with respect to radiological protection of the workers, the public and the environment (i.e., 10 CFR 835). This authority may not be further delegated.	**EM-3**	EM-2	
4.1.2.10	DOE O 440.1A	Review and be approving authority for exemptions to requirements contained in this Order. Requests for exemptions to all requirements except those exemptions related to OSHA standards imposed on contractors by this Order may be delegated.	**EM-3**	EM-2	
4.1.3.01	Title 10 CFR 820	Approve or deny requests for exemptions from the requirements of 10 CFR Part 830 as authorized by the provisions of 10 CFR Part 820, Subpart E. This authority may not be delegated.	**EM-1**	EM-3 EM-2	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.1.3.02	Title 10 CFR 820	Review 10 CFR Part 835 exemption requests and provide recommendation on approval to EH.	**EM-3**	EM-2	
4.1.3.03	Title 10 CFR 820	Coordinate reviews of proposed exemptions with EH and resolve any comments received.	**EM-3**	EM-2	
4.1.4.01	DOE P 455.1	A risked-based end state vision will be formulated in cooperation with regulators, and in consultation with affected governments, Tribal nations, and stakeholders. The vision will be followed-up with a site risk-based end state implementation strategy that includes an assessment of current cleanup strategies and baselines to align them. The site's strategy and baseline will be revised, as needed, using a graded approach to be consistent with the end state strategy and governing legal requirements.	**EM-2**	EM-3	
4.1.4.02	DOE P 455.1	The Department shall continue to comply with applicable Federal, state, community and treaty requirements when proceeding with this effort… Regulators shall be asked to concur and affected and interested governments shall be consulted in the development of the risk-based end states. To ensure protection of human health and the environment once the end state is achieved, the Department shall address how it manages the impacts of future risks, uncertainties, and vulnerabilities, including the creation of contingency plans and the identificaiton of responsible parties in the event that site conditions change after cleanup is completed.	**EM-1**	EM-2	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.1.5.01	DOE O 450.1	Assess implementation of EMSs as a component of the implementation of DOE P 450.5, Line Environment, Safety and Health Oversight, dated 6-26-97. (Also applies to Field Element Manager) (1) Ensure that by December 31, 2005, all sites under their purview have implemented the management system requirements of this Order. (2) Request through the annual Departmental budgetary process, the funding and resources needed for implementing the requirements of this Order and funding to address findings and recommendations from oversight and self-assessment activities conducted in accordance with DOE P 450.5. (3) Ensure sites under their purview include site-specific goals in their ISMS that contribute to the accomplishment of DOE P2 and energy efficiency (P2E2) goals. (P2E2 goals are contained in a memorandum signed by the Secretary on November 12, 1999, http://www.eh.doe.gov/P2) (4) Ensure sites under their purview develop and implement cost-effective P2 programs that use life-cycle assessment concepts and practices in determining program return-on-investment (ROI). (5) Evaluate on an annual basis P2 nominations from sites under their purview, select "best in class" nominees, and transmit the nominating information to the Office of Environment, Safety and Health for submittal to the White House's "Closing the Circle Awards" program. (6) Ensure sites under their purview monitor progress toward meeting the P2 requirements of paragraph 4b(3) of this Order, and make such information available annually to the Office of Environment, Safety and Health.	**EM-3**	EM-2	
4.1.5.02	DOE O 460.1B	Review and process applications for DOT exemptions and exemption renewals.	**EM-3**	EM-2	
4.1.6.01	Title 10 CFR 835	Approve Radiation Protection Programs (RPPs) for DOE activities.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.1.6.02	Title 10 CFR 830	Approve Unreviewed Safety Question (USQ) procedures for Hazard Category 2 and 3 nuclear facilities. Approve the contractors' unreviewed Safety Questions (USQ) process for Hazard Category 2 and 3 nuclear facilities, or delegate authority to FEM.	**EM-3**	EM-2	Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
4.1.6.03	Title 10 CFR 830	Approve preliminary documented safety analysis, including the nuclear safety design criteria.	**EM-3**	EM-2	Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
4.1.6.04	DOE N 411.1	Identify and implement applicable safety software standards, including DOE directives, consistent with quality assurance requirements in DOE O414.1B, 10 CFR 830, and DOE G 200.1-1.	**EM-3**		
		4.2 Identify Controls to Prevent and Mitigate Hazards			
4.2.01	Title 10 CFR 830	Approve the technical safety requirements and other hazards controls for Hazard Category 2 and 3 nuclear facilities.	**EM-3**	EM-2	This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time. Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
4.2.02	Title 10 CFR 830	DOE will review the content and quality of the safety basis documentation for Hazard Category 2 and 3 nuclear facilities, and assess the adequacy of the safety basis to ensure that workers, the public, and the environment are provided reasonable assurance of adequate protection from identified hazards.	**EM-3**	EM-2	This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time. Field requirement too.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.2.03	Title 10 CFR 830	Review each Documented Safety Analysis (DSA) to determine whether the rigor and detail of the DSA are appropriate for the complexity and hazards expected at the Cat 2 or 3 nuclear facility.	**EM-3**	EM-2	This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time. Field requirement too.
4.2.04	Title 10 CFR 830	Evaluate the DSA by considering the extent it satisfies the provisions of the methodology used to prepare it, and whether it adequately addresses the criteria in 10 CFR 830.204 (b).	**EM-3**	EM-2	Field requirement too.
4.2.05	Title 10 CFR 830	Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.	**EM-3**	EM-2	Also assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad.
4.2.08	Title 10 CFR 830	Assist the contractor or Field Office Manager, when requested, in determining whether an incident, analysis, or proposed change/modification to systems, components, processes, operations, tests, or experiments involves a USQ.	**EM-3**	EM-2	
4.2.09	Title 10 CFR 830	Document a process that delineates the flow of Technical Safety Requirements (TSRs) or TSR change submittals through the line for review, approval and concurrence responsibilities.	**EM-3**	EM-2	TSR Guides 421, 423, 424, and implied by the Rule. Field implements too.
4.2.10	Title 10 CFR 830	Provide guidance and assistance to the field organizations in performance of safety reviews, appraisals, and preparation of TSRs.	**EM-3**	EM-2	TSR Guides 421, 423, 424
4.2.18	Title 10 CFR 830	Require that contractors prepare and update Documented Safety Analysis reports for each nuclear facility and nuclear operations under their jurisdiction (unless exempted) that establishes and evaluates the adequacy of the safety basis of the facility in accordance with the provisions of this Rule.	**EM-3**	EM-2	Implied by the Rule. Field requirement too.
4.2.20	Title 10 CFR 830	Provide guidance and assistance to field organizations in applying the graded approach for the facility, and the performance of safety reviews, appraisals, etc., to assure contractor compliance with the provisions of this Rule.	**EM-3**	EM-2	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.2.21	Title 10 CFR 830	Maintain a public list on the internet that provides the status of the safety basis for each hazard category 1, 2, 3 DOE nuclear facility and, to the extent practicable, provides information on how to obtain a copy of the safety basis and related documents for a facility.	**EM-3**	EM-2	
4.2.22	Title 10 CFR 830	Assure all commitments made in the approved DSA are carried out for the nuclear facilities and nuclear operations covered by that DSA.	**EM-3**		Field requirement too.
4.2.24	DOE O 420.1A	Ensure that all programs [criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation] comply with requirements falling within the scope of this Order.	**EM-3**	EM-2	Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad .
4.2.25	DOE O 420.1A	Review Implementation Plans submitted to implement this Order [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation].	**EM-3**	EM-2	Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad .
4.2.26	DOE O 420.1A	Approve Implementation Plans submitted to implement this Order [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation].	**EM-3**	EM-2	Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad .
		4.3 Establish Safety Envelope			
4.3.01	Title 10 CFR 830	Approve the safety basis and authorization basis documentation.	**EM-3**		Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
4.3.02	Title 10 CFR 830	Ensure the safety basis for Hazard Category 2 or 3 nuclear facilities are adequate and comply with the safety basis requirements.	**EM-3**		This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time. Field requirement too.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.3.03	Title 10 CFR 830	Ensure the timely review of all safety basis documents for Hazard Category 2 and 3 nuclear facilities.	**EM-3**		This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time. Field requirement too.
4.3.04	DOE M 411.1-1C	Provide a quarterly status report to EH-1 regarding the status of the safety basis for Hazard Category 2 and 3 nuclear facilities.	**EM-3**		This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time.
4.3.05	Title 10 CFR 830	Approve Documented Safety Analysis reports and revisions thereto for Category 2 and 3 nuclear facilities.	**EM-3**		This rule applies to Category 1 facilities also. EM has no Category 1 facilities at this time. Delegated to OH, RF, CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority.
4.3.06	Title 10 CFR 830	Approve Technical Safety Requirements and revisions thereto for all nuclear facilities.	**EM-3**		Delegated to OH, RF,CH, SR, RL, ORP, ID. For Carlsbad, Ports/Pad and OR, Dae Chung at HQ is the authority. See 4.2.01 also.
4.3.07	Title 10 CFR 830	Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ has been determined to exist.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad .

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.3.08	Title 10 CFR 830	A) Prepare a safety evaluation report concerning the safety basis of the facility where this authority has not been delegated. B) Issue [approve] a Safety Evaluation Report that documents the basis upon which the approvals have been made.	**EM-3**		A. Also assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad. B. Also assigned to OH, RF, SR, RL, ORP, Carlsbad, and ID.
		4.4 Safeguards and Security			
4.4.01	DOE O 470.1	Provide program and project direction consistent with the Safeguards and Security directives and policy requirements.	**EM-3**		
4.4.02	DOE O 470.1	In coordination with the SO-1, ensure adequate protection is afforded safeguards and security interests.	**EM-3**		
4.4.03	DOE O 470.1	In coordination with the SO-1, establish action criteria, including curtailment or suspension of operations, for operations that would result in an immediate and unacceptable risk to national security, the health and safety of employees, the public, or the environment.	**EM-3**		
4.4.04	DOE O 470.1	In coordination with SO-1, coordinate construction or alteration projects of facilities having a safeguards or security interest with ME-90.	**EM-3**		
4.4.05	DOE O 470.1	In coordination with SO-1, request establishment of safeguards and security activities and facility clearance(s) through the Office of Security. Notify the Office Security to terminate registration of such activities and facility clearances.	**EM-3**		
4.4.06	DOE O 470.1	Implement a security program consistent with the Headquarters Security Plan for Washington, D.C. area facilities and programs.	**EM-3**		
4.4.07	DOE O 470.1	Approve or disapprove requests for exceptions from Safeguards and Security directives' requirements in accordance with paragraph 4.f(3)(a) to (e).	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.08	DOE O 470.1	Ensure that each request for a procurement requiring application of this Order incorporates the requirements specified in the Contractor Requirements Document.	**EM-3**		
4.4.09	DOE O 470.1	Designate individual(s) to notify contracting officers of each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization").	**EM-3**		
4.4.10	DOE O 470.1	Ensure the contracting officer provides DOE F 5634.2, "Contract Security Classification Specification," to the servicing safeguards and security office.	**EM-3**		
4.4.11	DOE O 470.1	Ensure the contract clauses set forth in the DOE Federal Acquisition Regulation and other relevant sections of 48 CFR Chapter IX are included in contracts, as applicable.	**EM-3**		
4.4.12	DOE O 470.1	Ensure the contracting officers incorporate provisions implementing the requirements of this Order in new and existing contracts that involve access authorizations, classified information, nuclear and other hazardous material presenting a potential radiological or toxicological sabotage threat, or Departmental property valued at more than $5,000,000.	**EM-3**		
4.4.13	DOE O 470.1	Ensure the contractual coverage is in place to permit implementation of this Order with regard to the contractor's nuclear materials activities before initiation of any action involving nuclear materials with a license-exempt (as defined in 10 CFR Part 50) contractor.	**EM-3**		
4.4.14	DOE O 470.1	Ensure the non-DOE funded work under their jurisdiction is provided protection in accordance with the Departmental safeguards, security, and classification policies.	**EM-3**		
4.4.15	DOE O 470.1	Appoint within their contracting activity a trained DOE employee as the Foreign Ownership, Control, and Influence (FOCI) point-of-contact.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.16	DOE O 470.1	Ensure that safeguards and security budget proposals are adequate, and that resources are provided to implement them.	**EM-3**		
4.4.17	DOE O 470.1	Participate in the development and review of policy and standards for safeguards and security interests.	**EM-3**		
4.4.18	DOE O 470.1	Identify technological needs to the Office of Security for consideration in the safeguards and security technology development program.	**EM-3**		
4.4.19	DOE O 470.1	Implement the Classified Visits Program in accordance with Chapter VIII [of this Order].	**EM-3**		
4.4.21	DOE O 470.1	Maintain records of individuals approved by their organizations to have continuing access on the basis of DOE Q and L access authorizations or Department of Defense or National Aeronautics and Space Administration certifications, and notify the Director of Office of Security when such approvals are granted or canceled. Designate specific facilities where visits may be made only with the approval of the organization having program responsibility, and inform Heads of DOE Elements.	**EM-3**		
4.4.22	DOE O 470.1	Approve Site Safeguards and Security (S&S) Plans and annual revisions thereto.	**EM-3**		
4.4.23	DOE O 470.2B	Upon receipt of a draft (S&S) inspection report containing a "marginal" or "unsatisfactory" rating or other finding of noncompliance with requirements or performance weakness, the lead cognizant secretarial officer shall report on corrective actions to the Under Secretary.	**EM-3**		
4.4.24	DOE M 231.1-1	The lead CSO, in coordination with any other involved CSO and with the manager of the field organization, shall notify the Under Secretary of corrective actions taken within 15 working days of the receipt of a draft inspection report containing an "unsatisfactory" .	**EM-3**		Above requirement feeds into this.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.25	DOE M 231.1-1	If the rating indicates a significant vulnerability, the lead CSO shall identify and implement interim corrective actions within 24 hours of receipt of the draft inspection report; within 72 hours of such receipt, the lead CSO shall provide to the Under Secretary for approval a plan for permanent protective measures necessary to reduce the level of risk to an acceptable level, including cost estimate and implementation schedule.	**EM-3**		
4.4.26	DOE M 231.1-1	A copy of each report provided to the Under Secretary shall also be sent to EH and to the Office of Security (SO).	**EM-3**		
4.4.27	DOE M 231.1-1	Marginal Inspection Rating Response Reports. Within 15 working days of receipt of a draft inspection report containing a "marginal" rating, the lead CSO, in coordination with any other involved CSO and the manager of the field organization, shall report to the Under Secretary the corrective actions taken or to be taken. The CSO shall also report any permanent changes necessary to mitigate the identified risk or vulnerability, including implementation schedule and cost estimate. A copy of the report shall be provided to the EH and to SO.	**EM-3**		
4.4.28	DOE M 231.1-1	Noncompliance Inspection Finding Response Reports. Within 15 working days of receipt of a draft inspection report containing a finding of noncompliance, the lead CSO, in coordination with any other involved CSO and the manager of the field organization, shall notify the Under Secretary of steps taken to correct and prevent recurrence of items of noncompliance and performance weaknesses identified in the report. A copy of the notification to the Under Secretary shall be provided to EH and SO.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.29	DOE O 473.1	Responsibilities for heads of DOE elements: (1) Ensure physical security programs under their cognizance are implemented in conformance with Department security policies. (2) Evaluate physical protection programs to ensure effectiveness and compliance with the Department's protection requirements. (3) Review procurement requests for new non-site/-non-facility-management contracts, and if appropriate, ensure that the clause at 48 CFR 952.204-2, Security Requiements, and the requirements of the CRD of this directive are included in the contract. Requirements for Program Secretarial Officers (1) Ensure facilities under their cognizance have implemented this Order. (2) Notify contractivng officers of affected site/facility management contracts that must include the CRD of this Order. (3) Ensure procurement requests for new non-site-/non-facility management contracts require includsion of the clause at 48 CFR 952.204-2, Security Requirements, and this Order's CRD in the resulting contracts, if appropriate. Ensure protection and control of safeguards and security interests.	**EM-3**		
4.4.30	DOE O 473.1	Serve as the primary point of contact with the transportation industry and with Federal, State, and local agencies in implementing the Department transportation policies and standards for protection of hazardous material, special nuclear material or other classified matter.	**EM-3**	EM-2	
4.4.31	DOE O 474.1A	Provide oversight for the implementation of the material control and accountability of nuclear materials for all DOE activities under their jurisdiction in conformity with policies, procedures, planning and other requirements set forth in the DOE safeguards and security series directives (DOE 470 series) and set policies and requirements for nuclear material not specifically covered.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.32	DOE O 474.1A	Ensure that responsibilities and authorities for materials control and accountability of nuclear materials are addressed in Memorandums of Agreement and associated appendices between Heads of HQ Elements and Managers of Operations Offices.	**EM-3**		
4.4.33	DOE O 474.1A	Ensure that self-assessment offices conduct independent assessments of the adequacy of DOE and contractor performance of their responsibilities for control and accountability of nuclear materials.	**EM-3**		
4.4.34	DOE O 474.1A	Designate an individual(s) to be responsible for alerting the contracting officer to each procurement falling w/in the scope of this order. (4) For matters under their cognizance, designate individual(s) to be responsible for alterting the contracting officer to each procurement failing within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization". (5) Through contracting officers, require the following: (a) Each contractor and subcontractor under their jurisdiction who may use of possess nuclear materials as identified in DOE M 474.1-1A, Table I-1, is required by contract to develop and maintain current written procudes for MC&A. (b) Each contract under which nuclear materials are to be supplied contains appropriate safeguards provisions consistent with DOE requirements. (c) Inventory and scrap levels of nuclear materials held by contractors and subcontractors under their jurisdiction are minimized to be consistent with operational needs and good safeguards practices. (6) Ensure that MC&A requirements are considered in all phases of design of new facilities/operations under their cognizance. (7) Ensure that safeguards deficiencies at facilities under their cognizance are corrected.	**EM-3**		
4.4.35	DOE O 472.1C	Ensure that the Personnel Security Assurance Program (PSAP) is implemented for all applicable operations and/or activities for which they have programmatic responsibility.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.36	DOE O 472.1C	Recommend Headquarters positions for inclusion under PSAP when those positions are not identified as PSAP positions under 10 CFR 710.55(a) and (b).	**EM-3**		
4.4.37	DOE O 472.1C	Submit interim access authorization requests to the Director, Office of Security, in accordance with DOE M 472.1-1B.	**EM-3**		
4.4.38	DOE O 472.1C	Determine the access authorization requirement, if any, for each position under their cognizance occupied by a DOE employee, applicant for employment, consultant, or other agency assignee and, when appropriate, ensure that access authorization requirements are stated in position descriptions, vacancy announcements, consultative agreements, and agreements with other agencies that provide for assignees to DOE.	**EM-3**		
4.4.39	DOE O 472.1C	Ensure that all requests for staff access authorizations are coordinated with their Servicing Personnel Office.	**EM-3**		
4.4.40	DOE O 472.1C	Approve and transmit directly to the Director, Office of Security, for processing, with written justification, access authorization requests (including requests for access authorization reinstatement, extension, or transfer) for the following individuals under their cognizance: (a) employees of other agencies assigned or detailed to DOE, including members of the Armed Forces and/or civilian employees of the Department of Defense (DoD) and the National Aeronautics and Space Administration (NASA); (b) employees, consultants, or agents of DOE contractors and subcontractors; (c) foreign nationals (see DOE M 472.1-1B); and (d) any other individual who will perform work for, be trained by, or represent DOE under any formal agreement, understanding, contract, or treaty.	**EM-3**		
4.4.41	DOE O 472.1C	Provide written verification of the continuing need for access authorizations by individuals under their cognizance when periodically requested to do so by the Director, Office of Security.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.42	DOE O 472.1C	Provide written notification to the Director, Office of Security of the following conditions affecting access authorizations for individuals under their cognizance: (a) within 2 working days for termination of an individual's access authorization; (b) within 8 working hours upon becoming aware that an individual has been hospitalized or is otherwise being treated for a mental illness or such other condition as may cause a significant defect in the individual's judgment or reliability; and (c) within 2 working days of becoming aware of derogatory information of personnel security interest concerning the individual. Such information must be reliable and relevant in terms of the clearance criteria exemplified in 10 CFR 710.8 (a copy of which may be obtained from the Director, Office of Security).	**EM-3**		
4.4.43	DOE O 472.1C	Ensure that individuals under their cognizance granted, or in process for, access authorizations are aware of the reporting requirements.	**EM-3**		
4.4.44	DOE O 472.1C	Designate a staff representative(s) responsible for administering the coordinating functions required by, and the review of procurement falling within the scope of this Order and DOE M 472.1-1B. Unless a designation is made, procurement originators shall be responsible for coordinating the requirements of this Order and DOE M 472.1-1B, with the Director, Office of Security. Notify contracting officers of affected site/facility management contracts to incorporate the CRD of this directive into those contracts. Ensure procurement requests for new non-site facility management contracts require inclusion in the resulting contracts, if appropriate, of the clause at 48 CFR 952.204-2, Security and the requirements of this CRD.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.45	DOE O 205.1	(1)Assume accountability for cyber security and accept the overall residual risk throughout their organizations. (Although the authority and responsibility for accepting residual risk may be delegated, the accountability for ensuring that cyber information and information systems are protected and risk is being appropriately managed rmains with the head of the Departmental element.) These individuals are ultimately the Designating Approving Authorities (DAAs) for their respective programs/administrations. (2) Ensure that system Certification and Accreditation (C&A) activities are performed. (3) Ensure and document processes for reviewing and approving all Cyber Security Program Plans (CSPPs). (4) Notify the appropriate contracting officers, ensure that the CRD is incorporated into relevant contracts, and provide program direction to implement requirements of the PCSP and CSPPs. (5) Ensure that ll CIP assets are listed in CSPPs.	**EM-3**		
4.4.46	DOE O 205.1	Designate formally individuals who will be the focal points for cyber security within their Departmental elements. (Even though authority for ensuring effective cyber security may be delegated, accountability remains with the head of the Departmental element.) This Departmental element focal point for cyber security will follow responsibilities listed in DOE O 205.1 5.c.(6) (a)-(g).	**EM-3**		
4.4.47	DOE O 205.1	Ensure the appointment of individuals to be the focal points for cyber security in each of a DOE element's subsidiary organizations. Each of those apoointed individuals will follow responsibilities listed in DOE O 205.1 5.c.(7)(a)-(g).	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.4.51	DOE N 205.2	Access by foreign nationals to DOE cyber systems must be approved by an official designated by the DOE site manager of Lead Program Secretarial Officer (LPSO) who is accountable for the approval decision. This approval must 1) identify the specific syber system(s) to which access is granted and the anticipated time period of the access, and 2) must be based on a documented assessment of risks and an identification of access controls. The risk assessment, cyber system access controls, and approval must be included in the security plan required by DOE N 142.1, UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS, or in other documentation, (e.g., the site's Cyber Security Program Plan, or a visit-specific plan), if the site is exempted from DOE N 142.1.	**EM-3**		
4.4.52	DOE N 205.2	DOE site managers and LPSOs must ensure access by foreign nationals to the cyber systems described in the approval is periodically audited consistent with the documented risk upon which approval is based.	**EM-3**		
4.4.53	DOE N 205.2	Non-resident foreign nationals from Sensitive Countries are not permitted access, from other than a DOE site or DOE contractor premise, to cyber systems containing "Unclassified Controlled Nuclear Information (UCNI)" or "Naval Nuclear Propulsion Information (NNPI)." DOE site managers and LPSOs are responsible for ensuring that DOE networking systems containing UCNI or NNPI have protective measures to prevent unauthorized access.	**EM-3**		
4.4.54	DOE O 470.1	Designate specific facilities where visits may be made only with the approval of the organization having program responsibility, and inform Heads of DOE Elements.	**EM-3**		
		4.5 Emergency Management			
4.5.01	DOE O 151.1B	Ensure implementation of policy and requirements for activities conducted by sites/facilities and/or Cognizant Field Elements under their authority.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.5.02	DOE O 151.1B	Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements.	**EM-3**		
4.5.03	DOE O 151.1B	Ensure funding and resources are adequate for DOE facilities and activities for the continuing and effective implementation of emergency management programs, and that emergency response assets and capabilities are appropriately maintained.	**EM-3**		
4.5.04	DOE O 151.1B	Develop contractor performance measures and criteria in coordination with the cognizant field element, the Assistant Secretary for Environment, Safety and Health, and the Director, Office of Emergency Operations.	**EM-3**		
4.5.05	DOE O 151.1B	Ensure full coordination with the Director, Office of Emergency Operations on all emergency management activities.	**EM-3**		
4.5.06	DOE O 151.1B	Ensure readiness assurance activities are performed, and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director, Office of Emergency Operations.	**EM-3**		
4.5.07	DOE O 151.1B	Ensure a system/program is established and maintained for 24-hour initial receipt and further dissemination of emergency notifications; and a current listing of personnel designated to perform the function is maintained and routinely provided to the Director, Office of Emergency Operations, and the Headquarters Operations Center.	**EM-3**		
4.5.08	DOE O 151.1B	Ensure specialized technical representatives and subject matter experts are provided when a Headquarters Emergency Management Team is convened.	**EM-3**		
4.5.09	DOE O 151.1B	Ensure training and response is adequate in cognizant field element programs.	**EM-3**		
4.5.10	DOE O 151.1B	Conduct line management reviews of program-specific emergency management activities in coordination with the Director, Office of Emergency Operations.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.5.11	DOE O 151.1B	Coordinate with the Director of Public Affairs and the Director, Office of Emergency Operations to provide for the handling and control of information on emergency situations.	**EM-3**		
4.5.14	DOE O 151.1B	Assign the following: Deputy Assistant Secretary or Associate Deputy Assistant Secretary or equivalent level to serve on the Standing Emergency Management Coordinating Committee; Deputy Assistant Secretary or Associate Deputy Assistant Secretary or equivalent to serve as the senior Program Office representative on the Headquarters Emergency Management Team; and Senior representatives for the Emergency Management Advisory Committee.	**EM-3**		
		4.6 Packaging and Transportation			
4.6.01	DOE O 460.1B	Serve as the Headquarters Certifying Official responsible for administering the DOE program for certification of fissile and Type B packagings.	**EM-2**		Delegated to Dae Chung, EM-24
4.6.02	DOE O 460.1B	Establishing packaging standards for transportation transportation of hazardous materials, substances, and waste.	**EM-2**		
4.6.03	DOE O 460.1B	Provide guidance for the preparation of Safety Analysis Reports for Packaging [for certification of fissile and Type B packagings].	**EM-2**		
4.6.04	DOE O 460.1B	Review and approve, in writing, packaging designs for fissile and Type B packages.	**EM-2**		
4.6.05	DOE O 460.1B	Issue DOE Certificates of Compliance to approved designs [for certification of fissile and Type B packagings].	**EM-2**		
4.6.06	DOE O 460.1B	Review and recertify, in writing, certificates [for certification of fissile and Type B packagings].	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.6.08	DOE O 460.1B	Approve, in writing, DOE contractor facilities for testing and evaluating Industrial Packagingss and DOT Specification 7A Type A package designs for radioactive materials transportation.	**EM-2**		
4.6.09	DOE O 460.1B	Test and evaluate Industrial Packagings and DOT Specification 7A Type A performance requirements, and document qualified packagings in the "Test and Evaluation Document for DOT 7A Type A Packaging."	**EM-2**		
4.6.10	DOE O 460.1B	Provide the point of coordination for DOE with DOT, NRC, Environmental Protection Agency, International Atomic Energy Agency, International Maritime Organiztion, International Civil Aviation Organization, and other regulatory agencies concerning domestic and international transportation safety and packaging regulations, packaging certification, and modal safety regulations.	**EM-2**		
4.6.11	DOE O 460.1B	Curtail and suspend the use of specific packages, if warranted; and approving, in writing, quality assurance programs for Type B and fissile materials radioactive materials packagings.	**EM-2**		
4.6.12	DOE O 460.1B	Support the development, adoption and use of voluntary consensus standards through a topical committee within the DOE Technical Standards Program.	**EM-2**		
4.6.13	DOE O 460.1B	Maintain records of all tests or evaluations conducted pursuant to 5.a.(4) and 5.a.(5) of DOE Order 460.1B.	**EM-2**		
4.6.14	DOE O 460.1B	Review and process applications for DOT exemptions and exemption renewals, and review and grant DOE exemption from the requirements of this Order.	**EM-2**		
4.6.15	DOE O 460.1B	Review requests for DOT Certificates of Competent Authority for international transportation and NRC Certificates of Compliance and forward requests to the appropriate agency.	**EM-2**		
4.6.17	DOE O 460.1B	Provide technical assistance and training for packaging and transportation safety matters.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.6.18	DOE O 460.1B	Establish policy and guidance for DOE transportation and packaging safety and assist DOE Elements and contractors on related matters.	**EM-2**		DOE O 460.2 5.a.(1)
4.6.19	DOE O 460.1B	Represent DOE in matters dealing with transportation and packaging operations with other Federal entities.	**EM-2**		DOE O 460.2 5.a.(2)
4.6.20	DOE O 460.1B	Coordinate DOE review of, participation in, and comment on international, Federal, State, and local, and tribal regulations relating to packaging and transportation safety.	**EM-2**		DOE O 460.2 5.a.(3)
4.6.21	DOE O 460.2	Develop and submit petitions for rulemaking actions concerning transportation and packaging operations related matters.	**EM-2**		
4.6.22	DOE O 460.2	Develop, implement, and maintain computerized systems to support transportation and packaging management including ATMS, SMAC, and TRANSCOM. Review and approve requests for use of the TRANSCOM system and for exceptions or alternatives to ATMS/SMAC reporting.	**EM-2**		
4.6.23	DOE O 460.2	Establish and manage a transportation logistics program that includes the oversight of the DOE Motor Carrier Evaluation Program (MCEP); the negotiation of DOE freight rates and rules; the maintenance of centralized files for MCEP reports, freight rate tenders, and contracts; and interface with other Federal and commercial entities on such matters as bill-of-lading audits, requests for military transportation services or equipment, and availability of commercial transport equipment to meet programmatic requirements.	**EM-2**		
4.6.25	DOE O 460.2	Conduct technical assessments of DOE Field Elements, including related contractors, and as needed, provide assistance in transportation and packaging management activities to ensure compliance with applicable requirements.	**EM-2**		
4.6.26	DOE O 460.2	Conduct formal needs assessments involving DOE Field Elements and contractors to identify and prioritize emerging transportation and packaging needs.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.6.30	DOE O 460.2	Ensure that DOE Field Elements and contractors under their purview, involved in performing or managing transportation and packaging, fully implement and comply with the requirements of this Order.	**EM-2**	EM-3	
4.6.31	DOE O 460.2	Coordinate program-related transportation plans, proposed transportation computerized systems, transportation systems studies, and packaging development activities; training requirements, reports, and analyses with EM-1 to ensure consistency of policy and avoid duplication of efforts.	**EM-3**		
4.6.32	DOE O 460.2	Designate an individual(s) cognizant of program plans and requirements to serve as the point of contact for transportation and packaging interface(s) and integration of transportation and packaging activities into program planning.	**EM-2**		
4.6.33	DOE O 460.2	Conduct program reviews of transportation and packaging development activities under their purview and participate in the development of the Department's Packaging Management and Transportation Research and Development Plans and Technical Review Board to ensure program needs are being addressed.	**EM-2**		
		4.7 Waste Management			
4.7.01	DOE M 435.1-1	Program Secretarial Officers with radioactive waste management facilities, operations, or activities are responsible within their respective programs for ensuring that the Field Element Managers meet the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual.	**EM-2**	EM-3	
4.7.02	DOE M 435.1-1	Establish and maintain integrated Complex-Wide Radioactive Waste Management Programs for high- level, transuranic, low-level, and mixed low-level waste. These programs shall use a systematic approach to planning, execution, and evaluation to ensure that waste generation, storage, treatment, and disposal needs are met and coordinated across the DOE complex.	**EM-2**	EM-3	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.7.03	DOE M 435.1-1	Ensure changes to regulations and DOE directives are reviewed and, when necessary, incorporated into revisions of this Manual to ensure the basis for safe radioactive waste management facilities, operations, and activities is maintained.	**EM-2**	EM-3	
4.7.04	DOE M 435.1-1	Develop, implement, and maintain integrated Complex-Wide Radioactive Waste Management Program Plans for high-level, transuranic, low-level, and mixed low-level waste. Each plan shall, at the DOE complex-wide level, describe the functional elements, organizations, responsibilities, and activities that comprise the system needed to store, treat and dispose of radioactive waste in a manner that is protective of the public, workers, and the environment.	**EM-2**		
4.7.05	DOE M 435.1-1	Plans shall present a waste management strategy that integrates waste projections and life-cycle waste management planning into complex-wide facility configuration decisions, and shall describe the approach to research and technology development being pursued to improve safety and/or efficiency in managing radioactive waste.	**EM-2**		
4.7.06	DOE M 435.1-1	Establish and maintain a system to compile waste generation projection data and other information concerning radioactive waste management facilities, operations, and activities across the complex.	**EM-2**		
4.7.07	DOE M 435.1-1	Review and approve, along with EH-1, transuranic waste disposal facility performance assessments and other disposal documents as required in waste specific chapters for which DOE is responsible for making compliance determinations. Review and approve performance assessments and composite analyses, or appropriate CERCLA documentation, for low-level waste disposal facilities, and issue disposal authorization statements.	**EM-1**	EM-2	

