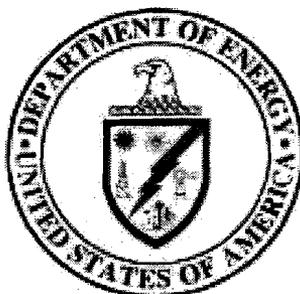
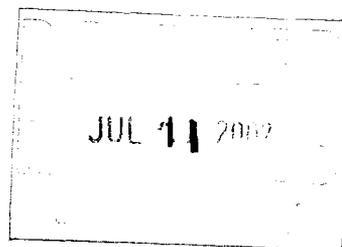


**U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE**

**FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES
MANUAL**

DOE/WIPP 98-2287

REVISION 4



B Lilly

AUGUST 2001

**U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE**

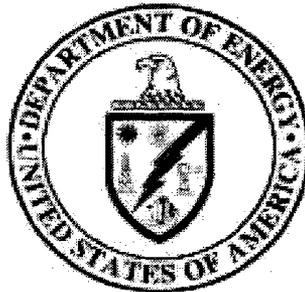
**U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE**

FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

DOE/WIPP 98-2287

This Document Supersedes DOE/WIPP 98-2287, Revision 3

REVISION 4



AUGUST 2001

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**U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE**

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ACRONYMS

ABSTA	Authorization Basis Senior Technical Advisor
AM	Assistant Manager
BID	Border Initiative Director
CBFO	Carlsbad Field Office
CCP	Central Characterization Project
CFR	Code of Federal Regulations
CH	contact-handled (transuranic waste)
CPD	Contracts and Procurement Division (DOE/AL)
CO	Contracting Officer
COTR	Contracting Officer's Technical Representative
CSO	Cognizant Secretarial Officer
CTAC	Carlsbad Field Office Technical Assistance Contractor
DEAR	Department of Energy Acquisition Regulation
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DOE/AL	Department of Energy- Albuquerque Operations Office
DOE/HQ	Department of Energy Headquarters
EEG	Environmental Evaluation Group
EH	Office of the Assistant Secretary for Environment, Safety, and Health
EM	Office of the Assistant Secretary for Environmental Management
ES&H	environment, safety, and health
FAR	Federal Acquisition Regulation
FEM	field element manager
FRAM	Functions, Responsibilities, and Authorities Manual
GC	General Counsel
HR	Human Resources
IAEA	International Atomic Energy Agency
ISMS	Integrated Safety Management System
LANL	Los Alamos National Laboratory
M&O	management and operating
MSHA	Mine Safety and Health Administration

NAFTA	North American Free Trade Agreement
NEPA	National Environmental Policy Act
OEI	Office of Enforcement and Investigation
ORPS	Occurrence Reporting and Processing System
ORR	Operational Readiness Review
PDP	Performance Demonstration Program
QAP	Quality Assurance Program
QAPD	Quality Assurance Program Document
RCRA	Resource Conservation and Recovery Act
RH	remote-handled (transuranic waste)
SAR	WIPP Safety Analysis Report
S/RID	Standards/Requirements Identification Document
SNL	Sandia National Laboratories
SSO	source selection official
STD	standard
TMFA	TRU and Mixed Waste Focus Area
TRANSCOM	TRANSportation Tracking and COMMunication System
TRU	transuranic
TRUPACT-II	Transuranic Package Transporter - II
TSR	Technical Safety Requirement
USQ	Unreviewed Safety Question
WIPP	Waste Isolation Pilot Plant
WTS	Westinghouse TRU Solutions, LLC

1.0 INTRODUCTION

The Department of Energy (DOE) Carlsbad Field Office (CBFO) is committed to maintaining an Integrated Safety Management System (ISMS) that is designed and implemented to protect the safety of the workers, the public, and the environment. The DOE owns and oversees the operation of the Waste Isolation Pilot Plant (WIPP), the nation's only deep geologic repository designed for disposal of defense-related transuranic (TRU) waste.

1.1 Purpose

The CBFO's Functions, Responsibilities, and Authorities Manual (FRAM) is a consolidated document that describes the CBFO organizations, functions, and missions. Additionally, this manual identifies CBFO direct lines of responsibility and authority for safety management functions identified in DOE Manual 411.1-1B, Safety Management Functions, Responsibilities, and Authorities Manual (the DOE Level 1 FRAM). Figure 1 shows a graphical representation of safety management functions. The provisions of this manual apply to all CBFO organizational elements and reflect the organization as approved by the CBFO Manager. The Standards / Requirements Identification Document (S/RID) references that apply to safety management at the WIPP are listed in Appendix A.

1.2 General Responsibilities

The general administrative responsibilities within CBFO are described in this section. Figure 2 shows the general flow of responsibility, authority, and input within DOE and highlights the CBFO. Figure 3 presents the organizational structure of the CBFO. Section 3 provides detailed mission and function statements, and enumerates the assigned ISMS functional responsibilities. Table 1 presents the delegated levels of authority for each ISMS function for all special staff and managerial elements, offices, or positions in the CBFO.

1.2.1 CBFO Manager

As the field element manager (FEM) for CBFO, the CBFO Manager directs CBFO activities to effectively and efficiently implement DOE and CBFO missions and safety expectations. The CBFO Manager reports directly to the Assistant Secretary for Environmental Management for program policy and direction and receives administrative support from the DOE Albuquerque Operations Office (DOE/AL). The responsibilities of the CBFO Manager are described in greater detail in section 3.1.

1.2.2 CBFO Deputy Manager

The Deputy Manager reports directly to the CBFO Manager and assists in administering the daily activities of the CBFO and WIPP. The Deputy Manager has specific senior management oversight responsibility to ensure that the offices of the CBFO are performing in a manner that meets DOE and WIPP missions.

