

**OAK
RIDGE
OFFICE
MANUAL**

**OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES,
AND AUTHORITIES**

September 5, 2007



TABLE OF CONTENTS

TABLE OF CONTENTS.....	i
LIST OF ACRONYMS	ii
1. INTRODUCTION	5
2. PURPOSE.....	6
3. OBJECTIVES	6
4. SCOPE.....	6
5. ORGANIZATION DESCRIPTION	7
6. DELEGATION OF AUTHORITY.....	8
7. INTERFACES	8
8. CHANGE CONTROL.....	8
9. FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES	9
TABLE 1: <i>OAK RIDGE OFFICE – LEVEL III FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL</i>	10

LIST OF ACRONYMS

ALARA	As Low As Reasonably Achievable
AMA	Assistant Manager for Administration
AMEM	Assistant Manager for Environmental Management
AMESH	Assistant Manager for Environment, Safety, and Health
AMFM	Assistant Manager for Financial Management
AMNFS	Assistant Manager for Nuclear Fuel Supply
AMS	Assistant Manager for Science
AMSEM	Assistant Manager for Security and Emergency Management
CAP	Corrective Action Plan
CC	Office of Chief Counsel
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
COR	Contracting Officer's Representative
DEAR	Department of Energy Acquisition Regulation
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DP/ECM	Office of Diversity Programs and Employee Concerns Program
DSA	Documented Safety Analyses
EMS	Environmental Management Systems
EO	Executive Orders
ES&H	Environment, Safety, and Health
ETTP	East Tennessee Technology Park
FEOSH	Federal Employee Occupational Safety and Health
FOCI	Foreign Ownership, Control, and Influence
FRA	Functions, Responsibilities, and Authorities
FRAM	Functions, Responsibilities, and Authorities Manual
GSA	General Services Administration
HQ	Headquarters
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
MIP	Maintenance Implementation Plan
MOU	Memorandum of Understanding
MSD	Management System Description
NEPA	National Environmental Policy Act
NESHAP	National Emission Standards for Hazardous Air Pollutants
NNSA	National Nuclear Security Administration
NPH	Natural Phenomena Hazards
NRC	Nuclear Regulatory Commission
OMB	Office of Management and Budget
OPPD	Office of Partnerships and Program Development
ORO	Oak Ridge Office
ORR	Oak Ridge Reservation
OSHA	Occupational Safety and Health Administration
PAO	Public Affairs Office
PSO	Program Secretarial Officer
QA	Quality Assurance

RPP	Radiation Protection Program
SBIS	Safety Basis Information System
SC	Office of Science
SQA	Software Quality Assurance
TSAR	Transportation Safety Analysis Report
TSR	Technical Safety Requirements
USEC	United States Enrichment Corporation
USQ	Unreviewed Safety Question
YSO	Y-12 Site Office

1. INTRODUCTION.

ORO is committed to conducting work safely and efficiently and to the Secretary of Energy's goal of an Integrated Safety Management System (ISMS). The Secretary of Energy (the Secretary) has the primary responsibility for ensuring that work at Department of Energy (DOE or the Department) facilities and sites is performed in a manner that adequately protects the worker, the public, and the environment. This responsibility flows from the Secretary through line management to the individuals performing the work. The Oak Ridge Office (ORO) Manager is ultimately responsible and accountable for ensuring the safety of operations for all ORO activities. The goal of performing work safely is reflected in the guiding principles and core management functions established in DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, dated October 15, 1996, and is codified in the DOE Acquisition Regulations (DEAR), found at Title 48 of the Code of Federal Regulations (CFR), §§ 970.5204-2 and 970.5223-1 (48 CFR 970.5204-2 and 970.5223-1). These guiding principles include the following:

- a. Line management¹ is responsible for protection of employees, the public and the environment;
- b. DOE and its contractors must clearly define and maintain the lines of responsibility for ensuring protection of environment, safety, and health (ES&H) at all organizational levels.

This Manual addresses both of these guiding principles for ORO by documenting ORO management functions, responsibilities, and authorities (FRA) relating to safety management. This document, in partnership with ORO MANAGEMENT SYSTEM DESCRIPTION (MSD), and OAK RIDGE OFFICE ORGANIZATION MANUAL, delineates the ORO ES&H FRA. The term "safety management" for purposes of this Manual refers to those DOE functions and responsibilities that pertain to and govern the safety² of operations and activities at DOE sites and facilities.