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.7.08	DOE M 435.1-1	Establish a review panel consisting of DOE personnel to review low-level waste disposal facility performance assessments and composite analyses, review appropriate CERCLA documentation, recommend low-level waste disposal facility compliance determinations . . . , and develop disposal authorization statements.	**EM-2**		
4.7.09	DOE M 435.1-1	Issue disposal authorization statements containing conditions that low-level waste disposal facilities must meet in order to operate with an approved radioactive waste management basis.	**EM-2**	EM-3	
4.7.10	DOE M 435.1-1	Review and approve closure plans and other closure documentation for deactivated high-level waste facilities/sites and issue authorization for closure activities to proceed.	**EM-2**	EM-3	
		4.8 Environmental Restoration			
4.8.01	DOE/EM-1 Memo	Approve new cleanup agreements or significant modifications of existing agreements, unless otherwise delegated.	**EM-2**	EM-3	Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…
4.8.02	DOE/EM-1 Memo	Determine whether a new or modified environmental agreement or milestone(s) require Headquarters' reviews(i.e.,exceeds review thresholds).	**EM-2**	EM-3	Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.8.03	DOE/EM-1 Memo	Develop and submit negotiation strategy, if determined necessary by HQ.	**EM-2**	EM-3	Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field… Assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad.
4.8.04	DOE/EM-1 Memo	Review and approve negotiation strategy in consultation with other offices (e.g., GC and CFO).	**EM-2**	EM-3	Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…
4.8.05	DOE/EM-1 Memo	Submit tentative commitment document and supporting analysis to appropriate OD and EM-10.	**EM-2**	EM-3	Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…
4.8.06	DOE/EM-1 Memo	Review and approve tentative commitment documents in consultation with other offices.	**EM-2**	EM-3	Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…
4.8.07	DOE/EM-1 Memo	Determine who at Headquarters approves and concurs in the final commitment document.	**EM-2**		Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
4.8.08	DOE/EM-1 Memo	Oversee implementation of guidance process; develop corporate statistics on agreements; and maintain corporate knowledge on agreements.	**EM-3**		Memo Subject: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management dated June 1,1997 from Alm to field…

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

4. Develop and Implement Controls

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		4.8 Environmental Restoration			
4.8.09	DOE/EM-1 Delegation Memo	Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order	**EM-2**		Also assigned to OH, RF, SR, RL, ORP, and Ports/Pad.
4.8.10	DOE/EM-1 Delegation Memo	Execute the Federal Facility Agreement (FFA).	**EM-2**		Also assigned to OH, RF, SR, RL, ORP, and Ports/Pad.
4.8.11	DOE/EM-1 Delegation Memo	Approve FFA decision documents for submission to EPA/State to include 1) Statement of Basis/Proposed Plans; 2) Explanantion of Significant Differences; and 3) Records of Decision (RODs)	**EM-2**		Delegated to OH, RF, SR, RL, OR, ORP, and Ports/Pad.
4.8.12	DOE/EM-1 Delegation Memo	Appove FFA execution documents for submission to the EPA/State including: 1) Preliminary Assessment/Site Investigation; 2) RCRA facility Assessment Report; 3) Engineering Evaluation/Cost Analysis; 4) Remedial Design/Remedial Action; 5) Corrective Measures Implementation Plans; 6) Remedial Investigation/Feasibility Study; 7) RCRA Facility Investigation/Corrective Measures Study Work Plans; 8) RCRA Facility Investigation/Corrective Measures Study Reports; 9) Risk Assessments; and 10) Initial Screening of Alternatives.	**EM-2**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad and Ports/Pad.
4.8.13	DOE/EM-1 Delegation Memo	Sign administratively or judicailly enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders).	**EM-2**		Delegated to OH, RF, SR, OR, RL, ORP, and Ports/Pad.
4.8.14	DOE/EM-1 Delegation Memo	Approve RCRA closure/post colosure plans, and corrective action permits/orders, and RCRA operating permits	**EM-2**		Delegated to OH, RF, SR, OR, RL, ORP, Carlsbad, and Ports/Pad.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		5.1 Confirm Readiness			
5.1	DOE O 440.1A	Shut down work if a clear and present safety danger exists. DOE Elements shall implement procedures to allow workers, through their supervisors, to stop work when they discover employee exposures to imminent danger conditions or other serious hazards. The procedure shall ensure that any stop work authority is exercised in a justifiable and responsible manner.	**EM-3**		FEM has authority too!
5.1.01	DOE O 425.1C	Determine (and ensure that contractor management determines) if Operational Readiness Reviews are required for startup or restart of nuclear facilities using the requirements in DOE Order 425.1C 4.a.(1)(a-f).	**EM-3**		
5.1.02	DOE O 425.1C	For initial startups of new hazard category 3 nuclear facilities, the Secretarial Officer (or designee) must approve startup. If other DOE Orders require a higher level of startup authorization than this Order, the official described in this Order will recommend startup to the higher level official.	**EM-3**		Do not have authority for new category 1 and 2. Delegated for cat 2 to OH, RF, SR, RL, ORP, ID. For cat 2 at OR, Ports/Pad and Carlsbad, Dae Chung at HQ is authority. For cat 2 at CH, EM-1 is authority.
5.1.03	DOE O 425.1C	For shutdowns directed by a DOE management official for safety or other appropriate reasons, approval to restart must be granted by an official of a level commensurate with the official ordering the shutdown unless a higher level is designated by the Secretarial Officer.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.1.04	DOE O 425.1C	For extended shutdowns of hazard category 1 nuclear facilities, the Cognizant Secretarial Officer must approve restart. For extended shutdowns of hazard category 2 nuclear facilities, the Cognizant Secretarial Officer (or designee) must approve restart.	**EM-3**		Delegated for cat 2 to OH, RF, SR, RL, ORP, ID. For cat 2 at OR, Ports/Pad and Carlsbad, Dae Chung at HQ is authority. For cat 2 at CH, EM-1 is authority.
5.1.05	DOE O 425.1C	For shutdowns because of substantial facility modifications of hazard category 1 nuclear facilities, the Cognizant Secretarial Officer must approve restart. For such shutdowns of hazard category 2 nuclear facilities, the Cognizant Secretarial Officer (or designee) must approve restart.	**EM-3**	EM-2	Delegated for cat 2 to OH, RF, SR, RL, ORP, ID. For cat 2 at OR, Ports/Pad and Carlsbad, Dae Chung at HQ is authority. For cat 2 at CH, EM-1 is authority.
5.1.06	DOE O 425.1C	For facility shutdowns due to operations outside the safety basis, the official approving restart must be commensurate with the approval authority for the safety basis. If the safety basis was approved by a Headquarters official, the Cognizant Secretarial Officer (or designee) must approve restart.	**EM-3**	EM-2	
5.1.07	DOE O 425.1C	For startups or restarts of nuclear facilities for which Operational Readiness Reviews were required as a result of a DOE official deeming it appropriate, the official approving startup or restart must be of a level commensurate with the official directing the review. If a Headquarters official directed an Operational Readiness Review be performed, the Cognizant Secretarial Officer (or designee), must approve the startup or restart.	**EM-3**	EM-2	.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.1.08	DOE O 425.1C	For Operational Readiness Reviews, DOE line management must require contractors to prepare the following documents: startup/restart notification reports, plans-of-action, Operational Readiness Reviews Implementation Plans, and final reports. DOE line management must prepare its plans-of-action, and ensure the ORR team leaders prepare Operational Readiness Review Implementation Plans, and final reports. The resolution of all findings from the Operational Readiness Reviews must be documented and maintained with the plans-of-action, Implementation Plans, and final reports.	**EM-3**		
5.1.09	DOE O 425.1C	Develop (and ensure the contractor develops) the breadth of the Operational Readiness Review and document it in each plan-of-action.	**EM-3**		
5.1.10	DOE O 425.1C	Ensure the contractor's plan-of-action specifies the prerequisites for starting the responsible contractor's Operational Readiness Review; the prerequisites must address each core requirement of section determined to be applicable when developing the scope of the Operational Readiness Review. The contractor and DOE Operational Readiness Review plans of action must be approved by the authorization authority defined in paragraphs 4.a.(3)(a) through 4.a.(3)(f) of this Order.	**EM-3**		
5.1.11	DOE O 425.1C	Appoint (and ensure that contractor management appoints) Operational Readiness Review teams in accordance with . . . qualifications and training requirements [listed in this Order].	**EM-3**		
5.1.12	DOE O 425.1C	Require that the DOE Operational Readiness Review team determines (and ensures that the contractor's Operational Readiness Review team determines) the criteria and review approaches to be used for their review based on the approved breadth given in their plan-of-action and documents the criteria and review approaches in their Operational Readiness Review Implementation Plan.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.1.13	DOE O 425.1C	Upon completion of the contractor or DOE Operational Readiness Review, DOE line management must ensure a final report is prepared and approved by the Operational Readiness Review team leader.	**EM-3**		
5.1.14	DOE O 425.1C	Ensure the contractor has satisfactorily resolved all prestart findings of the DOE Operational Readiness Review prior to startup or restart of the facility.	**EM-3**		
5.1.15	DOE O 425.1C	Establish procedures (and ensure contractors establish procedures) as necessary to manage startup and restart actions in accordance with the requirements of this Order.	**EM-3**		
		5.1 Confirm Readiness			
5.1.16	DOE O 425.1C	Exercise the delegation authority and document all delegations of authority made under the provisions granted by this Order.	**EM-1**	EM-3	
		5.2 Perform Work Safely			
5.2.01	DOE M 411.1-1C; DOE P 450.5; DOE M 426.1-1A	Ensure implementation of safety management systems, delegated functions to the field elements, Facility Representative programs, and performance measures to ensure adequate protection of the worker, public, and the environment, and that adequate resources are allocated.	**EM-3**		
5.2.02	Title 29 CFR 1960; DOE O 440.1A	Employees who exercise supervisory functions shall, to the extent of their authority, furnish employees employment and a place of employment which are free from recognized hazards that are causing or are likely to cause death or serious physical harm.	**EM-3** **EM-2**		
5.2.03	Title 29 CFR 1960	Employees who exercise supervisory functions shall also comply with the occupational safety and health standards applicable to their agency and with all rules, regulations and orders issued by the head of the agency with respect to the agency occupational safety and health program.	**EM-2** **EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.2.04	DOE O 440.1A	Ensure that program-specific worker protection goals and objectives are developed and resources are provided.	**EM-3**	EM-2	Also assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad.
5.2.05	DOE O 440.1A	Ensure that worker protection policies and requirements are effectively implemented.	**EM-3**	EM-2	Also assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad.
5.2.06	DOE O 440.1A	Develop or participate in recognition programs that encourage the improvement of worker protection programs.	**EM-3**		Also assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad.
5.2.07	DOE O 440.1A	When contractors report directly to EM-1, ensure that the responsibilities of paragraph 5b of this Order (and applicable responsibilities in the specific functional areas contained in Attachment 1 of this Order) and the requirements of the contractor requirements document (CRD) are implemented.	**EM-3**		EM HQ has no contractors directly reporting at this time.
5.2.08	DOE O 440.1A	Assist in the resolution of significant worker protection issues and the improvement in cost effectiveness and efficiency of worker protection programs.	**EM-3**		
5.2.16	Title 10 CFR 850	Require that contractors prepare and submit chronic beryllium disease prevention programs (CBDPPs) to their DOE Field Element Manager before beginning beryllium activities.	**EM-3**		FEM reqt too.
5.2.17	Title 10 CFR 850	Review and approve all contractor CBDPPs.	**EM-3**		FEM reqt too.
5.2.18	Title 10 CFR 850	Give the labor organization timely notice of the development and implementation of the CBDPP and any updates thereto; and, upon timely request, bargain concerning implementaiton of this part, consistant with Federal labor laws.	**EM-3**		
5.2.19	Title 10 CFR 835	Review and direct changes to Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad. See also 4.1.6.01 (approve RPPs)