Figure 1
Safety Management Functions

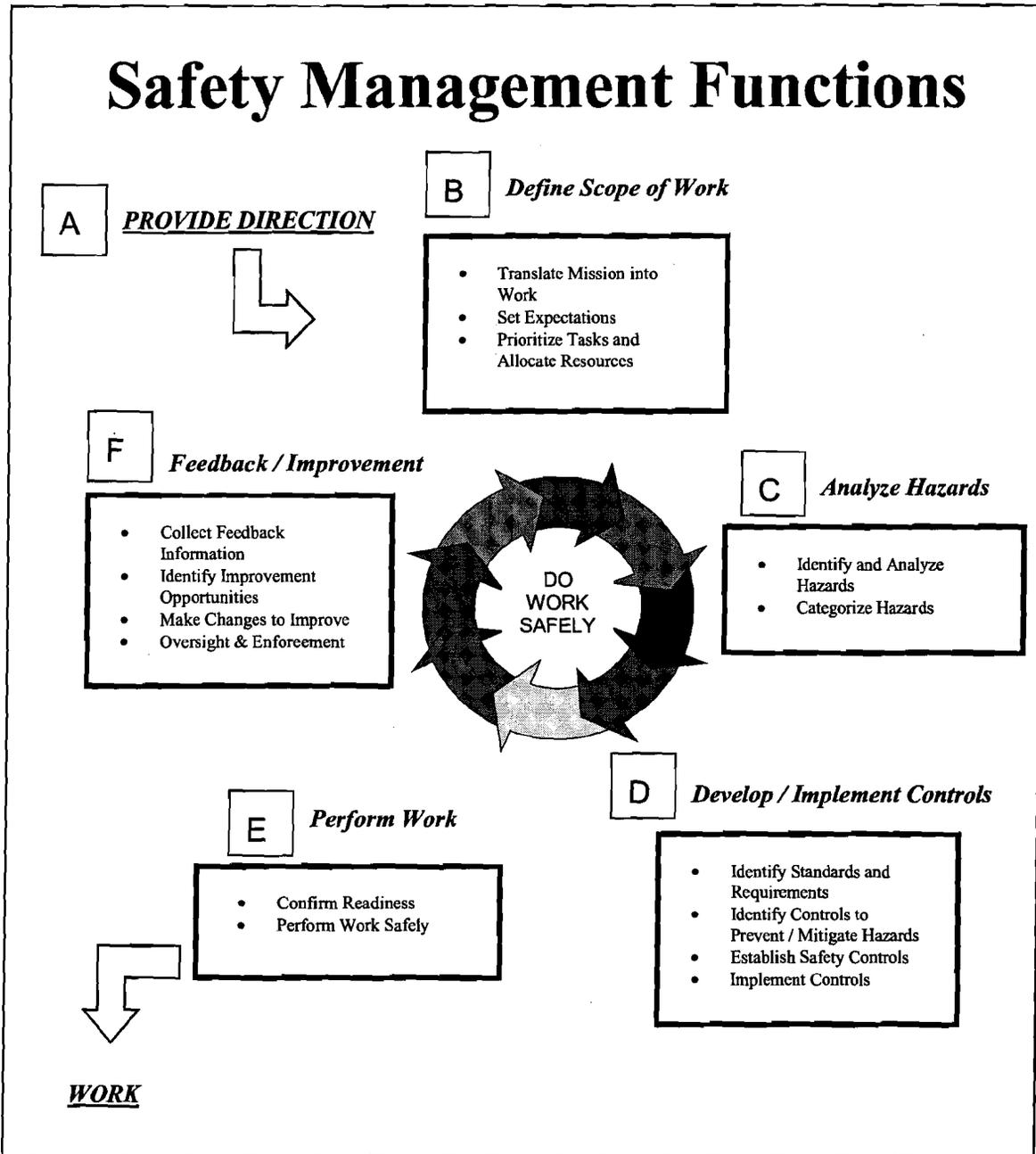
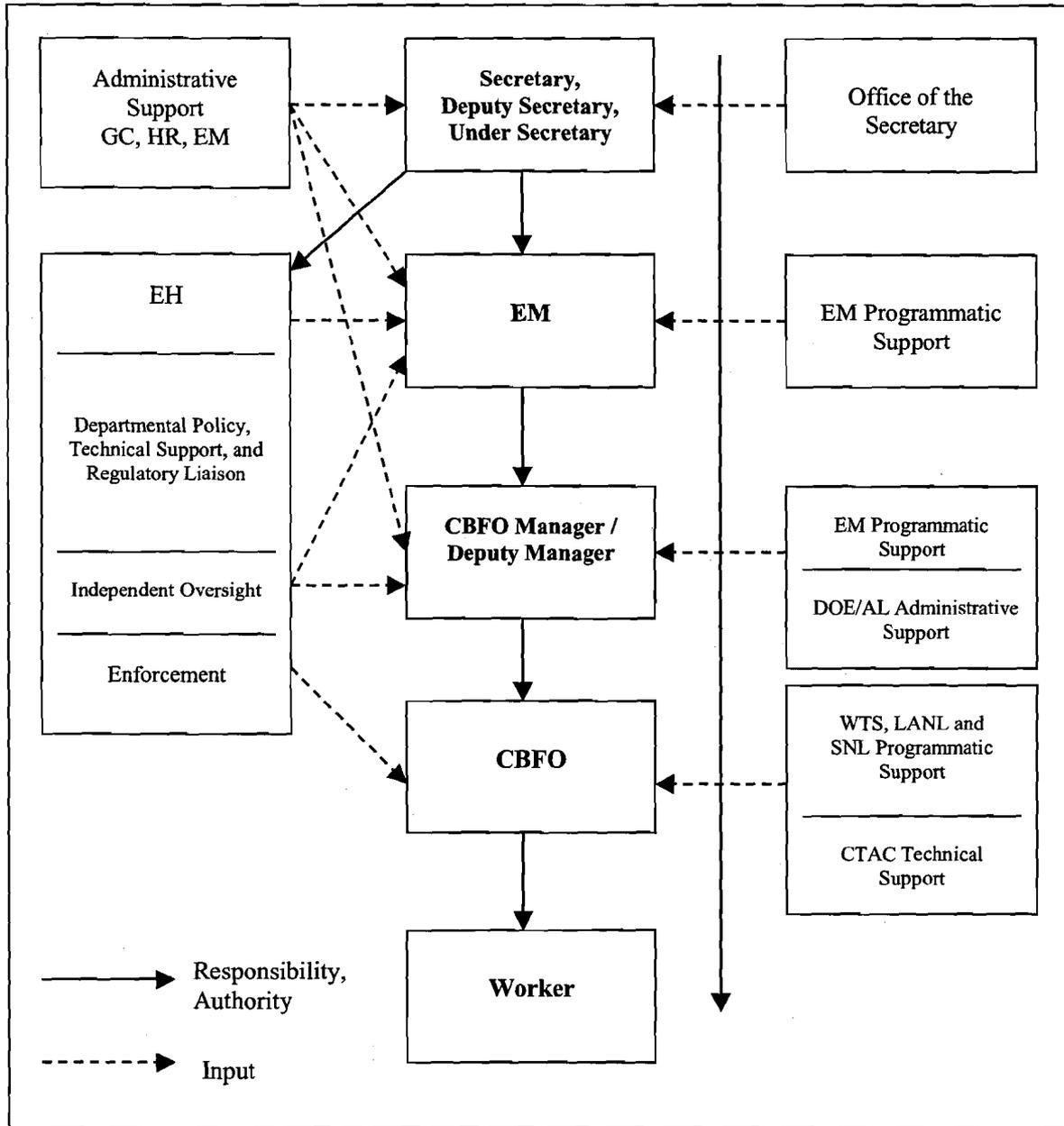


Figure 2

Generic Flow of Responsibility, Authority, and Input within DOE



1.2.3 Authorization Basis Senior Technical Advisor

The Authorization Basis Senior Technical Advisor (ABSTA) coordinates all facets of the development, implementation, compliance, review, update, and continuous improvement of authorization basis activities. The WIPP authorization basis includes the WIPP Safety Analysis Report (SAR), the S/RID, the WIPP Hazardous Waste Facility Permit (RCRA Part B), Environmental Programs (Clear Air Act, Safe Drinking Water Act, etc.), and the 40 CFR 191 and 194 compliance program. The ABSTA is also responsible for the mobile authorization basis. Sub-tier correlative programs and documents include the ISMS, Unreviewed Safety Question (USQ) process, RCRA Part B Permit modifications, environmental reporting programs, 40 CFR 194 reporting and recertification, radiological control, the CBFO FRAM, and the Central Characterization Project (CCP). The ABSTA is the primary point of contact and interface with the Defense Nuclear Facilities Safety Board (DNFSB) and the Environmental Evaluation Group (EEG).

1.2.4 Chief Scientist

The Chief Scientist serves a leading role for scientific and research programs at WIPP as the principal technical scientific advisor to CBFO management for WIPP and National TRU Waste Program issues. The Chief Scientist is the primary point of contact with the National Academy of Sciences.

1.2.5 Chief of Staff

The Chief of Staff provides guidance and recommendations to the CBFO staff on administrative, managerial, policy and operational issues and problems. The Chief of Staff coordinates the activities of the CBFO staff, advises on the impact of planned or imposed changes in cross-cutting budgetary, programmatic and policy issues; mediates disputes and performs continuous liaison; establishes and monitors best business practices; and conducts special studies and analysis as required.

1.2.6. Border Initiative Director (BID)

The Border Initiative Director leads and coordinates the many components of the National Border Technology Partnership Program (NBTPP), a multi-agency bilateral program addressing environmental, human and national security issues along the U.S.-Mexico border region. The Director is responsible for coordinating and managing this bi-national, multi-intergovernmental agency program including its technology deployment initiatives, socioeconomic modeling, and materials research initiatives.

1.2.7 Assistant Managers

Through an integrated management system, the CBFO Assistant Managers (AMs) develop, review, direct, and administer programs, functions, and policies under their purview. The AMs also:

- Ensure that products and activities are in accordance with the stated CBFO mission, policies, and procedures
- Establish, interpret, and implement policies within functional areas of responsibility where no DOE policy exists
- Provide executive leadership and management direction to the personnel of the offices for which they are the cognizant officials
- Serve as first-level supervisor for subordinates, as appropriate, and provide for enlightened and effective use of human resources
- Select, train, assign, direct, and develop employees in accordance with pertinent policies and procedures
- Serve as spokesperson for CBFO when addressing contractor management, DOE Headquarters (DOE/HQ), independent oversight boards, regulators, the media, and the public
- Obtain resources and administrative support for subordinate organizational units
- Ensure that a pervasive quality and safety culture integrates fully into the day-to-day activities of CBFO employees and demonstrate a commitment to the highest standards of quality and safety, health, and environmental protection
- Support and participate in management programs and practices, such as award fee, performance-based management, employee concerns, quality improvement plans, affirmative action, and equal employment opportunity
- Support and promote daily the prevention of waste, fraud, and abuse
- Ensure that subordinates understand and carry out the CBFO quality assurance program requirements

1.2.8 Chief Counsel

Chief Counsel provides a full range of legal services in support of programmatic efforts across CBFO, including specialized legal work involving unique and highly complex technical issues. He also serves as an independent advisor to the CBFO Manager and consults with the Legal Counsel of DOE/AL and the Office of the General Counsel of DOE/HQ.