DOE and contractor employees performing work for ORO must comply with applicable Federal, state, and local laws and regulations. ORO establishes standards and requirements as direction to DOE employees when necessary to ensure that the work will meet the DOE's expectations and objectives. Specific responsibilities and authorities are designated through the ORO System. This system, together with the guiding principles and core management functions established in DOE P 450.4, facilitates the integration of sound safety and selected administrative practices into day-to-day operations.

DOE's established policy is to incorporate Environmental Management Systems (EMS) into all phases of work performed by the Federal and contractor workforces by integrating its requirements into the ISMS process in keeping with DOE O 450.1, ENVIRONMENTAL PROTECTION PROGRAM.

1 DOE line management refers to the Department organization that is responsible for safe operation of a facility, site, or function and has linear reporting relationship extending from the Secretary to the people in the facilities directly performing the Department's missions.

2 For the purposes of this Manual, the term "safety" encompasses "environment, safety, and health" functions to the extent that those functions relate to the safe management of DOE facilities or activities. This Manual does not address security and emergency management, nor does it address worker compensation.

2. PURPOSE.

The DOE FRA program consists of the following:

- A corporate level (Level I) manual, DOE M 411.1-1C, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, (FRAM) that contains broad statements regarding DOE's responsibilities associated with ISMS and EMS functions and which addresses implementation issues.
- Secretarial office (Level II FRAM) and field element manuals (Level III FRAM) that contain statements regarding DOE's responsibilities associated with the ISMS, EMS, and Quality Assurance (QA) program mechanisms.
- Where appropriate, ORO further delineates the responsibilities for the field element identified in DOE Directives and delegations of authority from Department of Energy Headquarters (DOE-HQ) Program Secretarial Offices. The ORO FRAM (Level III FRAM) contains statements regarding ORO's responsibilities associated with the ISMS, EMS, and QA program mechanisms.

ORO's FRAM strategy is to capture safety management responsibilities and authorities consistent with program funding and work authority. The scope of ORO's activities is quite diverse, including direction of operations at sites in several states and a range of missions. This ORO FRAM aligns with DOE's and the Office of Science's (SC) FRAM, which consolidates multi-program activities under one set of line and support management roles and responsibilities. It also references the respective DOE and ORO Directives, documents and program interface agreements/understandings. The attachment contained herein is effective on the date of publication of the ORO FRAM. Under the ORO Office of the Manager, principal programs include SC, Environmental Management and Nuclear Energy. In this document, all references to the "Office of the Manager" refer to two management positions, including the Manager and the Deputy Manager.

3. OBJECTIVES.

As an integral part of the overall ORO ISMS, EMS and QA programs, this FRAM:

- Documents FRAs for ORO personnel;
- Documents safety delegations of authority from DOE-HQ to ORO line management, where those delegations have been made separate from DOE directive responsibility statements;
- Defines interfaces between support organizations and line management.

4. SCOPE.

This Manual describes safety management FRA for ORO organizations. This Manual addresses the safety management FRA for planning, funding, performing, assessing, improving and enforcing the requirements. This includes the establishment of standards and activities applicable to the work for which the Office of the Manager is responsible.

5. ORGANIZATION DESCRIPTION.

The ORO mission is to lead, implement and improve field activities in the DOE core business areas of energy resources, science and technology, national security, and environmental management such that these activities are technically and environmentally sound, safe, and cost effective. To accomplish the mission, the following (nonexclusive) list is representative of some of ORO's activities:

- a. Research and development in neutron science, energy, biological and environmental systems, high performance computing, materials science and national security;
- b. Environmental cleanup throughout the Oak Ridge Reservation (ORR);
- c. Administration of lease agreements between the DOE and the United States Enrichment Corporation (USEC) and USEC Inc. for management and operation of uranium enrichment facilities and execution of a nuclear safety regulatory oversight agreement;
- d. Construction and maintenance of all facilities in support of assigned programs;
- e. Education and training in support of DOE programs for public, vocational, professional and technical groups;
- f. The reindustrialization of the East Tennessee Technology Park (ETTP, formerly known as the K-25 Site) as a means to accelerate environmental cleanup;
- g. Support to other DOE sites;
- h. Other programs as assigned.

DOE line management and oversight responsibilities are assigned by the Office of the Manager through the Assistant Managers to the Division Directors, Facility Managers, Regulatory Oversight Manager, and/or Contracting Officers' Representatives (CORs), with assistance from the ORO Principal Staff in support offices listed below.