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.2.21	Title 10 CFR 835	A planned special exposure may be authorized for a radiological worker to receive doses in addition to and accounted for separately from the doses received under the limits specified in § 835.202(a), provided that each of the following conditions is satisfied: . . . (3) Joint written approval is received from the appropriate DOE Headquarters program office and the Secretarial Officer responsible for environment, safety and health matters.	**EM-3**		
5.2.22	Title 10 CFR 830	Authorize exposures that exceed administrative control levels.	**EM-3**		
5.2.23	DOE O 5400.5; DOE P 441.1	1) Implement DOE public and environmental radiation protection policy and requirements in their respective programs. 2) Implement, if warranted, interim control strategies proposed by field organizaitons pursuant to this Order and DOE O 435.1.	**EM-3**		
5.2.24	DOE O 5480.19	Provide direction to field elements for the conduct of operations for facilities under their cognizance.	**EM-3**		
5.2.25	DOE O 5480.19	Ensure the preparation, review, and approval of field element and contractor documentation implementing the requirements of DOE 5480.19 for programs under their cognizance.	**EM-3**		
5.2.26	DOE O 5480.19	Ensure that Program Managers oversee the conduct of operations at those facilities under their cognizance, in accordance with the requirements of DOE 5480.19.	**EM-3**		FEM also has reqt to oversee conduct of Ops at facilities. (6.c.(2) in the Order)
5.2.27	DOE O 433.1	Ensure that sufficient resources are budgeted in a timely manner to accomplish the maintenance program's objective of providing DOE with the highest confidence in the reliable performance of mission-critical, safety structures, systems, and components through proactive maintenance practices.	**EM-3**	EM-2	Order refers to DOE M 411.1-1B for responsibilities…out of date.
5.2.28	DOE O 433.1	Ensure that a cost-effective and efficient maintenance program is developed and implemented for all DOE nuclear facilities consistent with DOE's mission, safety and health, reliability, quality, and environmental protection objectives.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.2.29	DOE O 433.1	Ensure that responsibility, authority, and accountability for maintenance are clearly defined, appropriately assigned, and executed.	**EM-3**		
5.2.30	DOE O 433.1	Ensure that DOE operational awareness review and analysis capability exists for evaluation of maintenance program performance and effectiveness.	**EM-3**		
5.2.31	DOE O 433.1	Ensure that where maintenance requirements or accepted maintenance standards cannot be met, such instances are appropriately documented and acknowledged by DOE field elements including the granting of exemptions by DOE, as appropriate, when requested.	**EM-3**		
5.2.32	DOE O 433.1	Ensure that the requirements and standards for maintenance of nuclear facilities are incorporated into contracts and subcontracts, including support services contracts, as appropriate.	**EM-3**		
		5.3 Quality Assurance			
5.3	DOE O 414.1B; Title 10 CFR 830	Program Secretarial Officer shall ensure implementation of quality assurance programs, continuous improvement, and provision of adequate resources to achieve quality.	**EM-3**		Implied by the drivers
5.3.01	DOE O 414.1B	The Cognizent Secretarial Officer (CSO) shall develop, approve and implement a quality assurance program (QAP) governing the work of their organizations in accordance with: the requirements defined in Paragraph 4 of this Order; the Suspect/Counterfeit Items Prevention requirements in Attachment 3 of this Order; and, the CorrectiveAction Management Program requirements in Attachment 4 of this Order. Identify the senior management position specifically assigned this responsibility.	**EM-3**		
5.3.02	Title 10 CFR 830	The CSO shall review and concur with field element quality assurance programs. Approve/reject within 90 days of submittal.	**EM-3**		see also 5.3.09 of this document.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.3.03	DOE O 414.1B; Title 10 CFR 830	Review and approve new and revised contractor quality assurance programs (QAPs) within purview or delegate this authority to the field element manager. The scope and rigor of a review must be graded according to the status of prior quality performance…	**EM-3**		Delegated to OH, RF,CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad.
5.3.04	Title 10 CFR 830	Review, comment on and/or approve contractor Quality Assurance Programs (QAPs) within 90 days after submittal to DOE. Review and approve annual updates.	**EM-3**		Delegated to OH, RF,CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad.
5.3.05	DOE O 414.1B	Ensure that Headquarters, field elements, and contractors implement requirements of this Order in an integrated manner and coordinate the resolution of quality issues among these organizations.	**EM-3**		
5.3.06	DOE O 414.1B	Provide direction and resources for implementing the requirements for work within purview.	**EM-3**		
5.3.07	DOE O 414.1B	Review and approve new and revised field element QAPs. The scope and rigor of a review must be graded according to the status of prior quality performance....	**EM-3**		
5.3.08	DOE O 414.1B	Review, resolve differences of opinion, and approve or reject QAPs within 90 days of receipt.	**EM-3**		see 5.3.04 For contractor QAPs, delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad.
5.3.10	DOE O 414.1B	Perform management and independent assessments to evaluate the adequacy and implementation of their Headquarters element QAP and to improve organizational performance.	**EM-3**		
5.3.11	DOE O 414.1B	Report management assessment results (by HQ and the FEM) periodically to the Deputy Secretary (through the Under Secretary) describing the effectiveness of QA implementation.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

5 Perform Work

ID	Driver	Responsibility	Lead Role	Support Role	Notes
5.3.12	DOE O 414.1B	Provide the contracting officer necessary information and direction in order to specify: (a) each procurement requiring application of the CRD to this Order and 10 CFR 830 Subpart A, (b) requirements for flow down of provisions of the CRD to subcontractors or sub-awards, and © the provisions of the CRD with which the contractors or subcontractors are to comply.	**EM-3**		
5.3.13	DOE N 411.1	Identify and assign persons qualified to serve on the SME panel for safety software.	**EM-3**		
5.3.14	DOE N 411.1	Support the Assistant Secretary of Environment, Safety and Health, as requested and agreed upon, to meet Implementaiton Plan commitments.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		6.1 Lessons Learned Program			
6.1.01	DOE-STD-7501-99	Support and coordinate the development, implementation, and maintenance of a DOE complex-wide Lessons Learned Program.	**EM-3**	EM-2	Technical Standard, not a directive …
6.1.02	DOE-STD-7501-99	Provide resources for the Headquarters element of the DOE Lessons Learned Program.	**EM-3**	EM-2	NOTE: technical standard
6.1.03	DOE-STD-7501-99	Implement Departmental policy concerning lessons learned and this lesson learned technical standard for program under their cognizance.	**EM-3**	EM-2	NOTE: technical standard
6.1.04	DOE-STD-7501-99	Ensure that guidance to the field is consistent and compatible with that of other CSOs having responsibilities at the same sites.	**EM-3**	EM-2	NOTE: technical standard
6.1.05	DOE-STD-7501-99	Provide resources for developing, implementing, and maintaining a tailored lessons learned program at the program level.	**EM-3**	EM-2	NOTE: technical standard
6.1.06	DOE-STD-7501-99	Ensure that the lessons learned program is incorporated into organizational responsibilities.	**EM-3**	EM-2	NOTE: technical standard
6.1.07	DOE-STD-7501-99	Assign and support personnel under their supervision to administer the lessons learned infrastructure mechanisms that the organization establishes.	**EM-3**	EM-2	NOTE: technical standard
6.1.08	DOE-STD-7501-99	Ensure that actions planned or initiated to address lessons learned are implemented.	**EM-3**	EM-2	NOTE: technical standard
6.1.09	DOE-STD-7501-99	Ensure that lessons learned information is included in the planning and execution of work within the scope of their responsibility.	**EM-3**	EM-2	NOTE: technical standard
6.1.10	DOE-STD-7501-99	Evaluate effectiveness of lessons learned programs and report to senior management.	**EM-3**	EM-2	NOTE: technical standard