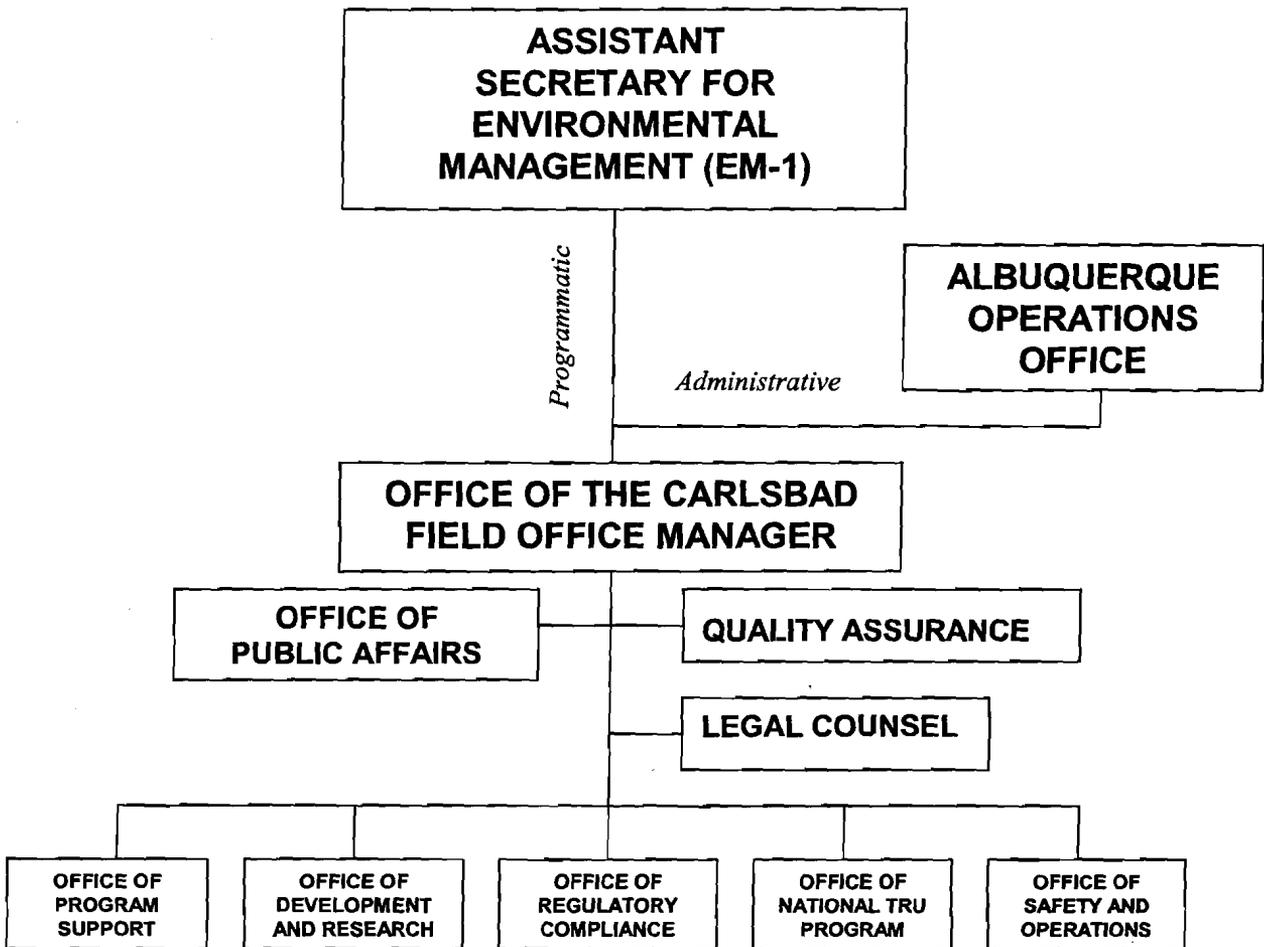
1.2.9 Public Affairs Team Leader

The Public Affairs Team Leader is responsible for providing an effective two-way communication link between stakeholders and the CBFO to foster greater understanding and meaningful involvement in achieving the CBFO's mission and programs.

1.2.10 Quality Assurance Team Leader

The Quality Assurance Team Leader is responsible for establishing a quality assurance program that encompasses all WIPP site operational and TRU waste generator sites activities. The Quality Assurance Team Leader assures adequate implementation and effectiveness of the quality assurance requirements by independently assessing technical and program activities.

Figure 3
Organization and Reporting Functions for the CBFO



2.0 CBFO MISSION AND SUPPORT ORGANIZATIONS

The primary mission of the CBFO is to protect human health and the environment by operating the WIPP for safe disposal of defense-related TRU waste and by establishing an effective system for the management of TRU waste from generation to disposal. The CBFO develops and directs implementation of the TRU waste program, assesses compliance with the program guidance, and ensures the commonality of activities and assumptions among all TRU waste sites. The CBFO prepares and coordinates plans for the management of all TRU waste. The CBFO maintains an active public outreach program to keep stakeholders informed of the progress of all activities. The CBFO may also provide the infrastructure and uniqueness of the WIPP facility for activities related to the US/Mexico border initiative, transparency monitoring, and science programs. Pending available funding, the CBFO is authorized to manage the US/Mexico border initiative, develop strategy and technology for transparency monitoring, and provide an underground facility for science programs.

WIPP is designed to permanently dispose of TRU waste generated by defense-related activities. As such, it is the cornerstone of the DOE's national TRU clean-up strategy. To achieve certification for waste disposal operations, the CBFO develops waste acceptance criteria, performs audits and certifies sites to characterize and package the waste, provides for the safe transportation of the waste from the TRU waste sites to the WIPP, and disposes of the waste in the WIPP. The CBFO has established a team focused on a common goal. Westinghouse TRU Solutions (WTS), LLC (a Limited Liability Corporation of Westinghouse Government Environmental Services Company, LLC and Roy F. Weston, Inc.), manages the operation of the WIPP site, including environment, safety, and health (ES&H) functions, permitting, experimental programs, planning, and quality assurance. Sandia National Laboratories (SNL) conducts experimental programs and performance assessment activities required to show that the waste disposal system can safely isolate TRU wastes from the environment for 10,000 years. Los Alamos National Laboratory (LANL) provides technical support in the areas of TRU waste characterization and transportation, National TRU Waste Program optimization, and experimental and actinide chemistry programs. The CBFO Technical Assistance Contractor (CTAC) provides expert regulatory and technical advice, support, and assistance for regulatory oversight, quality assurance auditing and assessment for site certification and independent oversight, safety oversight, environmental compliance and other technical, managerial, or staff support associated with managing the TRU waste characterization, transportation, and disposal system for WIPP.

3.0 ORGANIZATIONAL FUNCTIONS AND RESPONSIBILITIES FOR SAFETY

Organizational units are assigned primary functions as described in various elements of public law and in DOE policies, orders, manuals, and guidelines. When ownership of functions is not clear from the organizational mission and functions described in this manual, but ownership is determined to be within an AM's organization, the responsible AM will determine the team to be assigned ownership. When responsibility for a function is not clearly defined in this manual, the CBFO Manager will arbitrate and appropriately assign functional ownership.

This section identifies the responsibilities assigned to CBFO organizational units. CBFO duties are identified for line and staff organizations along with their ISMS functional responsibilities. Table 1 summarizes the ISMS functions for each CBFO office and staff group. Table 1 lists the ISMS functions from the Level 1 FRAM (DOE M 411.1-1B) and presents the specific duties and ISMS responsibilities that are applicable to CBFO. Appendix A lists all standards and regulations included in the WIPP S/RID. Each organizational element should be cognizant of its ISMS functions and take the necessary actions to implement this system. More specific responsibilities and processes for executing the assigned functions are delineated in the CBFO management, office, and team policies and procedures.