Line Organizations:

- Office of Assistant Manager for Environmental Management (AMEM)
- Office of Assistant Manager for Science (AMS)
- Office of Assistant Manager for Nuclear Fuel Supply (AMNFS)
- Office of Assistant Manager for Administration (AMA)
- Office of Assistant Manager for Security and Emergency Management (AMSEM)

Support Organizations:

- Office of Chief Counsel (CC)
- Office of Assistant Manager for Administration (AMA)
- Office of Assistant Manager for Environment, Safety, and Health, (AMESH)
- Office of Assistant Manager for Financial Management (AMFM)/Chief Financial Officer (CFO)
- Public Affairs Office (PAO)
- Office of Diversity Programs and Employee Concerns Manager (DP/ECM)

- Office of Partnerships and Program Development (OPPD)

6. DELEGATION OF AUTHORITY.

ORO receives its authority from assignments contained in Secretarial Delegations of Authority, DOE Directives (i.e., Policies, Orders, Notices, and Manuals), DEARs, 10 CFR, Atomic Energy Act of 1954 as amended, and General Services Administration (GSA) delegations of authority. Also, ORO organizations receive authority from assignments contained in ORO Directives that are written to supplement DOE Directives. The Office of the Manager approves site and facility ES&H requirements documents (Standards/Requirements Identification Document and/or Work Smart Standard Sets) for initial applications or major revisions, where applicable, as previously delegated by the Program Secretarial Officer (PSO).

7. INTERFACES.

The basis for the day-to-day interface is defined in MSD and the OAK RIDGE OFFICE ORGANIZATION MANUAL. Line managers and support organizations interface routinely on work-related matters. Memorandums of Agreement with support organizations are sometimes developed to ensure a clear understanding of the nature and degree of support required and how and when that support is to be provided. Line organizations also communicate with their DOE-HQ counterparts. Although major items such as budgets, QA plans and review of directives are formally transmitted, much of the day-to-day communication is informal. The Line Organizations maintain close communication links with DOE-HQ Program Offices.

ORO has in place Memorandums of Understanding (MOUs) between the line organizations doing work for PSOs in ORO.

AMNFS has lease and other agreements in place with USEC and USEC Inc. for the development and deployment of centrifuge technology, weapons authorization and operability/viability interfaces. MOUs are in place with the Nuclear Regulatory Commission (NRC) for Foreign Ownership Control or Influence (FOCI) services, clearance processing, and export control and the Occupational Safety and Health Administration (OSHA) for worker protection at the Gaseous Diffusion Plants.

Support to other SC sites is addressed by the SC MSD and the SC Annual Service Plan.

Formal and informal interfaces with organizations outside the DOE are through established channels. Formal communications usually occur through the ORO Manager or the assigned designee for the particular item. Protocols for working level personnel have been established for day-to-day interfaces with organizations such as the Environmental Protection Agency (EPA) other Federal and state regulators.

8. CHANGE CONTROL.

This FRAM will be issued as an ORO Manual. The Assistant Managers, their Divisions of Primary Interest, and CORs will be responsible for changes and, at a minimum, annual reviews and updates. Documentation of changes and reissues are maintained by the Directives Management Group.

9. FUNCTIONS, RESPONSIBILITIES AND AUTHORITIES.

The information contained in Table 1 represents ORO's mechanisms for implementation of ISMS functions and principles and identifies the ORO roles and responsibilities. Table 1, "Oak Ridge Office-Level III Functions, Responsibilities, and Authorities Manual," depicts the structure predicated on the DOE Corporate Level FRAMs to demonstrate responsibilities and authorities for ORO.

Table 1 is provided to show standards/requirements/delegations of authority listed as "DOE Functions and Authorities" under each "function" in the structure. These standards/requirements/delegations of authority represent "significant" requirements for the DOE employees for oversight of ES&H requirements. Some of these standards/requirements are contractually binding on the contractors, while others are for DOE employees only. The documents listed as "Authorities" do not necessarily apply to each of the organizations listed under "ORO Ownership." These organizations will implement the standards/requirements/delegation of authority only if applicable to them. The revisions or changes to requirements documents are not referenced. The current version should be used.