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.1.11	DOE O 460.1B	Support the sharing of packaging and transportation safety successes, problems, and corrective actions with other DOE/NNSA Elements and the field through the use of an effective lessons learned program.	**EM-2**		
6.1.12	DOE-STD-7501-99	Identify experiences, activities, processes, and practices that should be shared in accordance with the definition of lessons learned (i.e., both positive and negative experiences).	**EM-3**	EM-2	NOTE: technical standard
6.1.13	DOE-STD-7501-99	Contact line management and/or lessons learned staff to determine whether the identified experience qualifies as a lessons learned.	**EM-3**	EM-2	NOTE: technical standard
6.1.14	DOE-STD-7501-99	Provide information for generation of a lessons learned document.	**EM-3**	EM-2	NOTE: technical standard
6.1.15	DOE-STD-7501-99	Review lessons learned documents for applicability and/or implementation.	**EM-3**	EM-2	NOTE: technical standard
6.1.16	DOE-STD-7501-99	Incorporate applicable lessons into work planning and execution.	**EM-3**	EM-2	NOTE: technical standard
6.1.17	DOE O 442.1A	Designate the management position or positions responsible for developing and implementing the Employee Concerns Program (ECP).	**EM-2**	EM-3	
6.1.18	DOE O 442.1A	Direct the ECP and provide adequate resources and training for effective implementation. Ensure implementation of ECPs required by contract for contractors under EM-1 jurisdiction.	**EM-2**		There are no contractors under EM-1 jurisdiction.
6.1.19	DOE O 442.1A	Use management assessment results to verify the adequacy and implementation of the ECP and improve performance.	**EM-2**		
6.1.20	DOE O 442.1A	Develop and submit ECP program implementation documentation to the Secretarial Officer . . . for approval.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.1.21	DOE O 442.1A	Implement the approved ECP and ensure concerns are processed as required by this Order.	**EM-2**		
6.1.22	DOE O 442.1A	Publicize ECP processes, employee rights and responsibilities to report concerns through these processes, and management's intolerance for reprisals against employees who have reported concerns.	**EM-2**		
6.1.23	DOE O 442.1A	Maintain an employee concerns tracking system and a secure filing system.	**EM-2**		
6.1.24	DOE O 442.1A	Decide which concerns that are brought to the attention of the ECP the ECP office should seek to resolve, which warrant referral or transfer to another office for further review, or which warrant no further action.	**EM-2**		
6.1.25	DOE O 442.1A	Assist in evaluation and resolution of employee concerns.	**EM-2**		
6.1.26	DOE O 442.1A	Transfer concerns to other programs or processes if the concern is deemed to be outside the scope of the ECP. Review and evaluate responses from other organizations to which concerns were referred, request further action when necessary, and provide feedback to those organizations that have a need to know about the outcome of the ECP process.	**EM-2**		
6.1.27	DOE O 442.1A	Document that an individual, office, or organization has accepted responsibility for minimizing, correcting, and preventing recurrence of concerns that have been substantiated through the ECP process.	**EM-2**		
6.1.28	DOE O 442.1A	Prepare quarterly and annual reports and review them for lessons learned and possible adverse trends.	**EM-2**		
6.1.29	DOE O 442.1A	Use self-assessment or outside review to conduct management assessments of their ECPs. Assess the results with the Headquarters or field element manager, and take any necessary actions to improve program operations.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.1.30	DOE O 442.1A	Coordinate with DOE contracting officers to determine the existence of contract requirements for the establishment of contractor ECPs and the means and criteria by which such contractor ECPs will be evaluated.	**EM-2**		
6.1.31	DOE O 442.1A	Advise appropriate levels of management when actions are either ineffective or not timely in resolving concerns or correcting identified deficiencies.	**EM-2**		
		6.2 Occurrence Reporting and Processing System (ORPS)			
6.2	DOE O 231.1A	Delegate authority and assign responsibilities for implementing occurrence reporting; review and approve the facility/site implementation procedure; ensure that the ORPS requirements are included in appropriate contracts; establish agreements concerning corrective actions with FEMs; and review occurence reports for indications of deteriorating or poor performance.	**EM-1**	EM-3	General inference from Order.
6.2.01	DOE M 231.1-2	Delegate responsibilities and authority for implementing this Manual, to include designation of Program Managers.	**EM-1**	EM-3	
6.2.02	DOE M 231.1-2	Ensure that the requirements in the Contractor Requirements Document for DOE M 231.1-2 are applied to applicable contracts within three months after approval of this Order.	**EM-3**		
6.2.03	DOE O 231.1A DOE M 231.1-2	Approve occurrence reports, including proposed corrective actions or delegate this authority.	**EM-3**		Delegated to Patrice Bubar for Unusual Occurrence Final Reports via memo dated Feb 18, 2004. Occurrence Report levels are called something different in new manual… e.g., Unusual Occurrence is same as Significance Category 1. For new manual requirements, delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.2.04	DOE M 231.1-2	Review Occurrence Reports for indications of deteriorating or poor program performance in their respective areas of authority.	**EM-3**		
6.2.05	DOE M 231.1-2	Review and approve the Facility/Site Implementation Procedure after coordination with the Office of Environment, Safety and Health. Provide a copy of the implementing procedure to EH upon approval.	**EM-3**		
6.2.06	DOE N 231.1	Report quarterly work-related fatalities, injuries, and illnesses occurring among DOE employees arising out of work primarily performed at DOE-owned or -leased facilities to the Assistant Secretary for Environment, Safety, and Health according to procedures provided in paragraphs 4.a.(2) (a), 4.a.(2) (b), and 4.a.(2) (c) of this notice.	**EM-3**		
6.2.07	DOE N 231.1	Assure that DOE Contractors report quarterly work-related fatalities, injuries, and illnesses occurring among DOE contractor employees and arising out of work primarily performed at DOE- owned or -leased facilities under their direction to the Assistant Secretary for Environment, Safety and Health according to procedures provided in paragraphs 2c of the CRD.	**EM-3**		
6.2.08	DOE N 231.1	Report accidents that involve fatalities or multiple hospitalizations to DOE employees to the DOE Designated Agency Safety and Health Official (DASHO), the Assistant Secretary for Environment, Safety and Health. (See requirements in 29 CFR 1960.70.)	**EM-3**		
6.2.09	DOE N 231.1	Cognizant Secretarial Officers review the annual reports on ES&H assessments for the sites under their direction and submit summaries to the Secretary by the end of April each year.	**EM-3**		
6.2.10	DOE M 231.1-2	Establish agreements with Heads of Field Elements to ensure support to the DOE Facility Representative and Program Manager(s) in accordance with this Manual.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.2.11	DOE M 231.1-2	Provide the Headquarters Organizations Center (HQ OC) with a prioritized list of emergency management duty officers and their contact numbers to permit notification on a 24 hour-a-day, 7 day-a-week basis.	**EM-3**		
6.2.12	DOE M 231.1-2	Ensure training programs are established for both DOE and contractor personnel.	**EM-3**		Also assigned to OH, RF, SR, RL, ORP, Carlsbad, ID, and Ports/Pad.
6.2.13	DOE M 231.1-2	Ensure initiators of procurement requests identify in procurement requests whether the requirements in the Contractor Requirements Document for DOE M 231.1-2 are to be applied to the award or sub-awards resulting from the procurement request and any special instructions for the application of the Contractor Requirements Document.	**EM-3**		
6.2.14	DOE M 231.1-2	Review activities relating to reportable occurrence, including reporting and development of programs and procedures.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.15	DOE M 231.1-2	Ensure that a system for prompt notification and categorization of reportable occurrences has been established for their DOE programs and for facilities under their cognizance.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.16	DOE M 231.1-2	Ensure that the Headquarters Emergency Operations Center is informed of how the Program Manager or Designees can be reached at all times.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.17	DOE M 231.1-2	Ensure that lessons learned and generic or programmatic implications are identified and elevated to the Secretarial Officer for appropriate action.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.18	DOE M 231.1-2	Ensure that actions are taken to minimize or prevent recurrence.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.2.19	DOE M 231.1-2	Review and assess reportable occurrence information from facilities under their cognizance to assess significance, root cause, generic implications, and the need for corrective action, and to ensure that DOE and contractor staff involved in these operations perform the related functions.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.20	DOE M 231.1-2	Ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate DOE and contractor activities within their cognizance, are reviewed for generic implications, and are used to improve operations.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.21	DOE M 231.1-2	Ensure that Occurrence Reports are prepared and transmitted in accordance with DOE security requirements.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.22	DOE M 231.1-2	Notify the CSO of all Significance Category 1 Occurrences.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.23	DOE M 231.1-2	Interact with the Facility Representative and HQ oversight organizations as necessary, and inform and advise their respective management of their findings.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.24	DOE M 231.1-2	Elevate any unresolved issues regarding actions or determinations on reportable occurrence to the Secretarial Officer and, if necessary, the Secretary for resolution and direction.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.25	DOE M 231.1-2	The Program Manager shall review, approve, and add any comments to the Final Report within 14 calendar days after receipt.	**EM-3**		Delegated to OH, RF, CH, SR, OR, RL, ORP, Carlsbad, ID, and Ports/Pad as Program Managers.
6.2.26	DOE M 231.1-2	Specific instructions on the reporting of occurrences via hard copy or the electronic database, the Occurrence Reporting and Processing System (ORPS), are listed in DOE G 231.1, Occurrence Reporting and Performance Analysis Guide. The documentation and distribution requirements of this Manual will be satisfied by utilization of ORPS.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
		6.3 Environment, Safety and Health Reporting			
6.3	DOE O 231.1A	Meet/oversee implementation of ES&H reporting requirements.	**EM-3**		
6.3.01	DOE O 231.1A	Meet the reporting requirements in DOE M 231.1-1, Chapters I, II, and III.	**EM-3**		
6.3.02	DOE O 231.1A	In accordance with DOE N 231.1, Environment,, Safety and Health Reporting Notice, dated 01-15-02, implement a record keeping and reporting program to ensure the use of common definitions, consistent recording procedures, and timely reporting practices for DOE employee and all contractor and subcontractor occupational fatalities, injuries, and illnesses.	**EM-3**		
6.3.03	DOE O 231.1A	Report accidents that involve fatalities or multiple hospitalization of DOE employees to the Assistant Secretary for Environment, Safety, and health. (See requirements in 29 CFR 1960.70.)	**EM-3**		
6.3.04	DOE O 231.1A	In accordance with DOE M231.1-1, Chapter 1, ensure that the reporting requirements of DOE O450.1, "Environmental Protection Program," dated 01-15-03; Executive Order 13148, "Greening the Government Through Leadership in Environmental Management"; and Executive Order 13101, "Greening the Government Through Waste Prevention, Recycling and Federal Acquisition" are achieved.	**EM-3**		
6.3.05	DOE O 231.1A	Submit an annual report of the previous year's fire damage to the DOE fire protection authority having jurisdiction on April 30 each year. (See DOE M 231.1-1, Chapter II.)	**EM-3**		
6.3.06	DOE O 231.1A	Prepare total quarterly work hours report on a calendar year basis in accordance with DOE M 231.1.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.3.07	DOE O 231.1A	Report interim exposure data reporting in accordance with DOE M 231.1-1, Chapter III, paragraphs 1 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Report work-related ionizing radiation exposure data pertaining to an individual who visits a DOE or DOE contractor site or facility to the Radiation Records Repository, to the individual's employer, and to that individual.	**EM-3**		
6.3.08	DOE O 231.1A; Title 10 CFR 835	Report new and revised annual exposure data in accordance with DOE M 231.1-1, Chapter III and 10 CFR 835.702 (a) and (b) "Occupational Radiation Protection". DOE facility directors shall report ionizing radiation exposure data summaries to the REMS Repository for each monitored person.	**EM-3**		
6.3.09	DOE O 231.1A Title 10 CFR 835	Submit occupational radiological exposure reports to individuals in accordance with DOE M 231.1-1, Chapter III, and 10 CFR 835.801, "Occupational Radiation Protection". Radiological exposure data pertaining to a visit to a DOE or DOE contractor site by an individual shall be provided as a report to that individual.	**EM-3**		
6.3.10	DOE O 231.1A DOE M 231.1-1	Submit epidemiological analyses -- Excess Injuries and Illnesses in accordance with DOE M 231.1-1, Chapter II. Notify the Assistant Secretary for Environment, Safety and Health of suspected excesses of illnesses or injuries that require epidemiological analyses to determine if the excesses are work related.	**EM-3**		
6.3.11	DOE O 231.1A	Submit occupational safety and health (OSH) information in support of epidemiological studies conducted by external organizations in accordance with DOE M 231.1-1, Chapter II. Submit OSH information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and grantees conducting epidemiological studies.	**EM-2**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.3.12	DOE O 231.1A	Report annually on the progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision.	**EM-2**		
6.3.13	DOE O 231.1A	Prepare an annual National Environmental Policy Act planning summary.	**EM-2**		
		6.4 Assessments			
6.4.01	DOE O 450.1; DOE P 450.5	Assess their own organization [EM] to identify areas in which continuous improvement in the safety of DOE operations can be realized.	**EM-3** **EM-2**		
6.4.02	DOE M 411.1-1C; DOE O 414.1B	Assign responsibility within the organization for establishing criteria for such assessments and for conducting them.	**EM-3** **EM-2**		
6.4.03	DOE O 414.1B	Examine the findings of both internal and external assessments of their element to identify root causes, trends, and necessary corrective actions within the responsibility of their organization.	**EM-3** **EM-2**		
6.4.05	DOE M 411.1-1C; DOE O 414.1B	Ensure that all currently applicable safety requirements are captured in the organization's FRA document, and are consistent with other FRA documents of other organizations with which there are interfaces.	**EM-3**		
6.4.06	DOE N 411.1	Ensure safety software assessments are scheduled and conducted in coordination with field element managers, using approved CRADs. Provide assessment schedules and results to the Assistant Secretary for Environment, Safety, and Health.	**EM-3**		
		6.5 Accident Investigations			
6.5.01	DOE O 225.1A	Cooperate with the Accident Investigation Board during the investigation.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.5.02	DOE O 225.1A	Review draft Type A and Type B investigation reports for factual accuracy within the time frame allowed for the investigation.	**EM-3**		
6.5.03	DOE O 225.1A	Approve corrective action plans resulting from Type A and B investigations for satisfaction of judgments of need identified by the Board.	**EM-3**		
		6.6 Make Changes to Improve			
6.6	DOE M 411.1-1C; DOE P 450.4 ISM Principles; DOE-STD-7501-99	Be accountable for becoming and remaining cognizant of all relevant sources of information bearing upon their activities; i.e., for maintaining contact with other organizations and facilities that have similar activities, both within and external to DOE, and from whom best current practices can be learned.	**EM-3**		
6.6.01	DOE O 470.2B; DOE-STD-7501-99; DOE O 414.1B	Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and the lessons learned.	**EM-3**		
6.6.03	DOE P 450.4	Develop and maintain a process to ensure that information from various feedback sources are evaluated in an integrated manner and corrective actions are prioritized based upon importance.	**EM-3**		
6.6.04	DOE O 470.2B; DOE O 414.1B	Approve Corrective Action Management Program (CAMP) Corrective Action Plans (CAPs) developed by the FEM within 60 calendar days from the date the assessment report was issued.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.6.06	DOE O 470.2B	Resolve identified cross-organizational disputes, such as those related to the timeliness or adequacy of CAPs or their implementation. If necessary, elevate the dispute to the Deputy Secretary. When disputes arise, such as those related to the timeliness or adequacy of CAPs or their implementation, elevate them in a step-wise manner through the management hierarchy via a deliberate and timely dispute resolution process that provides each party with equal opportunity for input, and a subsequent opportunity to appeal decisions to the Deputy Secretary, if necessary.	**EM-3**		
		6.7 Line Management Oversight			
6.7	DOE M 411.1-1C	Monitor field element and contractor performance. When appropriate, participate in field element appraisals, assessments, surveillances and walkthroughs of contractor facilities and activities. Conduct onsite reviews of field element's performance, including verifications of their appraisals of the contractor, as necessary. Conduct line oversight of safety management systems to ensure effective implementation and maintenance.	**EM-3**		
6.7.01	DNFSB Rec. 2000-2	Vital Safety System Assessments. Ensure that these assessments are incorporated into field activities.	**EM-3**		
6.7.03	DOE P 450.5	Headquarters' line managers coordinate their oversight functions with field elements through the designated landlord for each site.	**EM-3**		
6.7.04	DOE P 450.5	Monitor field element and contractor performance through the review of information provided by field elements, contractors, EH, and external organizations, such as the Defense Nuclear Facilities Safety Board.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.7.05	DOE P 450.5	When appropriate, participate in field element appraisals, assessments, surveillances, and walkthroughs of contractor facilities and activities.	**EM-3**		
6.7.06	DOE P 450.5	Conduct onsite reviews of field element performance, including verification of their appraisals of the contractor, as necessary.	**EM-3**	EM-2	
6.7.07	DOE P 450.5	[Conduct] for cause reviews, as necessary.	**EM-3**	EM-2	
		6.98 Price Anderson Enforcement			
6.98	Price Anderson Ammendment Act; Title 10 CFR 820	Refer potential nuclear safety violations to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820.70, "Procedural Rules for DOE Nuclear Activities," where appropriate. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement and Investigation	**EM-3**		
		6.99 Interface with Defense Nuclear Facilities Safety Board			
6.99	DOE M 140.1-1B	Provide full cooperation with the DNFSB, including ready access to Departmental facilities, personnel, and information; provide responses to DNFSB recommendations and requests as described in DOE M 140.1-1B, "Interface With The Defense Nuclear Facilities Safety Board."	**EM-3**		
6.99.01	DOE M 140.1-1B	Consistent with guidance from the Deputy Secretary, implement the Department's policy with respect to the Board.	**EM-3**		
6.99.02	DOE M 140.1-1B	When designated as the Cognizant Secretarial Officer responsible for responding to a Board recommendation, correspondence, or other Board issue, designate and empower a Responsible Manager to manage the associated planning, response, and implementation activities consistent with guidance provided.	**EM-3**		

Table 1. EM FRA, Revision 3: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement

ID	Driver	Responsibility	Lead Role	Support Role	Notes
6.99.03	DOE M 140.1-1B	Support other Secretarial Officers designated as cognizant for responding to and implementing Board recommendations.	**EM-3**		
6.99.04	DOE M 140.1-1B	Designate and empower a single point of contact within their organizations to represent their organizations and work with the Departmental Representative and his/her staff in Board-related matters.	**EM-3**		

Appendices to the EM FRA

Appendix A: List of Directives and Code of Federal Regulation Documents Used to Develop the EM FRA, Rev. 3

Appendix B: Definitions

Appendix C: Memoranda Signed by the Assistant Secretary that Delegate Safety Management Functions, Responsibilities, and Authorities from EM Headquarters to the Field

Appendix D: Reserved

Appendix E: Presentation and Discussion of EM FRA Changes

Appendix A: List of Directives, Drivers and Code of Federal Regulation Documents Used to Develop the EM FRA, Rev. 3

DOE O 130.1, September 29, 1995, Budget Formulation

DOE O 135.1, September 30, 1995, Budget Execution-Funds Distribution and Control

DOE M 135.1-1, September 30, 1995, Budget Execution Manual

DOE M 140.1-1B, March 30, 2001, DOE Interface with the Defense Nuclear Facilities Safety Board

DOE O 151.1B, October 29, 2003, Comprehensive Emergency Management System

DOE N 203.1, October 2, 2000, Software Quality Assurance

DOE N 205.1, July 26, 1999, Unclassified Cyber Security Program

DOE P 205.1, May 8, 2001, Departmental Cyber Security Management Policy

DOE O 205.1, March 21, 2003, DOE Cyber Security Management Program

DOE N 205.2, February 14, 2003, Foreign National Access To DOE Cyber Systems

DOE O 225.1A, November 26, 1997, Accident Investigations

DOE M 231.1-1, January 28, 2000, Environment, Safety, and Health Reporting Manual

DOE N 231.1, January 15, 2002, Environment, Safety and Health Reporting Notice

DOE O 231.1A, August 19, 2003, Environment, Safety, and Health Reporting

DOE M 231.1-2, August 19, 2003, Occurrence Reporting and Processing of Operations Information

DOE O 251.1A, January 30, 1998, Directives System (cancels M 251.1-1??)