Line organizations are specific offices, and the individuals who support these offices, that have direct authority and/or responsibility for the safe operation of CBFO facilities and activities. These people and organizations are:

- Office of the CBFO Manager
 - CBFO Manager
 - Office of Legal Counsel
 - Office of Public Affairs
 - Quality Assurance Team Leader
 - CBFO Deputy Manager
 - Authorization Basis Senior Technical Advisor
 - Chief Scientist
 - Chief of Staff
 - Border Initiative Director (BID)
- Office of Safety and Operations
- Office of the National TRU Program
- Office of Regulatory Compliance
- Office of Program Support
- Office of Development and Research

This section of the FRAM describes each organizational unit within the CBFO and outlines its ISMS functions and responsibilities. Each section ends with a list of generic ISMS functions.

See Table 1 for complete details and definitions of each ISM function and for a full description of each office's specific ISMS duties, responsibilities, and delegated levels of authority.

3.1 CBFO Manager

The CBFO Manager reports directly to the Assistant Secretary for Environmental Management. The individual directs, plans, and coordinates all functions required to accomplish the mission and goals of the CBFO. The CBFO Manager may delegate authorities and assign responsibilities to the CBFO Staff. The CBFO Manager:

- Carries out responsibilities and authorities that have been assigned or delegated either through DOE directives or directly from DOE/HQ
- Implements direction, guidance, and policy received from DOE/HQ
- Ensures that subordinates understand and carry out their responsibilities for performing CBFO operations safely
- Directs the M&O contractor to develop an integrated safety management program that will protect the safety and health of the public and workers and protect the environment
- Approves the WIPP and mobile authorization basis and safety documentation
- Assigns organizational units with responsibility to oversee the contractors compliance with and implementation of safety standards, regulations, and rules
- Establishes and maintains a quality assurance program which provides confidence that work activities meet customer requirements, including Federal and State requirements
- Executes DOE/HQ policy to effectively and efficiently administer TRU waste management and systems integration programs
- Provides technical information for use by the Quality Assurance Task Leader in interpreting quality assurance requirements and in reviewing and concurring with quality assurance plans and programs
- Interacts with intergovernmental and external agencies
- Ensures stakeholder participation in DOE decision-making
- Approves all elements of the CBFO training and qualification program
- Reviews and approves all CBFO management procedures
- Ensures management assessments are conducted regularly and reported on at least an annual basis

- Establishes controls for cost-effective contractor management
- Ensures compliance with laws and regulations

ISMS Functions

The CBFO Manager has authority over and responsibility for all ISMS functions.

3.2 CBFO Deputy Manager

The CBFO Deputy Manager reports to the CBFO Manager. The Deputy Manager serves as the Chief Operating Officer for interface with DOE organizations and determines the internal organization, staffing, and authorities required to accomplish the functions assigned the CBFO in strategic planning, TRU waste integration activities, repository experimental programs, implementation of TRU waste program special evaluations, compliance and technical support, and the performance evaluation and testing of CBFO activities. The Deputy Manager provides assistance in the performance of the CBFO Manager's duties covering the entire scope of CBFO functions. The CBFO Deputy Manager:

- Oversees and directs the internal organization, staffing, policies, and authorities required to carry out the responsibilities of the WIPP program and the CBFO
- Directs WIPP program management support including development and configuration of work breakdown structures and resource loaded schedules, integration and management of support contracts, integrated monthly reporting, action item tracking, and issuance of programmatic budget guidance
- Coordinates and ensures that all TRU mixed waste accepted at CBFO is in compliance with all Federal, state, and local laws and regulations, and meets the criteria of the TRU Waste Characterization and Certification Program for stored and buried waste
- Provides support to the EM Programmatic Environmental Impact Statement in assessing TRU waste inventories, characteristics, systems studies, and engineering and treatment alternative analyses, as well as provides TRU waste systems National Environmental Protection Act (NEPA) planning
- Directs and implements HQ policy; directs planning and oversees TRU waste storage activities, evaluation of plans for project management, quality assurance, environmental protection, siting, designing, construction, operations, permitting, and licensing application by the selected contractor or contractors for storage facilities
- Develops criteria and sets priorities for all TRU waste management planning, budget control, financial, and forecasting methodologies as agreed with DOE EM. Assures effective interface and integration of all assigned areas, other interim or permanent waste storage facilities, generator sites, and contractors

- Directs the TRU waste stored buried waste planning
- Directs the development and support of TRU waste minimization programs

ISMS Functions

The CBFO Deputy Manager assumes the CBFO Manager's ISMS functions during the Manager's absence.

3.3 Authorization Basis Senior Technical Advisor

The ABSTA provides the CBFO Manager with over-arching integration support by coordinating all facets of the development, implementation, compliance, review, update, and continuous improvement of authorization basis activities and authorization basis documents, and provides a wide array of scientific and regulatory advice. The ABSTA:

- Serves as the designated CBFO Senior Technical Safety Manager, responsible for the oversight, coordination, implementation, and evaluation of the ISMS program
- Provides authorization basis guidance to line managers; evaluates the adequacy of existing policy, processes, programs, and documents; recommends guidance where appropriate
- Oversees the development and implementation of safety and environmental authorization basis at the WIPP and for the CCP
- Ensures compliance with all applicable DOE Orders, Federal and State regulations, and other appropriate codes, standards, and requirements
- Oversees nuclear safety assessments, SAR update preparation, Technical Safety Requirement (TSR) modifications and changes, USQ determinations, WIPP Hazardous Waste Facility Permit modifications, and repository long-term compliance recertification
- Leads the WIPP Authorization Basis and Operational Safety Meeting
- Advises, recommends, and provides counsel to the CBFO Manager on establishing and evaluating WIPP safety, environmental, and operational performance measures and goals
- Serves as the CBFO principal point of contact with the DNFSB and EEG; provides expert advice to the CBFO Manager on DNFSB and EEG recommendations and evaluates the adequacy of CBFO's responses to DNFSB and EEG issues

ISMS Functions

A.7 Technical Qualifications and Competency

A.7 a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.1 Translate Mission into Work

B.2.a Authorization Basis Policies, Orders, Manuals, Notices, Guides and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contractor Performance Expectations

B.2.e Organization FRAM Documents

B.2.f Approval of Integrated Safety Management System (ISMS) Documentation

B.3 Allocate Resources to Contractors

B.4 Prioritize Tasks

C.1 Identify and Analyze Hazards

C.2 Categorize Facility/Activity Based on Hazards

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.c Exemptions from DOE Directive Requirements (other than rules)

D.1.d Exemptions from Requirements in 10 CFR 830 and 835

D.1.e Exemptions from External Requirements

D.1.f Approval of Programs & Processes Required by Nuclear Safety Rule

D.2.b Hazard Category Non-Reactor Nuclear Facilities

D.3.b Safety Documentation/Authorization Basis for Hazard Category 2 Non-Reactor Nuclear Facilities

D.3.c Authorization Protocols

D.4 Implement Controls

E. Perform Work

E.1 Confirm Readiness

E.1.a Operational Readiness Reviews (ORRs)

- E.1.b Startup Authorization for Nuclear Facilities
- E.1.c Startup Authorization for Non-Nuclear Facilities
- E.2 Perform Work Safely
- E.3 Quality Assurance
- F.1.a. Lessons Learned Program
- F.1.b Occurrence Reporting and Processing System (ORPS)
- F.1.c ES&H Reporting Requirements
- F.1.d Assessments
- F.1.e Accident Investigations
- F.2 Make Changes to Improve
- F.2.a Corrective Actions
- F.3.a Line Management Oversight
- F.3.b EH Independent Oversight
- F.3.c OA Independent Emergency Management Oversight
- F.3.d Price-Anderson Amendments Act Enforcement
- F.3.e Interface with DNFSB and EEG

3.4 Chief Scientist

The Chief Scientist provides nuclear physics, nuclear engineering, nuclear safety and criticality expertise to the CBFO for issues related to WIPP operations, TRU waste disposal issues, and repository performance. The Chief Scientist provides expert technical and scientific review of radioactive waste programs, including evaluation of critical safety systems design and operation, facility engineered safety features and administrative controls, failure modes and effects, accident analyses, consequences, and risks. The Chief Scientist:

- Serves as the principal technical scientific advisor to the CBFO
- Provides scientific advice on programmatic growth opportunities for science programs
- Provides scientific leadership and credible focus on radioactive waste issues
- Provides expert technical review for disposal plans and operations

- Provides scientific advice, collegial relationships, independent scientific studies and analyses, and theoretical and practical advice on nuclear technology issues
- Serves as the CBFO Manager's technical and scientific liaison with elected and appointed government officials

ISMS Functions

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

F.2 Make Changes to Improve

3.5 Chief of Staff

The Chief of Staff coordinates and integrates the CBFO staff, providing liaison, counsel, conflict resolution, and special analysis as required. The Chief of Staff assists the CBFO Manager, Deputy Manager, AMs, Team Leaders, and special staff in maintaining effective staff communications and coordination by monitoring policy, budget, regulatory, and operational programmatic issues that affect the CBFO operation. By providing continuous staff liaison, the Chief of Staff maximizes CBFO staff effectiveness, and facilitates and coordinates interpretation, clarification of policies and procedures, mediation, and conflict resolution. The Chief of Staff:

- Provides authoritative guidance, advice, and recommendations to the staff
- Provides for the overview, coordination, and mediation across cross-cutting issues
- Facilitates and coordinates management assessments, policy determinations, and funding redirection on difficult or complex issues
- Keeps the CBFO management informed and apprised of the impact of new administrative regulations, budget constraints, or other changes
- Performs special staff studies and analysis on issues as directed
- Provides staff liaison, staff structure, and personnel assessment, and makes recommendations relating to the direction, planning, organization, and assignment of technical and program responsibilities
- Establishes business practices for the CBFO staff and line managers that affect cost, schedule, and resource availability

- Facilitates dispute and conflict resolution for the staff

ISMS Functions

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

F.2 Make Changes to Improve

3.6 Border Initiative Director

The Director of the National Border Technology Partnership Program (NBTPP) leads and coordinates the many components of the NBTPP, a multi-agency bilateral program addressing environmental, energy, human and national security issues along the U.S.-Mexico border region. The Director is responsible for coordinating and managing this bi-national, multi-intergovernmental agency program including its technology deployment initiatives, socioeconomic modeling, and materials research initiatives. The Border Initiative Director:

- Ensures that the NBTPP sets priorities, meets goals and objectives, provides a programmatic path forward that meets inter-agency objectives, and establishes a prioritized set of objectives for Materials Research by implementing: (a) program planning and analysis, (b) mission-driven budget preparation, (c) program oversight, (d) performance metrics development, (e) technical guidance and assistance to senior managers and contractor engineers and scientists in the operation and development of facilities, operations, and processes, and (f) special independent analyses of project status and/or major issues
- Analyzes technical problems as they arise and recommends practical solutions to these problems
- Maintains awareness of actual and anticipated scientific and engineering discoveries, as well as industrial and technological developments in the environmental restoration waste management field
- Conducts individual inquiry into new engineering projects which could further the mission of the NBTPP
- Provides both theoretical and practical advice and assistance, in concert with the private sector in strategic planning for emerging and newly assigned national initiatives and experimental and prototype developments areas that use the unique capabilities and facilities of the DOE Complex

- Provides CBFO manager with independent critical assessments and technical evaluations of program objectives and goal attainment of the NBTPP
- Plans and supports management actions to ensure effective use of resources
- Coordinates directly with the Office of Development and Research for new or troubled research initiatives and reviews specifications, including contractor plans and projections for accomplishing the initiatives
- Develops and conducts technical and economic analyses of existing programs and their programmatic impacts, identifies and develops new initiatives, develops strategies for the implementation of new or redirected projects, and integrates parallel and supporting technology efforts
- Participates in current and long-range planning meetings to ensure that goals and objectives are fully and effectively related
- Makes technical reports and briefings to Senior Management of CBFO and other organizations
- Ensures coordination of project activity among various interagency, intergovernmental, and stakeholder groups and among industry, academia, and government agencies of Mexico
- Represents the CBFO with the US-Mexico Border Health Commission on environmental and human security issues
- Provides technical and administrative input to the report to the Presidential Interagency Task Force on Economic Development of the Southwest Border
- Provides reports to Congressional Committees and Members
- Assumes the primary leadership role for the NBTPP
- Establishes a socioeconomic project within the NBTPP office to evaluate overall programmatic impacts on the region
- Evaluates contractor performance, overall program effectiveness, and mission accomplishment in schedules, budget, quality, quantity and ES&H standards; in procedural, policy, and regulatory compliance; and in technical competence
- Participates as a member of the Southwest Center for Environmental Research and Policy and of the Border trade alliance, and as a Technical Advisor to the Border Health Commission
- Participates in the Annual U.S. Congress Border Caucus Conferences

- Acts as the technical programmatic lead for DOE Program Secretarial Office

ISMS Functions

A.3. Cognizant Secretarial Officer (CSO) Mission Assignment to Field Elements

A.4. Budget for Program

B.1. Translate Mission into Work

B.2.a. NBTPP Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c. Interpretation and Implementation of Rules and Standards

B.2.d. Contract Performance Expectations

B.2.e. Organization FRAM Documents

B.3. Allocate Resources to Contractors

B.4. Prioritize Tasks

D.1. Identify Standards and Requirements

E.2. Perform Work Safely

F.2.a. Corrective Actions

3.7 Assistant Managers

3.7.1 Office of Safety and Operations

The Office of Safety and Operations ensures that all TRU waste received at the WIPP is safely and efficiently handled and placed within the repository. It is responsible for making sure that the TRU waste repository is available for TRU waste disposal. The Office of Safety and Operations includes the Facility Representative, the Safety Officer, the Systems Engineering Manager, and the Waste Disposal Operations Team. The Office of Safety and Operations:

- Provides direct oversight of and interface with contractor personnel in regard to WIPP site operation and maintenance activities
- Evaluates facility and contractor performance on an ongoing basis
- Provides operations oversight of day-to-day activities
- Ensures that the WIPP facility functions in an integrated fashion to safely receive, handle, and dispose of TRU waste

- Provides CBFO alternative point of contact for the DNFSB and EEG
- Provides CBFO point of contact for the Mine Safety and Health Administration (MSHA)
- Provides CBFO point of contact for the New Mexico Mine Inspector

ISMS Functions

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.2.a Operations and Safety Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

B.2.f. Approval, Implementation, and Maintenance of Safety Management system Documentation

B.4 Prioritize Tasks

C.1 Identify and Analyze Hazards

C.2 Categorize Facility/Activity Based on Hazards

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.c Exemptions from DOE Directive Requirements

D.1.d Exemptions from Requirements in 10 CFR 830 and 835

D.1.e Exemptions from External Requirements

D.1.f Approval of Programs & Processes Required by Nuclear Safety Rule

D.2.b Hazard Category 2 Non-Reactor Nuclear Facilities

D.3.b Safety Documentation/Authorization Basis for Hazard Category 2 Non-Reactor Nuclear Facilities

D.3.c Authorization Protocols

- D.4 Implement Controls
- E. Perform Work
 - E.1 Confirm Readiness
 - E.1.a Operational Readiness Reviews (ORRs)
 - E.1.b Startup Authorization for Nuclear Facilities
 - E.1.c Startup Authorization for Non-Nuclear Facilities
 - E.2 Perform Work Safely
 - E.3 Quality Assurance
- F.1.a Lessons Learned Program
- F.1.b Occurrence Reporting and Processing System (ORPS)
- F.1.c ES&H Reporting Requirements
- F.1.d Assessments
- F.1.e Accident Investigations
- F.2 Make Changes to Improve
 - F.2.a Corrective Actions
 - F.3.a. Line Management Oversight
 - F.3.b EH Independent Oversight
 - F.3.c OA Independent Emergency Management Oversight
 - F.3.d Price-Anderson Amendments Act Enforcement
 - F.3.e Interface with DNFSB and EEG

3.7.1.1 Facility Representative

The Facility Representative, as designated by the CBFO Manager in the CBFO Facility Representative Program Plan (DOE/WIPP 94-1020), is responsible for monitoring the safety performance of the facility and its operations. The Facility Representative is the first point of contact for contractor personnel and is highly knowledgeable of the site design, construction, and operation. The Facility Representative:

- Evaluates facility and contractor performance on an ongoing basis through an established presence at the WIPP site
- Participates in planning sessions, operational reviews, critiques, and conduct of operations assessments
- Serves as the single point of contact for WIPP site information

ISMS Functions

A.8 Contractor Training Programs

B.2.a Facility Operations and Safety Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.e Organization FRAM Documents

C.1 Identify and Analyze Hazards

D.4 Implement Controls

E.1 Confirm Readiness

E.1.a Operational Readiness Reviews (ORRs)

E.1.b Startup Authorization for Nuclear Facilities

E.2 Perform Work Safely

E.3 Quality Assurance

F.1.a Lessons Learned Program

F.1.b Occurrence Reporting and Processing System (ORPS)

F.1.d Assessments

F.1.e Accident Investigations

F.2 Make Changes to Improve

F.3.a Line Management Oversight

F.3.e Interface with DNFSB and EEG

3.7.1.2 Safety Officer

The Safety Officer coordinates and manages oversight of contractor programs in the areas of safety, emergency response, radiological controls, and security. The Safety Officer provides program management, oversight, and ongoing in-depth assessment of contractor activities involving industrial safety, industrial hygiene, the Occupational Safety and Health Act, MSHA, construction safety, fire protection, emergency response programs, radiological control, radiological engineering, and program appraisal. The Safety Officer provides consultation and guidance to all CBFO and contractor employees concerning safety and health matters. The Safety Officer executes the radiological programs function and oversees activities to keep the WIPP site free from recognized safety and health hazards, in compliance with applicable regulations and requirements. The Safety Officer develops and oversees implementation of the health and safety program for the WIPP and:

- Integrates radiological safety into safety and health programs
- Develops final and preliminary documented safety analysis, TSR modifications, USQ determinations, and nuclear safety assessments
- Ensures that plant monitoring and reporting requirements are satisfied
- Follows underground and mining operations and ancillary support activities, such as ventilation, air quality, and roof support
- Reviews and oversees implementation of unreviewed safety question (USQ) evaluations
- Develops and performs program appraisals related to the safety management system, the work-hazard analysis for the development of safety standards, and nuclear safety implementation plans
- Ensures oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements
- Directs preparation of safety analysis documentation

ISMS Functions

A.8 Contractor Training Programs

B.2.a Facility and Mine Safety Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

B.2.f Approval, Implementation, and Maintenance of Safety Management system Documentation

B.4 Prioritize Tasks

C.1 Identify and Analyze Hazards

C.2 Categorize Facility/Activity Based on Hazards

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.c Exemption from DOE Directive Requirements (Other than Rules)

D.1.d Exemptions from Requirements in 10 CFR 830 and 835

D.1.e Exemptions from External Requirements

D.1.f Approval of Programs & Processes Required by Nuclear Safety Rule

D.2.b Hazard Category 2 Non-Reactor Nuclear Facilities

D.3.b Safety Documentation/Authorization Basis for Hazard Category 2 Non-Reactor Nuclear Facilities

D.3.c Authorization Protocols

D.4 Implement Controls

E. Perform Work

E.1 Confirm Readiness

E.1.b Startup Authorization for Nuclear Facilities

E.1.c Startup Authorization for Non-Nuclear Facilities

E.2 Perform Work Safely

F.1.a Lessons Learned Program

F.1.b Occurrence Reporting and Processing System (ORPS)

F.1.c ES&H Reporting Requirements

F.1.d Assessments

F.1.e Accident Investigation

F.2 Make Changes to Improve

F.3.a. Line Management Oversight

F.3.b EH Independent Oversight

F.3.d Price-Anderson Amendments Act Enforcement

F.3.e Interface with DNFSB and EEG

3.7.1.3 Waste Disposal Operations Team

The Waste Disposal Operations Team provides operations oversight of day-to-day activities at the WIPP site. Their primary function is to ensure that the WIPP facility operates in an integrated fashion to safely receive, handle, and dispose of TRU waste and to satisfy regulatory requirements. The team is responsible for mine engineering and operations, surface engineering and operations, waste handling operations, and maintenance. The Waste Disposal Operations Team:

- Oversees contractor performance of both TRU and hazardous waste operations
- Ensures that plant monitoring and reporting requirements are satisfied
- Follows underground and mining operations and ancillary support activities, such as ventilation, air quality, and roof support
- Tracks the physical plant regarding facility design, engineering changes, and construction
- Monitors the maintenance program to ensure that corrective and preventive maintenance programs function correctly and that performance indicators are tracked and trended
- Provides CBFO point of contact for MSHA
- Provides CBFO point of contact for New Mexico Mine Inspector
- Provides Facility Representative designees
- Designs and oversees implementation of the emergency management program for WIPP
- Develops and oversees implementation of the security program for the WIPP
- Develops and oversees the radiological safety program
- Directs the Incident/Accident Response Team for Emergency Response, as required by the DOE, Department of Transportation, and Nuclear Regulatory Commission, to respond to any incident/accident where there is a potential for radioactive release and to recover the shipping package

ISMS Functions

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.2.a TRU Waste Handling and Disposal Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

B.4 Prioritize Tasks

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.f Approval of Programs & Processes Required by Nuclear Safety Rule

D.4 Implement Controls

E.1 Confirm Readiness

E.1.b Startup Authorization for Nuclear Facilities

E.2 Perform Work Safely

F.1.a Lessons Learned Program

F.1.c ES&H Reporting Requirements

F.1.d Assessments

F.2 Make Changes to Improve

F.3.a. Line Management Oversight

F.3.c OA Independent Emergency Management Oversight

F.3.e Interface with DNFSB and EEG

3.7.1.4 Systems Engineering Manager

The Systems Engineering Manager (SEM) reports directly to the Assistant Manager for the Office of Safety and Operations. Under the direction of the AM for the Office of Safety and

Operations, the SEM verifies the operational readiness of new and restarted WIPP systems, serves as the alternate WIPP Facility Representative and serves as the backup to the CBFO Security Manager. The SEM:

- Serves as the CBFO lead for the development, evaluation and implementation of cost accounting measures for the WIPP site disposal operations. In coordination with the Assistant Manager for the Office of Safety and Operations develops and monitors the total cost of operations for the WIPP site. Accounts for costs associated with energy requirements, infrastructure needs, personnel, materials, supplies and other factors. Works closely with the WIPP M&O to implement an information system that tracks these costs
- Provides technical direction to the WIPP M&O and CBFO support contractors during development and implementation of ORRs and Readiness Assessments. Develops performance measures, planning directives, and procedures on issues pertaining to the implementation of readiness programs, to ensure compliance with applicable statutes, regulations, permit conditions, and other applicable requirements
- Serves as the alternate WIPP Facility Representative in the absence of the Facility Representative, maintaining full general technical, functional area and site-specific qualifications
- Serves as the backup for the CBFO Security and Emergency Operations Program Manager in the absence of the CBFO Security and Emergency Operations Program Manager in matters pertaining to security and emergency management of the WIPP site and the WIPP facilities. This includes responsibilities for personnel security, physical security, information security, counterintelligence, operations security, and technical security, as well as emergency preparedness and emergency response
- Provides independent oversight and assessment of CBFO security programs as requested by the CBFO Security Manager, to help ensure compliance with applicable statutes, regulations, and other applicable requirements
- Provides independent oversight and assessment of the WIPP M&O emergency management and emergency preparedness training to ensure compliance with applicable statutes, regulations, and other applicable requirements
- Serves as the alternate DOE Senior Official on WIPP Radiological Assistance Program in the absence of the CBFO Security and Emergency Operations Program Manager, maintaining full qualifications and currency with Radiological Assistance Program Team training requirements
- Develops technical requirements, engineering specifications, construction specifications, and equipment specifications for supplies, materials, and services procured either directly by CBFO or through CBFO participating organizations