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
Accelerator Safety DOE O 420.2B <u>DELEGATIONS:</u> OROD-SC-06	Safety of accelerator facilities	OSOP-421 <u>Line Organizations</u> AMS <u>Support Organizations</u> AMESH	
Accident Investigation DOE O 225.1A <u>DELEGATIONS</u> SC FRAM	<ul style="list-style-type: none"> • Type A and Type B investigations • Investigation reports • Corrective action plans (CAPS) 	EM-2.3 1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMA AMESH AMSEM CC Public Affairs Office	
Aviation Safety DOE O 440.2B <u>DELEGATIONS</u> SC FRAM	<ul style="list-style-type: none"> • Aviation implementation plans • Maintenance and inspection programs • Aviation safety programs 	<u>Line Organizations</u> AMEM AMS <u>Support Organizations</u> AMA AMESH CC	
Beryllium Disease Prevention 10 CFR 850 10 CFR 851	<ul style="list-style-type: none"> • Recordkeeping • Chronic Beryllium Disease Prevention Program • Baseline Beryllium inventory • Formal exposure reduction and minimization program • Respiratory Protection Program • Medical surveillance program • Beryllium training program • Postings • Reporting Beryllium sensitization 	<u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMESH AMA	
Biological Agents 10 CFR 851 DOE O 440.1B	Implement and manage a program that confirms handling, transfer, use, and receipt of etiologic agents	<u>Line Organizations</u> AMS <u>Support Organizations</u> AMA	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
Biological Agents (continued) <u>DELEGATIONS</u> SC FRAM		AMESH AMFM	
Conduct of Operations DOE O 5480.19 <u>DELEGATIONS</u> SC FRAM	Ensure conduct of operations provisions are incorporated into contractor programs and procedures	1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMESH	
Configuration Management (Facility Safety) DOE O 420.1B (Ch. V) <u>DELEGATIONS</u> SDOA-EM-61	Configuration management plans	1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMA AMESH AMFM	
Corrective Action Plans (CAPs) DOE O 225.1A DOE O 414.1C DOE O 470.2B DOE M 140.1-1B Corrective Action Plans (CAPS) (continued) <u>DELEGATIONS</u> SC FRAM	<ul style="list-style-type: none"> • CAPs • CAP verification • Effectiveness reviews 	AMNFS-1.4 AMNFS-1.5 EM-3.3 OSOP-220 OSOP-452 OSOP-453 1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMA	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
		AMESH AMFM AMSEM	
Criticality Safety (Facility Safety) DOE O 420.1B (Ch. III) <u>DELEGATIONS</u> OROD-EM-18 SDOA-EM-61 OROD-SC-05	Nuclear criticality safety program	1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMESH	
Defense Nuclear Facilities Safety Board (DNFSB) Interface DOE M 140.1-1B	<ul style="list-style-type: none"> • Assign responsible manager for assigned issue • Implement DOE policy with respect to the DNFSB • Support other DOE managers in responding to DNFSB • Designate a point of contact 	<u>Line Organizations</u> AMEM <u>Support Organizations</u> AMESH	
Employee Concerns Program 10 CFR 708 29 CFR 1960 48 CFR 970.0309 DOE P 442.1 DOE O 440.1B DOE O 442.1A Employee Concerns Program (continued) DOE M 442.1-1 <u>DELEGATIONS</u> SC FRAM	<ul style="list-style-type: none"> • Posted regulations • Ensure employee concerns related to such issues as ES&H and management of DOE programs and facilities are addressed • Provide a process to encourage and facilitate dialogue and resolution on differing professional opinions from employees for technical issues involving ES&H 	FM 2003-007 OSOP 442 <u>All ORO Organizations</u>	Quarterly reports.
Enforcement/Civil Penalties 10 CFR 820 10 CFR 830 10 CFR 835 10 CFR 851 DOE O 470.2B <u>GUIDANCE</u> <i>Enforcement Process Overview</i> , dated June 2007, issued by the	Referrals to the DOE HSS Office of Enforcement and support throughout the enforcement process Enforcement authority for oversight of leased uncertified Gaseous Diffusion Plant facilities	ORO memorandum to the DOE-HQ Director of Price-Anderson Enforcement reassigning the ORO PAAA Coordinator duties, dated January 22, 2004. 1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMA AMEM AMS	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
DOE-HQ Office of Health, Safety and Security. Enforcement/Civil Penalties (continued)		AMNFS <u>Support Organizations</u> AMESH CC	
Environmental – Environmental Protection (including Environmental Management Systems [EMSs]) Executive Order (EO) 13423 DOE O 5400.5 DOE O 450.1 DOE M 231.1-1A SEN-22-90 <u>DELEGATIONS</u> SC FRAM	<ul style="list-style-type: none"> Implement sound stewardship practices that are protective of the air, water, land, and other natural and cultural resources impacted by the Department EMS 	<u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMESH AMSEM CC Public Affairs Office	
Environmental – National Environmental Policy Act (NEPA) Compliance National Environmental Policy Act of 1969, as amended 10 CFR 1021 DOE P 141.1 Environmental - NEPA) Compliance (continued) DOE P 141.2 DOE O 451.1B DOE M 231.1-2 DOE N 451.1 DOE/EH-051 EO 12898 EO 11593 EO 11990 <u>DELEGATIONS</u> SC FRAM	<ul style="list-style-type: none"> Annual mitigation reports Annual NEPA planning summaries NEPA Compliance Program NEPA QA Plans Environmental impact statements and associated notices Environmental assessments Records of Decision Public participation plans Mitigation action plans Independent reviews of proposed actions under NEPA Review of DOE NEPA compliance 	1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMA AMESH AMFM CC	
ES&H Reporting 10 CFR 835 10 CFR 820 10 CFR 851	<ul style="list-style-type: none"> Log of occupational fatalities, injuries, and illnesses Log of work-related injuries Summary of work-related injuries Individual accident/incident reports 	EM-2.3 1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.	▪