DOE M 251.1-1A, January 30, 1998, Directives System Manual

DOE O 252.1, November 19, 1999, Technical Standards Program

DOE O 360.1B, October 11, 2001, Federal Employee Training

DOE M 360.1-1B, October 11, 2001, Federal Employee Training Manual

DOE P 410.1A, May 15, 1996, Promulgating Nuclear Safety Requirements

DOE P 411.1, January 28, 1997, Safety Management Functions, Responsibilities and Authorities Policy

DOE N 411.1 August 27, 2003, Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities

DOE M 411.1-1C, December 2003, Safety Management Functions, Responsibilities, and Authorities Manual

DOE O 413.1A, April 18, 2002, Management Control Program

DOE O 414.1B, April 29, 2004, Quality Assurance

DOE O 420.1A, May 20, 2002, Facility Safety

DOE O 425.1C, March 13, 2003, Startup and Restart of Nuclear Facilities

DOE M 426.1-1A, April 2004, Federal Technical Capabilities Panel (draft)

DOE O 430.1B, September 24, 2003, Real Property Asset Management

DOE O 433.1, June 1, 2001, Maintenance Management Program for DOE Nuclear Facilities

DOE O 435.1, August 28, 2001, Radioactive Waste Management

DOE M 435.1-1, June 19, 2001, Radioactive Waste Management Manual

DOE O 440.1A, March 27, 1998, Worker Protection Management for DOE Federal and Contractor Employees

DOE P 441.1, April 26, 1996, DOE Radiation Health and Safety Policy

DOE N 441.1, September 29, 1995, Radiological Protection for DOE Activities

DOE O 442.1A, June 6, 2001, Employee Concerns Program

DOE P 450.1, June 15, 1995, ES&H Policy for the DOE Complex

DOE O 450.1, January 15, 2003, Environment Protection Program

DOE P 450.4, October 15, 1996, Safety Management System Policy

DOE P 450.5, June 26, 1997, Line Environment, Safety and Health Oversight

DOE P 450.6, April 14, 1998, Secretarial, Policy Statement Environment, Safety and Health

DOE O 451.1B, September 28, 2001, National Environmental Policy Act Compliance Program

DOE P 455.1, July 15, 2003, Use of Risk-Based End States

DOE O 460.1B, April 4, 2003, Packaging and Transportation Safety

DOE O 460.2, October 26, 1995, Departmental Materials Transportation and Packaging Management

DOE O 470.1, September 28, 1995, Safeguards and Security Program

DOE O 470.2B, October 31, 2002, Independent Oversight and Performance Assurance Program

DOE O 472.1C, March 25, 2003, Personal Security Activities

DOE O 473.1, December 23, 2002, Physical Protection Program Manual

DOE O 474.1A, November 20, 2000, Control and Accountability of Nuclear Materials

DOE O 520.1, November 27, 2001, Office of Chief Financial Officer

DOE O 5400.5, January 7, 1993, Radiation Protection of the Public and the Environment

DOE O 5480.4, January 1, 1993, Environmental Protection, Safety, and Health Protection Standards

DOE O 5480.19, October 23, 2001, Conduct of Operations Requirements for DOE Facilities

DOE O 5480.20A, July 12, 2001, Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities

DOE Technical Standard DOE-STD-7501-99, The DOE Corporate Lessons Learned Programs

Title 10 CFR 820, Procedural Rules for DOE Nuclear Activities, Final Rule

Title 10 CFR 830, Nuclear Safety Management; Final Rule

Title 10 CFR 835, Occupational Radiation Protection; Amended Final Rule

Title 10 CFR 850, Chronic Beryllium Disease Prevention Program; Final Rule

Title 29 CFR 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related

Price Anderson Amendments Act

GPRA 1993, Public Law 103-62

EM Mission and Function Statement, July 2003

DNFSB Recommendation 2000-2, Vital Safety Systems

Appendix B: Definitions

Accountability. The state of being liable for explanation to a superior Department of Energy (DOE) official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specified actions. The designee of an authority is accountable to the delegating responsible authority for the proper and diligent exercise of that authority. Responsibility differs from accountability in that a responsible official "owns" the function for which he or she is responsible; it is an integral part of his or her duties to see that the function is properly executed, to establish criteria for the judgment of excellence in its execution, and to strive for continuous improvement in that execution. A responsible official is associated with the outcomes of the exercise of authority regardless of whether it was delegated, and regardless of whether the designee properly followed guidance. Accountability, on the other hand, involves the acceptance of the authority for execution or for further delegation of components of execution by using guidance and criteria established by the responsible authority.

Authority. The permission afforded by law, regulation or directive, or delegated by senior management enabling a DOE employee to perform a function or reach and implement a decision.

Authorization Agreement. A documented agreement between DOE and the contractor for high-hazard facilities (Category 1 and 2), incorporating the results of DOE's review of the contractor's proposed authorization basis for a defined scope of work. The authorization agreement contains key terms and conditions (controls and commitments) under which the contractor is authorized to perform the work.

Authorization Basis. Those aspects of the facility design basis and operational requirements relied upon by DOE to authorize operation. These aspects are considered to be important to the safety of the facility operations. The authorization basis is described in documents such as the facility safety analysis report and other documented safety analysis, hazard classification documents and the technical safety requirements, DOE-issued safety evaluation reports, and facility-specific commitments made to comply with DOE Orders or policies.

Authorization Protocols. Those processes used to communicate acceptance of the contractor's integrated plans for hazardous work. Such protocols are expected to range from pre-performance review and approval by DOE of detailed safety-related terms and conditions for performing work (authorization agreement) to less rigorous oversight and post-performance assessment of the contractor's work.

Chief Operating Officer. That DOE employee delegated the authority by the Secretary to manage day-to-day operations of the Department. At present, the Department's Chief Operating Officer is the Deputy Secretary and each major line organization has named a corresponding Chief Operating Officer to manage the day-to-day operations of their organization.

Cognizant Line Manager. The DOE field or Headquarters element manager with direct safety responsibilities for the DOE facility, who is also directly responsible for the development, approval (when delegated such authority by the cognizant secretarial officer), and implementation of corrective action plans and associated corrective action completion, tracking and reporting. The cognizant line manager is also responsible for initiating action to elevate issues associated with corrective action plan development, implementation, and completion to high authority for resolution when necessary.

Cognizant Secretarial Officer. The Assistant Secretary, NNSA Deputy Administrator, or Director responsible for a bounded set of facilities or a laboratory (e.g., Lawrence Livermore National Laboratory, Idaho Nuclear Technology and Engineering Center (INTEC)) within a field office's jurisdiction. The CSO is responsible for executing program and safety management functions, and for directing and overseeing field elements in safety and health, administrative, management, and technical areas to ensure operations are performed in a safe manner.

Contracting Officer. A DOE official holding the authority to make purchases or contract for goods and services in excess of $25,000. Contracting officers are appointed using Standard Form 1402, following

procedures in DOE O 541.1A, APPOINTMENT OF CONTRACTING OFFICERS AND CONTRACTING OFFICER REPRESENTATIVES, which supersedes DOE 4200.4A. For Headquarters' support contracts, the contracting officer is generally a member of the Office of Management and Administration. [Federal Acquisition Regulation 1.6, Department of Energy Acquisition Regulation 901.6]

Delegation. Written permission granted by a responsible authority to another DOE employee to perform a specific function on behalf of that responsible authority, usually containing guidance towards the manner in which the authority is to be used. By delegation, the responsible authority cannot diminish his or her responsibility for the consequences of the exercise of the authority.

Documented Safety Analysis. A documented analysis of the extent to which a nuclear facility can be operated with respect to workers, the public, and the environment, including a description of the condition, safe boundaries, and hazard controls that provide the basis for ensuring safety. [10CFR 830.3(a)]

Ensure. As used in this Manual, to ensure means that normal supervision is to be employed to confirm to the ensuring organization's satisfaction that a condition is being met or an activity is being properly conducted. The degree of rigor to be employed by the ensuring organization should depend on the history of supervision of the performing organization.

Facility Representative. For each major facility or group of lesser facilities, an individual assigned responsibility by the head of the field element for monitoring the performance of the facility and its operations. [DOE O 5480.19, DOE-STD-1063-2000]

Federal Technical Capabilities Panel. A panel of Senior Technical Safety Managers appointed by the Managers, Directors, Deputy Administrators or Assistant Secretaries of Headquarters, operations and field offices, reporting to the Deputy Secretary. The panel meets at least once per quarter as a working group to discuss and formulate policy concerning the Federal Technical Capability Program.

Field Element. A non-Headquarters DOE organization. Field elements can be area offices, support offices, operations offices, field offices, project offices, or offices located at environmental restoration, construction, or termination sites.

Field Element Manager (FEM). The DOE employee having overall responsibility for a field element.

Function. An action or activity undertaken by a DOE employee in performing or contributing to the performance of work in compliance with component 3 of DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY. This component defines five core functions for integrated safety management, each of which includes several derivative functions which are to be applied with a degree of rigor appropriate to the type of activity and hazards involved.

Hazard. A source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or death to personnel or damage to an operation or to the environment (without regard for the likelihood or credibility of accident scenarios or consequence mitigation).

Hazard Analysis. The determination of material, system, process, and plant characteristics that can produce undesirable consequences, followed by the assessment of hazardous situations associated with a process or activity. Largely qualitative techniques are used to pinpoint weaknesses in design or operation of the facility that could lead to accidents. The safety analysis report hazard analysis examines the complete spectrum of potential accidents that could expose members of the public, on-site workers, facility workers, and the environment to hazardous materials. [DOE-STD-3009-94]

Hazard Classification. Evaluation of the consequences of unmitigated releases, performed to classify facilities or operations into the following hazard categories:

• Category 1: The hazard analysis shows the potential for significant offsite consequences.
• Category 2: The hazard analysis shows the potential for significant on-site consequences.

• Category 3: The hazard analysis shows the potential for only significant localized consequences. [10CFR 830 Appendix A, Subpart B, Table 1]

DOE-STD-1027-92 provides guidance and radiological threshold values for determining the hazard category of a facility. DOE-STD-1027-92 interprets Hazard Category 1 facilities as Category A reactors and other facilities designated as such by the Program Secretarial Officer. [DOE-STD-3009- 94]

Hazard Controls. Measures to eliminate, limit, or mitigate hazards to workers, the public, or the environment, including

(1) Physical, design, structural, and engineering features;
(2) Safety structures, systems, and components;
(3) Safety management programs;
(4) Technical safety requirements; and
(5) Other controls necessary to provide adequate protection from hazards.
[10 CFR 830.3(a)]

Hazards Assessment. A quantitative assessment of hazardous materials at DOE sites, and their potential emergency planning implications. Hazardous materials include any solid, liquid, or gaseous material that is toxic, flammable, radioactive, corrosive, chemically reactive, or unstable upon prolonged storage in quantities that could pose a threat to life, property, or the environment. Oil is not included in this definition of hazardous materials. See Chapter IV of DOE O 151.1A for specific requirements pertaining to Operational Emergency Hazardous Materials Programs. [DOE O 151.1A]

Hazards Survey. A hazards survey (i.e., qualitative examination) is performed to identify the conditions to be addressed by the comprehensive emergency management program at each DOE site. Its purpose is to:
(a) identify (e.g., in matrix or tabular form) the emergency conditions (e.g., fires, work place accidents, natural phenomena, etc.);
(b) describe the potential health, safety, or environmental impacts; and
(c) summarize the planning and preparedness requirements that apply. [DOE O 151.1A]

Head of the Contracting Activity. Head of a Departmental element who has been delegated authority by the Deputy Assistant Secretary for Procurement and Assistance Management or the NNSA Headquarters Procurement Officer to award and administer contracts, sales contracts, and/or financial assistance instruments; appoint contracting officers; and exercise the overall responsibility for managing the contracting activity.

Interface. The interactions between organizations, typically documented in the form of memorandums of understanding, agreement, or delegation of authority. An interface can be between DOE program offices, field elements, or other Federal agencies.

Landlord Activities. At multi program sites, activities such as the maintenance of utilities, roads, fences, fire protection, buildings and support services that are used in common by the individual programs that operate at the site.

Lead Program Secretarial Office (LPSO). The Assistant Secretary, Director, or NNSA Deputy Administrator to whom assigned field offices directly report and who has overall ownership responsibility for those field elements. (See memorandum, T. J. Glauthier to Departmental Elements, "Roles and Responsibilities Guiding Principles," 6-2-00.)

Nuclear Facility. Nuclear facility means reactor and nonreactor nuclear facilities. Any apparatus that is designed or used to sustain nuclear chain reactions in a controlled manner, including critical and pulsed assemblies and research, test, and power reactors is defined as a reactor. Nonreactor nuclear facility means those facilities, activities or operations that involve radioactive and/or fissionable materials in such form and quantity that a nuclear hazard potentially exists to the employees, the general public or the environment. [10 CFR 830.3]

Office of Primary Interest. The office most involved in the activity under consideration. Most DOE initiatives will affect many offices; that office being most affected and assuming a dominant role in the initiative is the Office of Primary Interest.

Oversight. The responsibility and authority assigned to the Director of the Office of Independent Oversight and Performance Assurance to independently assess the adequacy of DOE and contractor safety performance, emergency management activities, and security. Oversight is separate and distinct from line management activities, including self-assessments.

Program Office. See Program Secretarial Office.