- Establishes technical specification for the Cost Plus Award Fee contract for the WIPP M&O. Assists CBFO personnel in establishing technical specifications for measurable performance based incentives, performance objectives, performance expectations, and performance measures. Reviews the Office of Safety and Operations Performance Evaluation Report to ensure that it accurately reflects the technical aspects of the WIPP M&O's performance during the performance period
- Monitors the execution of CBFO construction projects in terms of resource utilization trends and compliance with applicable regulatory requirements and assures the proper use of allotted resources towards the accomplishment of Office of Safety and Operations contract requirements. Identifies significant changes and trends, and performs analyses to determine the impact on contractor operations and resource requirements. Monitors interrelated program activities to identify significant changes and trends. Performs analyses of these trends and changes to determine the potential impact on contractor operations, resource requirements, and achievement of CBFO objectives
- Provides assistance to CBFO managers and staff in applying industrial engineering techniques and methodologies to major contracting problems (i.e., compatibility of design with intended use, or TRU waste container manufacturing problems). This responsibility includes problem analysis, development of suggested solutions, presentation of the information to concerned organizations, and associated follow up to ensure adequacy of corrective action. Typical areas of analyses include material consumption, tooling, staffing standards, workload planning, funding allocation, and project management
- Assesses WIPP M&O's contractors' work processes, operations, activities, and deliverables to determine compliance with applicable procedures and deliverables. Identifies potential problem areas and works with CBFO managers and staff to identify appropriate corrective action and monitors implementation of corrective action until it is fully implemented

ISMS Functions

A.8 Contractor Training Programs

B.2.a Facility Operations and Safety Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

C.1 Identify and Analyze Hazards

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.f Approval of Programs & Processes Required by Nuclear Safety Rule

D.4 Implement Controls

E.1 Confirm Readiness

E.1.a Readiness Reviews

E.1.b Startup Authorization for Nuclear Facilities

E.1.c Startup Authorization for Non-Nuclear Facilities

E.2 Perform Work Safely

F.1.a Lessons Learned Program

F.1.b Occurrence Reporting and Processing System (ORPS)

F.1.c ES&H Reporting Requirements

F.1.d Assessments

F.1.e Accident Investigations

F.2 Make Changes to Improve

F.2.a Corrective Action

F.3.a Line Management Oversight

F.3.b EH Independent ES&H Oversight

F.3.c OA Independent Emergency Management Oversight

F.3.e Interface with DNFSB and EEG

3.7.2 Office of the National TRU Program

The Office of the National TRU Program develops and manages a comprehensive waste management strategy to ensure that the DOE TRU waste site programs meet the requirements to prepare waste for disposal at the WIPP while the sites satisfy their regulatory objectives. This office is composed of two teams, the National TRU Waste Characterization Team and the National TRU Waste Logistics Team. The Office of the National TRU Program:

- Coordinates and integrates the various program elements (waste characterization, TRU waste site certification, transportation, and disposal) carried out across the DOE complex

to ensure a consistent approach in implementing the National Transuranic Waste Management Plan

- Conceives, develops, and ensures implementation of DOE policy for the National TRU Program and related activities; modifies policy documents to meet changing and evolving operational and programmatic requirements
- Develops guidance for long-term storage options for TRU waste and waste forms and for the development of TRU waste treatment technologies to ensure compatibility and compliance with applicable requirements
- Provides expert advice and direction to TRU waste sites regarding TRU waste requirements
- Conducts the National TRU Waste Summit Meeting (chaired by the National TRU Program Assistant Manager and attended by DOE and contractor leads for TRU waste from each generator site and the National Transuranic Waste Complex Corporate Board); performs analysis and strategic planning necessary to establish and implement an integrated transuranic waste management program and to resolve associated issues
- Evaluates the impact of proposed DOE and non-DOE policy and criteria on the TRU waste sites' operations and institutional programs and develops and implements plans, policies, and guidance documents to address newly identified requirements so that DOE's TRU waste programmatic efforts comply with requirements in a timely and cost-effective manner
- Provides technical guidance to develop and implement DOE TRU waste characterization programs and information systems to support both DOE/HQ and site-specific requirements that govern the collection of TRU waste characterization data to ensure compliance with applicable Federal, State, and permit requirements, as well as requirements for interim storage and treatment at TRU waste sites
- Integrates the analytic laboratory Performance Demonstration Programs (PDP), TRU waste characterization planning, and TRU waste characterization certification
- Directs the technical program for remote-handled TRU waste systems, including characterization and packaging
- Facilitates discussions and exchanges of information among the TRU waste sites
- Manages the national TRU waste transportation system and directs WIPP-related intra- and inter-site transportation for the management of TRU waste nationwide
- Develops and implements national policy statements, detailed transportation management directives, planning documents, and formal memoranda

- Maintains close liaison and coordination with DOE/HQ, DOE operations offices, and M&O contractors, ensuring timely dissemination of program and budget information, technical information, and studies on TRU waste transportation issues
- Identifies, analyzes, and resolves issues important to the safe and efficient operation of a transportation system and develops and directs programs for interaction with and training of interested state, tribal, and local parties
- Plans and directs the dispatch of a centralized fleet and the use of the DOE Transportation Tracking and Communication System (TRANSCOM) for all TRUPACT-II vehicles transporting waste to the WIPP site
- Coordinates the overall CBFO transportation program implementation, management, and assessment

ISMS Functions

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.2.a TRU Waste Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

E.3 Quality Assurance

F.1.a Lessons Learned Program

3.7.2.1 National TRU Waste Characterization Team

The National TRU Waste Characterization Team supports certification and characterization activities at the TRU waste sites. The National TRU Waste Characterization Team:

- Establishes characterization requirements for TRU waste based on statutory, regulatory, and safety requirements
- Recommends methods for characterizing TRU and TRU-mixed wastes
- Establishes TRU waste site certification programs
- Establishes schedule for TRU waste site certification program audits and surveillances

- Assists TRU waste generator sites in preparing for site certification audits
- Performs site certification audits and resolves identified issues

ISMS Functions

B.2.a TRU Waste Characterization Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

F.1.a Lessons Learned Program

3.7.2.2 National TRU Waste Logistics Team

The National TRU Waste Logistics Team supports the design, development, certification, and manufacture of containers for the safe shipment of contact-handled (CH) and remote-handled (RH) TRU wastes. The National TRU Waste Logistics Team:

- Ensures that program elements (transportation, waste characterization, and TRU waste site certification) are integrated across the DOE complex to ensure a consistent approach in implementing the National TRU Waste Management Plan
- Conceives and develops DOE policy for the National TRU Program and related activities
- Ensures that there is an adequate supply of certified containers for the transportation of both CH- and RH-TRU and TRU-mixed waste from the TRU waste generator and interim storage sites
- Ensures that the transportation contractors perform their duties in compliance with their contracts, applicable regulatory requirements, and interagency agreements
- Ensures emergency response training is provided for the states, tribal, and local emergency responders
- Directs the TRU waste logistics program to ensure that there is an adequate supply of tractors, trailers, and trained drivers to provide for the effective and efficient transport of TRU waste
- Manages and administers the States and Tribal Education Program, including Radiation Emergency Assistance Center/Training Site training for hospital staff along the transportation routes, which include 23 states and 22 tribes

ISMS Functions

B.2.a Logistics Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

F.1.a Lessons Learned Program

3.7.3 Office of Regulatory Compliance

The Office of Regulatory Compliance (ORC) develops, oversees, and ensures that CBFO and the contractors maintain exemplary and proactive regulatory compliance programs for the WIPP site and CBFO. The ORC coordinates interactions with Federal and State agencies that regulate environmental protection. It also provides program management, oversight, and continual in-depth assessment of contractor activities involving three general areas: (1) radiation protection standards (40 CFR 191/194); (2) hazardous waste (RCRA, 40 CFR 260-270); and, (3) environmental programs (the Clean Air Act, Pollution Prevention Act, National Pollution Discharge Elimination System, Safe Drinking Water Act, etc.). The ORC assists the Office of Safety and Operations, the Office of National TRU Program, and the Office of Development and Research in developing and executing regulatory compliance activities for transuranic, mixed transuranic, and hazardous waste, as well as other environmental programs. It also coordinates with the Office of National TRU Program and the Office of Safety and Operations to ensure that activities affecting repository performance and waste handling are incorporated into regulatory documents and coordinates with the Office of Safety and Operations to ensure receipt of properly certified waste. The ORC coordinates with CBFO Legal Counsel on pertinent regulatory issues that require legal review, analysis, and concurrence. Through oversight, the ORC ensures regulatory compliance at the WIPP with Federal and State requirements. The Office of Regulatory Compliance:

- Develops the overall strategy for compliance with the Resource Conservation and Recovery Act (RCRA), the National Environmental Policy Act of 1969 (NEPA), and Criteria for the Certification and Recertification of the Waste Isolation Pilot Plant's Compliance with the 40 CFR Part 191 Disposal Regulations, Final Rule, and other applicable environmental laws and regulations. These include:
 - NEPA [42 U.S.C. 4321 et seq.]
 - Resource Conservation and Recovery Act (RCRA)[42 U.S.C. 6901 et seq.]
 - Clean Water Act [33 U.S.C. 1251 et seq.]