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>40 CFR 61 EO 13423 ES&H Reporting (continued)</p> <p>DOE O 450.1 DOE O 231.1A DOE M 231.1-1A DOE M 231.1-2</p> <p><u>DELEGATIONS</u> SDOA-EM-61 SDOA-EM-66</p>	<ul style="list-style-type: none"> • Injury and illness reports • Radiological exposure data • ES&H assessment reports • Summary report of ES&H Self-assessments • Report of fatalities or multiple hospitalizations • Occurrence reports • Implementation procedures • Event categorization and notification of significant occurrences • Reports of noncompliance with nuclear safety regulations (recommended reports) • DOE annual site environmental reports • National emission standards for hazardous air pollutants (NESHAP) reports • DOE data for annual reporting to the Office of Management and Budget, Council on Environmental Quality Chairman, and Federal Environmental Executive under EO 13423 • Performance analysis reports and identification and reporting of recurring events 	<p><u>Line Organizations</u> AMA</p> <p>AMEM AMS AMNFS AMSEM</p> <p><u>Support Organizations</u> AMESH</p>	
<p>Explosives Safety (Other Than Nuclear Weapons)</p> <p>10 CFR 851 DOE M 440.1-1A</p>	<ul style="list-style-type: none"> • Process hazards analyses • List of explosive and hazardous materials • Process hazards analyses • Safety analysis of explosives facilities • Classification of hazards contents • Access control procedures • Storage review programs • Explosives emergency control plans 	<p><u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMA AMESH AMSEM AMFM</p>	
<p>Facility Safety</p> <p>DOE O 420.1B</p> <p>See the individual categories for the following subject areas:</p> <ul style="list-style-type: none"> • Criticality safety • Fire protection • Nuclear and explosives safety design criteria • Natural phenomena hazards mitigation 	<p>Various facility safety programs</p>	<p><u>Line Organizations</u> AMEM AMA AMS AMNFS</p> <p><u>Support Organizations</u> AMESH</p>	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<ul style="list-style-type: none"> • System engineer program (see Safety System Engineer Program) 			
<p>Firearms Safety</p> <p>10 CFR 851 DOE O 440.1B Atomic Energy Act of 1954, as amended</p>	Firearms safety policies and procedures	<p>1993 Lease Agreement between DOE and USEC. 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMS AMNFS AMSEM</p> <p><u>Support Organizations</u> AMA AMESH AMFM</p>	
<p>Fire Protection (Facility Safety)</p> <p>10 CFR 851 Fire Protection (Facility Safety) (continued)</p> <p>DOE O 420.1B (Ch. II) DOE O 440.1B</p> <p><u>DELEGATIONS</u> SDOA-EM-61</p>	Fire Protection Program	<p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMNFS AMS AMSEM</p> <p><u>Support Organizations</u> AMA AMESH</p>	
<p>Functions, Responsibilities, and Authorities Documents</p> <p>DOE P 411.1 DOE M 411.1-1C SC FRAM EM FRAM</p> <p><u>DELEGATION:</u> SDOA-EM-41 SC FRAM</p>	Functions, responsibilities, and authorities document for organizations	<u>All ORO Organizations</u>	Update the organizational Functions, Responsibilities, and Authorities documents annually.
<p>Integrated Safety Management (ISM)</p> <p>48 CFR 970.5204-2 48 CFR 970.5223-1 48 CFR 970.5215-3 EO 13423</p>	<p>ISM system descriptions (including integration of the EMS and quality assurance) that address the five core functions:</p> <ul style="list-style-type: none"> • Define the scope of work. • Analyze the hazards. • Develop and implement hazard controls. 	<p>Contractors' Safety Management Systems AMNFS-1.2 OSOP-450 OSOP-452 OSOP-453 Implementation Plan for DNFSB Recommendation 2004-1, <i>Oversight of Complex, High-Hazard</i></p>	Annual review and Manager's ISM Declaration