Program Secretarial Office (PSO) (used for both office and officer leading that office). As used in this document, a program office is a DOE first-tier organization responsible for one or more of the Department's congressionally established missions. These offices report to the Assistant Secretaries of Energy Efficiency and Renewable Energy; Environmental Management; and Fossil Energy, the Offices of Civilian Radioactive Waste Management; Science; and Nuclear Energy, Science and Technology; and the Deputy Administrators, NNSA. Some secretarial offices commonly refer to their component organizations that are responsible for specific program elements as program offices.

Responsibility. The state of being liable for the outcome of the exercise of an authority granted by law, regulation, or directive.

Safety Basis. The combination of information relating to the control of hazards at a facility (including design, engineering analyses, and administrative control) upon which DOE depends for its conclusion that activities at the facility can be conducted safely.

Safety Documentation. Reports, memorandums, and other signed and dated documents that identify the hazards of a process or facility and describe measures for their control.

Safety Management Function. An activity that may affect the safety and health of workers or the public or the protection of the environment. [DOE P 450.4]

Safety Management Systems. Safety Management Systems provide a formal, organized process whereby people plan, perform, assess, and improve the safe conduct of work. The Safety Management System is institutionalized through DOE directives and contracts to establish the Department-wide safety management objective, guiding principles, and functions. The safety management system consists of six components: 1) the objective, 2) guiding principles, 3) core functions, 4) mechanisms, 5) responsibilities, and 6) implementation. These are explained in detail in DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, and their implementation is outlined in the associated guides.

Secretarial Officer. The head of a first-tier organization; a DOE Headquarters employee reporting directly to the Secretary, the Deputy Secretary, or the Under Secretaries for NNSA and for Energy, Science, and Environment. This title is used throughout this document to include support, staff and program officers.

Support Office. A DOE organization that provides administrative, legal, technical, independent oversight, policy, or standards support to program offices for safety management functions. Headquarters support offices include those that report to the Assistant Secretary for Environment, Safety and Health; the Office of Management Budget and Evaluation; and the Office of General Counsel.

Appendix C: Memoranda Signed by the Assistant Secretary that Delegate Safety Management Functions, Responsibilities, and Authorities from EM Headquarters to the Field

Department of Energy
Washington, DC 20585

December 19, 2003

MEMORANDUM FOR MARVIN E. GUNN
MANAGER
CHICAGO OPERATIONS OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

Designated authorities assigned through Department of Energy (DOE) Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual. Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. These delegations of authority are authorized for the next six months. In order for these authorities to be extended, you must complete the EM qualification course for contract management. We plan to provide this course on January 28, 2004, to all field managers. The authorities listed on the attachment will expire on June 30, 2004. If you have any questions, please contact Paul Golan at (202) 586-7709.

cc:
Robert G. Card, S-3
P. Golan, EM-3

Attachment

Printed with soy ink on recycled paper

Delegation of Authority for Marvin E. Gunn
Manager, Chicago Operations Office

A. Safety Review and Licensing

1. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph).

2. DOE M 411.1-1B, CSO Duties:

   9.3.1.: For hazard category 2 and 3 nuclear facilities: Approve the methodology used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   9.3.2.a. and b.: Approve final hazard categorization for category 2 and 3 nuclear facilities.

   9.4.1.2.a. and b.: For hazard category 2 (and below) facilities approve the authorization agreement, contract ES & H requirements, safety documentation and authorization basis.

   9.4.1.6.a.: Approve Radiation Protection Programs (RPPs).

   9.4.1.6. b. and c.: For hazard category 2 and 3 nuclear facilities approve USQ procedures and DSAs and preliminary DSAs, including nuclear safety criteria, where required by 10 CFR 830.206.

   9.4.2.2.a. and b.: Approve Technical Safety Requirements (TSRs) and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities and non-nuclear facilities.

   9.4.3.2.a., b., c., and d.: For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

   9.4.3.3.: Ensure systems are in place for development and implementation and maintenance of authorization protocols.

   9.4.4.b.: Monitor the contractor processes for USQs and approve changes and operations when a USQ is determined to exist.

   9.5.3.c.: Review and approve contractor Quality Assurance Programs (QAP) for all EM programs and projects. This includes requirements under DOE O 414.1A, 5.b.(4). and 5.e.(2). and 10 CFR 830.121.

3. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager with approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. Project Management

1. DOE O 413.3, 5.c.(5). and DOE M 413.3-1, 3.2.3.: Delegation of Acquisition Executive (AE) for all EM projects (except MS projects) less than $3M (this does not include authority to approve Mission Need Statements or Acquisition Strategy Documents, or to make CD-0 decisions).

C. Environmental Documents

1. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.

2. Execute the Federal Facility Agreement (FFA) on behalf of DOE.

3. Approve FFA execution documents for submission to EPA/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,
   (4) Remedial Design/Remedial Action,
   (5) Corrective Measures Implementation Plans,
   (6) Remedial Investigation/Feasibility Study,
   (7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
   (8) RCRA Facility Investigation/Corrective Measures Study Reports,
   (9) Risk Assessments, and
   (10) Initial Screening of Alternatives.

Delegation of Authority Approved: _____ 12/19/03
Jessie Hill Roberson
Assistant Secretary for
Environmental Management
Date

Expiration Date: June 30, 2004

Department of Energy
Washington, DC 20585
December 16, 2003

MEMORANDUM FOR GERALD G. BOYD
MANAGER
OAK RIDGE OPERATIONS OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

Designated authorities assigned through Department of Energy (DOE) Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual. Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. These delegations of authority are authorized for the next six months. In order for these authorities to be extended, you must complete the EM qualification course for contract management. We plan to provide this course on January 28, 2004, to all field managers. The authorities listed on the attachment will expire on June 30, 2004. If you have any questions, please contact Paul Golan at (202) 586-7709.

cc:
Robert G. Card, S-3
P. Golan, EM-3

Attachment

Printed with soy ink on recycled paper

Delegation of Authority for Gerald G. Boyd
Manager, Oak Ridge Operations Office

A. Safety Review and Licensing

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph).

3. DOE M 411.1-1B, CSO Duties:

   9.4.1.6.a.: Approve Radiation Protection Programs (RPPs).

   9.4.3.2.a., b., c., and d.: For radiological, low hazard, non-nuclear and other industrial facilities, establish and approve the safety and authorization basis in accordance with 10 CFR Part 830 (In cases where DOE elects to approve specific documents due to unique situation or hazard instead of contractor approval).

   9.4.4.b.: Monitor the contractor processes for USQs and approve changes and operations when a USQ is determined to exist (limited to changes involving the unreviewed change determination process in facilities categorized below hazard category 3).

   9.5.3.c.: Review and approve contractor Quality Assurance Programs (QAP) for all EM programs and projects. This includes requirements under DOE O 414.1A, 5.b.(4). and 5.e.(2). and 10 CFR 830.121.

4. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager with approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. Environmental Documents

1. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.

2. Execute the Federal Facility Agreement (FFA) on behalf of DOE.

3. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:

   (1) Statement of Basis/Proposed Plans,
   (2) Explanation of Significant Differences, and
   (3) Records of Decision (RODs).

4. Approve FFA execution documents for submission to EPA/State on behalf of DOE:

   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,
   (4) Remedial Design/Remedial Action,
   (5) Corrective Measures Implementation Plans,
   (6) Remedial Investigation/Feasibility Study,
   (7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
   (8) RCRA Facility Investigation/Corrective Measures Study Reports,
   (9) Risk Assessments, and
   (10) Initial Screening of Alternatives.

5. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

6. Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: Jessie Roberson 12/16/03

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Expiration Date: June 30, 2004

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR JEFFREY M. ALLISON
MANAGER
SAVANNAH RIVER OPERATIONS OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C.). During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 16, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on December 31, 2004.

Printed with soy ink on recycled paper

In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Jeffrey M. Allison
Manager, Savannah River Operations Office

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(3).(a).: Startup authority for a new hazard category 3 nuclear facility.

   4.a.(3).(c). and (d).: Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification.

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.
3. Title 10 CFR 830:

   Subpart B 830.204 (a). For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   Subpart B 830.202 (b) (3) and App A F.3. Approve final hazard categorization for category 2 and 3 nuclear facilities.

   Subpart B 830.203 (b) and (c). For hazard category 2 and 3 nuclear facilities approve USQ procedures and processes of the contractor.

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart B 830.206 (b) (1) and (2). For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required

   Subpart B 830.207 (b) and (d). For hazard category 2 and 3 nuclear facilities approve the Documented Safety Analysis reports (DSAs) and revisions thereto.

Subpart B 830.205(a) (2). Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities.

Subpart B 830.202 (a) and (b) and Subpart B Appendix A E. 2. For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DOE M 411.1-1C, Table 6.: For hazard category 2 (and below) facilities review and approve the authorization agreement.

5. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

6. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

7. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. <u>Project Management</u>

1. DOE O 413.3, 5.c.(5). and DOE M 413.3-1, 3.2.3.: Delegation of Acquisition Executive (AE) for all EM projects (except MS projects) less than $100M (this does not include authority to approve Mission Need Statements or Acquisition Strategy Documents, or to make CD-0 decisions).

C. <u>Environmental Documents</u>

1. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:
   (1) Statement of Basis/Proposed Plans,
   (2) Explanation of Significant Differences, and
   (3) Records of Decision (RODs).

Jeffrey M. Allison

2. Approve FFA execution documents for submission to EPA/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,
   (4) Remedial Design/Remedial Action,
   (5) Corrective Measures Implementation Plans,
   (6) Remedial Investigation/Feasibility Study,
   (7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
   (8) RCRA Facility Investigation/Corrective Measures Study Reports,
   (9) Risk Assessments, and
   (10) Initial Screening of Alternatives.

3. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

4. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: Jessie Hill Roberson — 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management
Date

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for Jeffrey M. Allison
Manager, Savannah River Operations Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

   Subpart B 830.207 (b) and (d), Appendix A I .1. Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.
4. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.
5. Execute the Federal Facility Agreement (FFA) on behalf of DOE.
6. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: _____ 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR FRAZER R. LOCKHART
MANAGER
ROCKY FLATS FIELD OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C. During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 16, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

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Printed with soy ink on recycled paper

In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Frazer R. Lockhart
Manager, Rocky Flats Field Office

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(3).(a).: Startup authority for a new hazard category 3 nuclear facility.

   4.a.(3).(c). and (d).: Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification.

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.

3. Title 10 CFR 830:

   Subpart B 830.204 (a). For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   Subpart B 830.202 (b) (3) and App A F.3. Approve final hazard categorization for category 2 and 3 nuclear facilities.

   Subpart B 830.203 (b) and (c). For hazard category 2 and 3 nuclear facilities approve USQ procedures and processes of the contractor.

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart B 830.206 (b) (1) and (2). For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required

Subpart B 830.207 (b) and (d). For hazard category 2 and 3 nuclear facilities approve the Documented Safety Analysis reports (DSAs) and revisions thereto.

Subpart B 830.205(a) (2). Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities.

Subpart B 830.202 (a) and (b) and Subpart B Appendix A E. 2. For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DOE M 411.1-1C, Table 6.: For hazard category 2 (and below) facilities review and approve the authorization agreement.

5. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

6. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

7. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. <u>Environmental Documents</u>

1. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:
   (1) Statement of Basis/Proposed Plans,
   (2) Explanation of Significant Differences, and
   (3) Records of Decision (RODs).

2. Approve FFA execution documents for submission to EPA/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,

(3) Engineering Evaluation/Cost Analysis,
(4) Remedial Design/Remedial Action,
(5) Corrective Measures Implementation Plans,
(6) Remedial Investigation/Feasibility Study,
(7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
(8) RCRA Facility Investigation/Corrective Measures Study Reports,
(9) Risk Assessments, and
(10) Initial Screening of Alternatives.

3. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

4. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: Jessie Hill Roberson — 5/4/04 (Date)
Assistant Secretary for
Environmental Management

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for Frazer R. Lockhart
Manager, Rocky Flats Field Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

   Subpart B 830.207 (b) and (d), Appendix A I .1. Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.

4. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.

5. Execute the Federal Facility Agreement (FFA) on behalf of DOE.

6. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: _____ 5/4/04
Jessie Hill Roberson — Date
Assistant Secretary for
Environmental Management

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR ROBERT F. WARTHER
MANAGER
OHIO FIELD OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C. During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 16, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on December 31, 2004.

Printed with soy ink on recycled paper

In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Robert F. Warther
Manager, Ohio Field Office

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(3).(a).: Startup authority for a new hazard category 3 nuclear facility.

   4.a.(3).(c). and (d).: Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification.

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.

3. Title 10 CFR 830:

   Subpart B 830.204 (a). For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   Subpart B 830.202 (b) (3) and App A F.3. Approve final hazard categorization for category 2 and 3 nuclear facilities.

   Subpart B 830.203 (b) and (c). For hazard category 2 and 3 nuclear facilities approve USQ procedures and processes of the contractor.

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart B 830.206 (b) (1) and (2). For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required

Subpart B 830.207 (b) and (d). For hazard category 2 and 3 nuclear facilities approve the Documented Safety Analysis reports (DSAs) and revisions thereto.

Subpart B 830.205(a) (2). Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities.

Subpart B 830.202 (a) and (b) and Subpart B Appendix A E. 2. For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

Subpart A 830.121(b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DOE M 411.1-1C, Table 6.: For hazard category 2 (and below) facilities review and approve the authorization agreement.

5. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

6. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

7. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. <u>Environmental Documents</u>

1. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:
   (1) Statement of Basis/Proposed Plans,
   (2) Explanation of Significant Differences, and
   (3) Records of Decision (RODs).

2. Approve FFA execution documents for submission to EPA/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,

(4) Remedial Design/Remedial Action,
(5) Corrective Measures Implementation Plans,
(6) Remedial Investigation/Feasibility Study,
(7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
(8) RCRA Facility Investigation/Corrective Measures Study Reports,
(9) Risk Assessments, and
(10) Initial Screening of Alternatives.

3. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

4. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: Jessie Hill Roberson
Assistant Secretary for
Environmental Management

5/4/04
Date

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for Robert F. Warther
Manager, Ohio Field Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

   Subpart B 830.207 (b) and (d), Appendix A I .1. Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.

4. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.

5. Execute the Federal Facility Agreement (FFA) on behalf of DOE.

6. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: _____ 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management
Date

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR ROY J SCHEPENS
MANAGER
OFFICE OF RIVER PROTECTION

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C. During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 16, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback <u>before</u> you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on December 31, 2004.

Printed with soy ink on recycled paper

In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Roy J. Schepens
Manager, Office of River Protection

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(3).(a).: Startup authority for a new hazard category 3 nuclear facility.