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
DOE P 450.2A DOE P 450.4 Integrated Safety Management (ISM) (continued) DOE M 450.4-1 DOE O 226.1 <u>DELEGATIONS</u> SDOA-EM-61	<ul style="list-style-type: none"> • Perform work within controls. • Provide feedback and continuous improvement. 	<i>Nuclear Operations</i> 1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>All ORO Organizations</u>	
Maintenance DOE O 433.1A <u>DELEGATIONS</u> SC FRAM	Maintenance implementation plans (MIPs)	1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMESH	Update MIPs every 2 years.
Natural Phenomena Hazards (NPH) Mitigation (Facility Safety) DOE O 420.1B (Ch. IV) EOs 12699 and 12941 PL 104-303 (110 Stat. 3658) <u>DELEGATIONS</u> SDOA-EM-61	<ul style="list-style-type: none"> • NPH assessments • Seismic reports • Dam safety reports 	1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc. <u>Line Organizations</u> AMEM AMS AMNFS <u>Support Organizations</u> AMA AMESH	Updates as necessary, at least every 10 years.
Nuclear and Explosives Safety Design Criteria (Facility Safety) DOE O 420.1B (Ch. I) 10 CFR 820 Atomic Energy Act of 1954, as amended (PL 83-703, 68 Stat. 919, 42 USC Chapter 23)	<u>Nuclear Safety Design.</u> <ul style="list-style-type: none"> ▪ Design and modification of hazard category 1, 2, and 3 facilities provide adequate protection to the public, workers, and the environment. ▪ New DOE reactors meet DOE O 5480.30. <u>Explosives Safety Design.</u> Design and modification of DOE explosives facilities meet safety requirements. The term <i>explosives</i> includes ammunition.	<u>Line Organizations</u> AMEM AMS AMNFS AMSEM <u>Support Organizations</u> AMA AMESH	
Operating Experience Program, including Lessons Learned DOE O 210.2	Development and dissemination of operating experience and lessons learned	AMESH-DR-002 AMESH-PR-006 AMESH-PR-007 AMNFS-1.4	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>DOE O 231.1A DOE M 231.1-1A DOE M 231.1-2 DOE P 450.7</p> <p>Operating Experience Program, including Lessons Learned (continued)</p> <p><u>DELEGATIONS</u> SC FRAM</p>		<p>AMNFS-1.5 AMNFS-2.1 EM-2.3 EM-3.3 OSOP 220 OSOP 452 OSOP 453 OSOP 454</p> <p>Implementation Plan for DNFSB Recommendation 2004-1, <i>Oversight of Complex, High-Hazard Nuclear Operations</i></p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>All ORO Organizations</u></p>	
<p>Organizational Staffing and Competency, including the Technical Qualification Program (TQP)</p> <p>10 CFR 830.122 10 CFR 835 DOE P 426.1 DOE M 426.1-1A DOE O 360.1B DOE M 360.1-1B DOE O 252.1 DOE O 5480.20A</p> <p>PL 104-113 (110 Stat. 775, 15 USC 3701) OMB Circular A-119</p>	<ul style="list-style-type: none"> • Employee training and qualification • DOE staffing plans • Oversight of contractor training and qualification plans • Facility representatives program 	<p>ANSI/ANS 3.1-1993 ORO Manual on TQP, <i>Oak Ridge Operations Technical Qualification Program Manual, Revision 1, dated December 2002</i> <i>Safety Basis Office/Facility-Specific Qualification Standard</i> Facility Representative Program Manual, Revision 3, dated August 2001 AMNFS-1.2 EM-2.5 OSO-FRA-361</p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMA AMESH</p>	
<p>Oversight – Line Management Environment, Health and Safety (ES&H) Oversight</p>	<ul style="list-style-type: none"> • Monitor field element and contractor performance • When appropriate, participate in field element appraisals, assessments, 	<p><i>Facility Representative Program Manual, Revision 3, dated August 2001</i> AMNFS-1.5 AMNFS-2.1</p>	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>DOE O 226.1</p> <p><u>DELEGATIONS:</u> Oversight – Line Management Environment, Health and Safety (ES&H) Oversight (continued)</p> <p>SDOA-EM-61 SDOA-SC-07 SDOA-SC-21 SDOA-SC-22 SDOA-SC-25</p> <p>Oversight – Line Management Environment, Health and Safety (ES&H) Oversight (continued)</p> <p>OROD-EM-13 OROD-SC-12 SC FRAM</p>	<p>surveillances and walkthroughs of contractor facilities and activities</p> <ul style="list-style-type: none"> • • Conduct onsite reviews of field element's performance, including verifications of their appraisals of the contractor, as necessary • Review and approve the contractor assurance program descriptions 	<p>EM-2.2 EM-3.2 EM-3.6</p> <p>OSO-FRP-411 OSOP-450 OSOP-453 OSOP-454 1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMA AMESH</p>	
<p>Packaging and Transportation Safety</p> <p>49 CFR DOE O 460.1B DOE O 460.2A DOE M 460.2-1 DOE O 461.1A DOE O 461.1-1, Change 1</p> <p><u>DELEGATIONS</u> SC FRAM</p>	<ul style="list-style-type: none"> • Packaging approval • Transportation Safety Analysis Report (TSAR) • Transportation Plan • Onsite packaging and transfer procedures • Carrier evaluations • Reports to Tracking and Communications System • Packaging and transportation plans • Transportation system risk assessments • Implementation Plan for DOE O 461.1A • Packaging and transportation procedures • Letter to governor or tribal leader for offsite • Transportation Safety Document • Safety Analysis Report for Packaging 	<p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMESH AMSEM</p>	
<p>Protection of Human Subjects</p> <p>10 CFR 745 DOE P 443.1 DOE O 443.1</p> <p><u>DELEGATIONS</u> SC FRAM</p>	<p>No research involving human subjects conducted with DOE funding, at DOE institutions, or by DOE personnel may be initiated without both a project assurance and approval by the cognizant Institutional Review Board in accordance with 10 CFR 745.103.</p>	<p><u>Line Organizations</u> AMS</p> <p><u>Support Organizations</u> AMESH</p>	
<p>Quality Assurance (QA)</p> <p>10 CFR 830, Subpart A</p>	<ul style="list-style-type: none"> • QA Program • Management and independent assessments 	<p>Individual Development Plans Position Descriptions Project Execution Plans</p>	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>DOE O 414.1C</p> <p><u>DELEGATIONS</u> SDOA-EM-41 SDOA-EM-61 Quality Assurance (QA) (continued)</p> <p>SDOA-SC-12 SDOA-SC-22 SC FRAM</p> <p><u>GUIDANCE</u> SDOA-SC-03</p>	<ul style="list-style-type: none"> • Software QA (SQA) • Suspect/counterfeit parts 	<p>OSOP-220 OSOP-452 OSOP-453 AMESH-PR-002</p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>All ORO Organizations</u></p>	
<p>Radiation Protection</p> <p>10 CFR 835 DOE P 441.1 DOE O 5400.5 DOE M 231.1-1A</p> <p><u>DELEGATIONS</u> SDOA-EM-61 SC FRAM</p>	<ul style="list-style-type: none"> • Radiation protection program (RPP). • Monitoring programs • As low as reasonably achievable (ALARA) process. • Notification to the public 	<p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMA AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMESH</p>	
<p>Radioactive Waste Management</p> <p>DOE O 435.1 DOE M 435.1-1</p>	<ul style="list-style-type: none"> • Implement the requirements of DOE O 435.1 • Ensure field element managers meet the requirements of DOE M 435.1-1 	<p>OSOP-436</p> <p><u>Line Organizations</u> AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMESH</p>	