   4.a.(3).(c). and (d).: Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification.

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.

3. Title 10 CFR 830:

   Subpart B 830.204 (a). For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   Subpart B 830.202 (b) (3) and App A F.3. Approve final hazard categorization for category 2 and 3 nuclear facilities.

   Subpart B 830.203 (b) and (c). For hazard category 2 and 3 nuclear facilities approve USQ procedures and processes of the contractor.

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart B 830.206 (b) (1) and (2). For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required

   Subpart B 830.207 (b) and (d). For hazard category 2 and 3 nuclear facilities approve the Documented Safety Analysis reports (DSAs) and revisions thereto.

Subpart B 830.205(a) (2). Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities.

Subpart B 830.202 (a) and (b) and Subpart B Appendix A E. 2. For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DOE M 411.1-1C, Table 6.: For hazard category 2 (and below) facilities review and approve the authorization agreement.

5. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

6. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

7. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. <u>Project Management</u>

1. DOE O 413.3, 5.c.(5). and DOE M 413.3-1, 3.2.3.: Delegation of Acquisition Executive (AE) for all EM projects (except MS projects) less than $100M (this does not include authority to approve Mission Need Statements or Acquisition Strategy Documents, or to make CD-0 decisions).

C. <u>Environmental Documents</u>

1. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:
   (1) Statement of Basis/Proposed Plans,
   (2) Explanation of Significant Differences, and
   (3) Records of Decision (RODs).

Roy J. Schepens

2. Approve FFA execution documents for submission to EPA/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,
   (4) Remedial Design/Remedial Action,
   (5) Corrective Measures Implementation Plans,
   (6) Remedial Investigation/Feasibility Study,
   (7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
   (8) RCRA Facility Investigation/Corrective Measures Study Reports,
   (9) Risk Assessments, and
   (10) Initial Screening of Alternatives.

3. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

4. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: Jessie Hill Roberson — 5/4/04

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for Roy J. Schepens
Manager, Office of River Protection

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

   Subpart B 830.207 (b) and (d), Appendix A I .1. Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.

4. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.

5. Execute the Federal Facility Agreement (FFA) on behalf of DOE.

6. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: _____ 5/4/04

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR ELIZABETH D.SELLERS
MANAGER
IDAHO OPERATIONS OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C. During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 19, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on December 31, 2004.

Printed with soy ink on recycled paper

In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D, Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Elizabeth D. Sellers
Manager, Idaho Operations Office

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(3).(a).: Startup authority for a new hazard category 3 nuclear facility.

   4.a.(3).(c). and (d).: Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification.

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.

3. Title 10 CFR 830:

   Subpart B 830.204 (a). For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   Subpart B 830.202 (b) (3) and App A F.3. Approve final hazard categorization for category 2 and 3 nuclear facilities.

   Subpart B 830.203 (b) and (c). For hazard category 2 and 3 nuclear facilities approve USQ procedures and processes of the contractor.

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart B 830.206 (b) (1) and (2). For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required

   Subpart B 830.207 (b) and (d). For hazard category 2 and 3 nuclear facilities approve the Documented Safety Analysis reports (DSAs) and revisions thereto.

Subpart B 830.205(a) (2). Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities.

Subpart B 830.202 (a) and (b) and Subpart B Appendix A E. 2. For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DOE M 411.1-1C, Table 6.: For hazard category 2 (and below) facilities review and approve the authorization agreement.

5. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

6. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

7. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. <u>Project Management</u>

1. DOE O 413.3, 5.c.(5). and DOE M 413.3-1, 3.2.3.: Delegation of Acquisition Executive (AE) for all EM projects (except MS projects) less than $100M (this does not include authority to approve Mission Need Statements or Acquisition Strategy Documents, or to make CD-0 decisions).

Delegation of Authority Approved: Jessie Hill Roberson — 5/4/04 Date

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for Elizabeth D. Sellers
Manager, Idaho Operations Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

   Subpart B 830.207 (b) and (d), Appendix A I .1. Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.

4. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: Jessie Hill Roberson — 5/4/04

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR RALPH P. DETWILER
ACTING MANAGER
CARLSBAD FIELD OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

EM HQ has recently updated its Functions, Responsibilities, and Authorities Manual (FRAM) to be consistent with the revised DOE FRAM (DOE M 411.1-1C). During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated February 23, 2004.

Designated authorities assigned through Department of Energy (DOE) Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback before you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on June 30, 2004. In order for these authorities to be extended, you must complete the EM qualification course for contract management.

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In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Ralph P. Detwiler
Acting Manager, Carlsbad Field Office

A. Safety Review and Licensing

1. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.
2. Title 10 CFR 830:

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

3. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

4. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. Environmental Documents

1. Approve FFA execution documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,
   (4) Remedial Design/Remedial Action,
   (5) Corrective Measures Implementation Plans,
   (6) Remedial Investigation/Feasibility Study,
   (7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
   (8) RCRA Facility Investigation/Corrective Measures Study Reports,
   (9) Risk Assessments, and
   (10) Initial Screening of Alternatives.

Ralph P. Detwiler

2. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: _____ 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management
Date

Expiration Date: June 30, 2004

Attachment 2

Assignment of Requirements for Ralph P. Detwiler
Acting Manager, Carlsbad Field Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.

4. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: Jessie Roberson 5/4/04

Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Department of Energy
Washington, DC 20585

MAY 0 4 2004

MEMORANDUM FOR WILLIAM E. MURPHIE
MANAGER
PORTSMOUTH/PADUCAH PROJECT OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C. During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 16, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback <u>before</u> you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on December 31, 2004.

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In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for William E. Murphie
Manager, Portsmouth/Paducah Project Office

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.

3. Title 10 CFR 830:

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

5. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

6. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. Project Management

1. DOE O 413.3, 5.c.(5). and DOE M 413.3-1, 3.2.3.: Delegation of Acquisition Executive (AE) for all EM projects (except MS projects) less than $100M (this does not include authority to approve Mission Need Statements or Acquisition Strategy Documents, or to make CD-0 decisions).

C. Environmental Documents

1. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:

(1) Statement of Basis/Proposed Plans,
(2) Explanation of Significant Differences, and
(3) Records of Decision (RODs).

2. Approve FFA execution documents for submission to EPA/State on behalf of DOE:

(1) Preliminary Assessment/Site Investigation,
(2) RCRA Facility Assessment Report,
(3) Engineering Evaluation/Cost Analysis,
(4) Remedial Design/Remedial Action,
(5) Corrective Measures Implementation Plans,
(6) Remedial Investigation/Feasibility Study,
(7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
(8) RCRA Facility Investigation/Corrective Measures Study Reports,
(9) Risk Assessments, and
(10) Initial Screening of Alternatives.

3. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

4. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: _____ 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management
Date

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for William E. Murphie
Manager, Portsmouth/Paducah Project Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.
4. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.
5. Execute the Federal Facility Agreement (FFA) on behalf of DOE.
6. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: _____ 5/4/04
Jessie Hill Roberson — Date
Assistant Secretary for
Environmental Management

Department of Energy
Washington, DC 20585

MAY 0 5 2004

MEMORANDUM FOR KEITH A. KLEIN
MANAGER
RICHLAND OPERATIONS OFFICE

FROM: JESSIE HILL ROBERSON
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Authority

The Office of Environmental Management Headquarters (EM HQ) has recently updated its Functions, Responsibilities, and Authorities (FRA) Document to be consistent with the revised Department of Energy (DOE) Functions, Responsibilities, and Authorities Manual (FRAM), which is DOE M 411.1-1C. During this process, changes were determined to be applicable for delegation or assignment to you as a Field Element Manager (FEM). This memorandum serves as an update to that delegation of authority, as well as an assignment of specific requirements to you, and supercedes those delegated by my memorandum dated December 19, 2003.

Designated authorities assigned through DOE Orders are established to ensure objective and consistent decision making by appropriate levels of line management. While I can delegate certain of these assigned authorities for you to act on my behalf, I cannot delegate my accountability for those actions you take or decisions you make. There is a difference between carrying out the responsibility to review and evaluate information to support a decision and accountability for actually making a decision. While the former can represent a whole host of views and positions, the decisions and associated actions must be consistent with the policy and goals of this organization. When in question, I encourage you to seek feedback <u>before</u> you take action or make a decision.

This memorandum delegates the Environmental Management (EM) specific authorities listed on the attachment to a named individual (Attachment 1). Unless otherwise specified, none of these may be re-delegated below the Deputy Manager without my prior approval. I am willing to consider further delegations based upon review of a specific delegation plan that describes how each authority or like authorities can be carried out while maintaining intended objectivity and consistency with EM program and DOE policies and goals. The authorities listed in Attachment 1 will expire on December 31, 2004.

Printed with soy ink on recycled paper

In addition to these delegated authorities, Attachment 2 contains specific requirements from DOE Orders and the Code of Federal Regulations, as well as Environmental requirements that I am assigning to you for implementation. If you have any questions, please call Patrice Bubar, Deputy Assistant Secretary for Integrated Safety Management and Operations Oversight, at (202) 586-5151.

Attachments

cc:
D. Garman, S-3
P. Golan, EM-2
I. Triay, EM-3
P. Bubar, EM-3.2

Attachment 1

Delegation of Authority for Keith A. Klein
Manager, Richland Operations Office

A. Safety Review and Licensing

1. DOE O 425.1C:

   4.a.(3).(a).: Startup authority for a new hazard category 3 nuclear facility.

   4.a.(3).(c). and (d).: Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification, with the exception of the activities associated with K-Basin sludges.

   4.a.(4).(b).: Approve Startup Notification Reports if you are the startup authority; otherwise, make recommendation regarding approval.

2. DOE O 420.1A, 5.d.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (this does not include the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order.

3. Title 10 CFR 830:

   Subpart B 830.204 (a). For hazard category 2 and 3 nuclear facilities: Approve the methodology, with EH concurrence, used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.

   Subpart B 830.202 (b) (3) and App A F.3. Approve final hazard categorization for category 2 and 3 nuclear facilities.

   Subpart B 830.203 (b) and (c). For hazard category 2 and 3 nuclear facilities approve USQ procedures and processes of the contractor.

   Subpart B 830.203 (e). Approve changes determined to involve a USQ prior to implementation, and approve continued operations when a USQ is determined to exist.

   Subpart B 830.206 (b) (1) and (2). For hazard category 2 and 3 nuclear facilities approve the preliminary DSAs, including nuclear safety criteria where required

   Subpart B 830.207 (b) and (d). For hazard category 2 and 3 nuclear facilities approve the Documented Safety Analysis reports (DSAs) and revisions thereto.

Subpart B 830.205(a) (2). Approve Technical Safety Requirements (TSRs), and revisions thereto, and other hazards controls for hazard category 2 and 3 (and below) nuclear facilities.

Subpart B 830.202 (a) and (b) and Subpart B Appendix A E. 2. For hazard category 2 and 3 (and below) nuclear facilities establish and approve the safety and authorization basis in accordance with 10 CFR Part 830.

Subpart A 830.121 (b) (1), (2) and (3). Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1B, 5.b.(5) and (6). Review and approve annual updates.

4. DOE M 411.1-1C, Table 6.: For hazard category 2 (and below) facilities review and approve the authorization agreement.

5. DEAR Clause 970.5204-2.: Approve the contract ES & H requirements.

6. Title 10 CFR 835 Subpart B 835.101 (a) and (b).: Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

7. DOE O 231.1A, 5.c.(3).(a)., and DOE M 231.1-2, 4.2.a.: Designation as Program Manager which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.

B. <u>Project Management</u>

1. DOE O 413.3, 5.c.(5). and DOE M 413.3-1, 3.2.3.: Delegation of Acquisition Executive (AE) for all EM projects (except MS projects) less than $100M (this does not include authority to approve Mission Need Statements or Acquisition Strategy Documents, or to make CD-0 decisions).

C. <u>Environmental Documents</u>

1. Approve FFA decision documents for submission to Environmental Protection Agency (EPA)/State on behalf of DOE to include:
   (1) Statement of Basis/Proposed Plans,
   (2) Explanation of Significant Differences, and
   (3) Records of Decision (RODs).

Keith A. Klein

2. Approve FFA execution documents for submission to EPA/State on behalf of DOE:
   (1) Preliminary Assessment/Site Investigation,
   (2) RCRA Facility Assessment Report,
   (3) Engineering Evaluation/Cost Analysis,
   (4) Remedial Design/Remedial Action,
   (5) Corrective Measures Implementation Plans,
   (6) Remedial Investigation/Feasibility Study,
   (7) RCRA Facility Investigation/Corrective Measures Study Work Plans,
   (8) RCRA Facility Investigation/Corrective Measures Study Reports,
   (9) Risk Assessments, and
   (10) Initial Screening of Alternatives.

3. Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders, environmental permits and compliance documents) on behalf of DOE.

4. Approve Resource Conservation and Recovery Act (RCRA) closure/post-closure plans, corrective action permits/orders, and RCRA operating permits.

Delegation of Authority Approved: Jessie Hill Roberson 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management
Date

Expiration Date: December 31, 2004

Attachment 2

Assignment of Requirements for Keith A. Klein
Manager, Richland Operations Office

1. DOE Order 440.1A, 5.a.(1)., (2)., (3).: Authority for Worker Protection Program functions.
2. Title 10 CFR 830:

   Subpart B 830.202 (c) (2). Ensure updated DSAs are submitted annually. If no changes occur to the DSA, ensure a letter is submitted stating so.

   Subpart B Appendix A I .1. Prepare a safety evaluation report concerning the safety basis of the facility.

   Subpart B 830.207 (b) and (d), Appendix A I .1. Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

3. DOE M 231.1-2, 4.2.e.: Ensure training programs are established for both DOE and contractor personnel.

4. Execute the Federal Facility Compliance Act (FFCAct) Site Treatment Plan and Consent Order on behalf of DOE.

5. Execute the Federal Facility Agreement (FFA) on behalf of DOE.

6. Develop and submit negotiation strategy to EM-2 for new cleanup agreements or significant modifications to existing agreements.

Assignment of Requirements Approved: _____ 5/4/04
Jessie Hill Roberson
Assistant Secretary for
Environmental Management

Date

Appendix D: Reserved

Appendix E: Presentation and Discussion of EM FRA Changes

These will be included as changes are made to the EM FRA, Revision 3 and subsequent revisions.

Revision 3 is a result of a major reorganization within EM, re-issuance of the DOE FRAM (DOE M 411.1-1C), and major changes and revision to safety related DOE Orders.