<p>Safety Basis</p> <p>10 CFR 830, Subpart B DOE O 420.1B SEN-35-91</p> <p><u>DELEGATIONS:</u> SDOA-DP-13 SDOA-EH-01 SDOA-EH-02 SDOA-EM-41 SDOA-EM-61</p>	<ul style="list-style-type: none"> • Safety Evaluation Report. • Safety Basis Information System (SBIS). • Documented Safety Analysis (DSA). • Technical Safety Requirements (TSRs) and other hazard controls. • Preliminary DSA. • Unreviewed safety questions (USQs). • Alternate methodologies for DSAs. • Hazard Categorization. • Authorization agreements 	<p>AMNFS-2.2 EM-3.1 EM-3.4 EM-3.5 OSOP-420 AMESH-SB-001</p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM</p>	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>SDOA-EM-66 SDOA-NE-02 Safety Basis (continued)</p> <p>SDOA-NE-03 Safety Basis (continued)</p> <p>SDOA-NE-05</p> <p>SDOA-SC-02 SDOA-SC-05 SDOA-SC-06 SDOA-SC-08 SDOA-SC-13 SDOA-SC-14 SDOA-SC-22 SDOA-SC-31</p> <p><u>DELEGATIONS</u> OROD-NE-01 OROD-NE-02 OROD-NE-03 OROD-NE-04 OROD-SC-03 OROD-SC-04 OROD-SC-05 OROD-SC-06 SC FRAM</p> <p><u>GUIDANCE:</u> SDOA-NE-01 SDOA-SC-05</p>		<p>AMS AMNFS</p> <p><u>Support Organizations</u> AMA</p> <p>AMESH</p>	
<p>Safety System Engineer Program (Facility Safety)</p> <p>DOE O 420.1B (Ch. V)</p>	<p>Cognizant Safety System Oversight Personnel</p>	<p>AMNFS-2.1 EM-2.2</p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMA AMESH</p>	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>Startup and Restart of Nuclear Facilities</p> <p>DOE O 425.1C</p> <p><u>DELEGATIONS</u> SDOA-EM-61 SC FRAM</p>	<ul style="list-style-type: none"> • DOE operational readiness reviews or readiness assessments • Startup notification reports 	<p>EM-2.1 OSOP-425</p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMEM AMS AMNFS</p> <p><u>Support Organizations</u> AMESH</p>	
<p>Use of Risk-Based End States</p> <p>DOE P 455.1</p>	<p>Cleanup work must have clearly defined risk-based end states.</p>	<p><u>Line Organizations</u> AMEM</p>	
<p>Worker Protection – Contractors</p> <p>OSHA Act of 1970, as amended 10 CFR 707 10 CFR 851 48 CFR 970.2305 48 CFR 970.5223-3 48 CFR 923.570 DOE P 456.1 DOE O 440.1B DOE O 350.1, Ch. VIII DOE M 231.1-1A DOE M 231.1-2</p> <p><u>DELEGATIONS</u> SDOA-EM-66</p>	<ul style="list-style-type: none"> • Notification of excess of illnesses or injuries that require epidemiological analysis • Records of occupational fatalities, injuries, and illnesses • Reports of subcontractor accident information • Worker Protection Program • Postings • Accident investigations • Hazard prevention/abatement program • Workplace inspections • Safety and health plans • Fire Protection Program (life safety) • Industrial hygiene programs • Pressure safety policies • Motor vehicle safety programs • Suspect and counterfeit part controls • Construction hazards analyses • Occupational Medical Program • Employee job task and hazards analysis information • Summaries of workplace exposures • Health examinations • Employee counseling and health promotion • Substance abuse programs 	<p>ORO&NNSA <i>Stop Work/Suspend Work</i> Responsibility Declaration) AMESH-PR-003</p> <p>1993 Lease Agreement between DOE and USEC 2002 Lease Agreement between DOE and USEC, Inc.</p> <p><u>Line Organizations</u> AMA AMEM AMNFS AMS AMSEM</p> <p><u>Support Organizations</u> AMESH AMFM</p>	

**TABLE 1
OAK RIDGE OFFICE – LEVEL III
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

DOE Functions & Authorities	Subfunctions	ORO Ownership	Notes
<p>Worker Protection – Federal Employee Occupational Safety and Health (FEOSH)</p> <p>48 CFR 970.5223-3 EO 12196 DOE O 3792.3 DOE O 440.1B DOE O 341.1</p>	<ul style="list-style-type: none"> • FEOSH Program • Federal Employee Industrial Health Program • Federal Employee Occupational Medical Program • Substance abuse program • Provide information annually for the Office of Health, Safety and Security input for the Department of Labor's FEOSH report 	<p>AMESH-PR-005</p> <p><u>All ORO Organizations</u></p>	