- Clean Air Act of 1977 [42 U.S.C. 7401 et seq.]
- Safe Drinking Water Act [42 U.S.C. 300f - 300j]
- Emergency Planning and Community Right-To-Know Act of 1986 [42 U.S.C. 11001 et seq.]
- Federal Facility Compliance Act of 1992 [42 U.S.C. 6901, 6903, 6903(15), 6908, 6924, 6927(c), 6939(c-e), 6961, and 6965]
- Toxic Substances Control Act [15 U.S.C. 2601 et seq.]
- Pollution Prevention Act of 1990 [42 U.S.C. 13101 et seq.]
- Comprehensive Environmental Response, Compensation, and Liability Act of 1980 [42 U.S.C. 9601 et seq.]
- National Historic Preservation Act [16 U.S.C. 461 et seq.]
- Endangered Species Act of 1973 [16 U.S.C. 1531 et seq.]
- Hazardous Materials Transportation Act of 1986 [49 U.S.C. 1801 et seq.]
- Superfund Amendments and Reauthorization Act [42 U.S.C. 9601 et seq.]
- Waste Isolation Pilot Plant Land Withdrawal Act [Public Law 102-579 as amended by Public Law 104-201]
- Atomic Energy Act of 1954 [42 U.S.C. 2011 et seq.]
- Bald Eagle Protection Act [16 U.S.C. 668-668d]
- Migratory Bird Treaty Act [16 U.S.C. 703 - 712]
- Federal Insecticide, Fungicide, and Rodenticide Act [7 U.S.C. 136 et seq.]
- Noise Control Act of 1972 [42 U.S.C. 4901 et seq.]
- Public Rangelands Improvement Act of 1978 [43 U.S.C. 1901 et seq.]
- Federal Land Policy and Management Act of 1976 [43 U.S.C. 1701 et seq.]
- Materials Act of 1947 [30 U.S.C. 601 - 604]
- Taylor Grazing Act [43 U.S.C. 315 et seq.]
- New Mexico Air Quality Control Act [NMSA 1978, §74-2-1 et seq. (Repl. Pamp.)]
- New Mexico Ground Water Protection Act [NMSA 1978, §74-6B-1 et seq. (Repl. Pamp. 1993)]

- New Mexico Hazardous Waste Act [NMSA 1978, §74-4-1 et seq. (Repl. Pamp. 1993)]
 - New Mexico Pesticide Control Act [NMSA 1978, §76-1-1 et seq. (Repl. Pamp. 1993)]
 - New Mexico Solid Waste Act [NMSA 1978, §74-9-1 et seq. (Repl. Pamp. 1993)]
 - New Mexico Hazardous Chemicals Information Act [NMSA 1978, §74-4E-1 et seq. (Repl. Pamp. 1993)]
 - New Mexico State Implementation of the Bald Eagle Protection Act [NMSA 1978, § 17-2-14) (Repl. Pamp. 1993)]
 - New Mexico Water Quality Act [NMSA 1978, §74-6-1 et seq. (Repl. Pamp. 1993)]
 - New Mexico Wildlife Conservation Act [NMSA 1978, §17-2-37 et seq. (Repl. Pamp. 1993)]
- Directs performance assessment and experimental related activities that focus on regulatory compliance areas (e.g., inadvertent human intrusion activities through drilling or mining related activities, probabilistic risk assessment, repository near field and far field, shaft seals, panel closures, actinide solubility, etc.)
 - Develops program for demonstrating compliance with criteria for long-term disposal of TRU mixed waste and oversees its implementation by the contractor
 - Interfaces with stakeholders on regulatory compliance technical and scientific issues and coordinates the dissemination of information with Public Affairs
 - Directs the conduct of focused scientific research by LANL among the entities doing scientific research (actinide chemistry) that is overseen by the Regulatory Compliance group (e.g., SNL and other contractors working in continuous efforts to increase operational efficiencies, reduce waste characterization requirements, and reduce uncertainty in probabilistic parameters and models used to recertify the WIPP site every five years)
 - Oversees the performance assessment and regulatory compliance experimental programs and coordinates its efforts with those of the Office of Development and Research
 - Prepares required permit applications, modifications, and requests to ensure the most current scientific and monitoring information regarding repository performance, waste handling, and waste characterization is conveyed to the Federal and State regulators
 - Responsible for evaluating and overseeing RCRA, 40 CFR 191/194, and environmental programs for CBFO including the implementation of all environmental permits and certifications

- Oversees environmental monitoring and sampling in compliance with all applicable regulations
- Develops program for demonstrating compliance with the RCRA criteria, coordinates this effort with the Office of Safety and Operations and the Quality Assurance Team Leader, and oversees the program's implementation by the M&O contractor
- Develops environmental support programs, coordinates its efforts with those of the Office of National TRU Program, Office of Safety and Operations, and the Office of Development and Research, and oversees program implementation by the M&O contractor
- Provides CBFO point of contact for the Environmental Protection Agency, the New Mexico Hazardous and Radioactive Waste Task Force, and the New Mexico Environment Department

ISMS Functions

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.2.a Environmental Regulations Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.c Exemptions from DOE Directive Requirements (other than rules)

D.1.e Exemptions from External Requirements

D.2.b Hazard Category 2 Non-Reactor Nuclear Facilities

E.1 Confirm Readiness

E.2 Perform Work Safely

E.3 Quality Assurance

F.1.a Lessons Learned Program

F.1.c ES&H Reporting Requirements

F.1.d Assessments

F.2 Make Changes to Improve

F.3.a Line Management Oversight

3.7.4 Office of Program Support

The Office of Program Support provides the CBFO with the physical and financial resources and accurate, timely, and meaningful data to assist in its management and oversight roles. It manages program planning, budget execution, procurement, records management, information management, training and human resources. The Office of Program Support consists of the Management Systems Integration Manager, the Industrial Engineer for Contracts and two teams, the Planning and Budget Team and the Contracts and Administrative Team. The Office of Program Support:

- Manages the acquisition requirements of CBFO
- Provides administrative oversight for all CBFO contracts
- Develops and executes the CBFO budget, including program and program direction funds
- Maintains the travel database
- Develops and implements the integrated CBFO Employee Concerns Program
- Manages and coordinates training programs
- Manages and coordinates the human resources program
- Manages document control, publications, records, computers and networks, CBFO and WIPP Internet Web Pages, and telephone systems

ISMS Functions

A.3 Cognizant Secretarial Office (CSO) Mission Assignment to Field Element

A.4 Budget for Program

A.5 Budget for Environment, Health and Safety Infrastructure

A.6 Resources Allocations to FEM

A.7 Technical Qualifications and Competency

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.1 Translate Mission into Work

B.2.a Administrative Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization of FRAM Documents

B.2.f. Approval, Implementation, and Maintenance of Safety Management system Documentation

B.3 Allocate Resources to Contractors

B.4 Prioritize Tasks

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.3.c Authorization Protocols

E.2 Perform Work Safely

F.1.a Lessons Learned Program

3.7.4.1 Planning and Budget Team

The Planning and Budget Team is responsible for establishing, implementing, and managing CBFO's program planning, funds management, and financial control systems. The Planning and Budget Team:

- Develops and integrates strategic and tactical planning, including life cycle costs
- Directs and maintains CBFO scheduling and program prioritization
- Develops and submits budget formulation and manages budget execution, including program guidance, financial management, and performance evaluation
- Manages CBFO's performance commitments and performance measures
- Manages external and internal program review activities
- Coordinates responses to all external audits associated with the Inspector General and Government Accounting Office and all congressional questions and answers associated with annual appropriations or tactical planning

ISMS Functions

A.3 Cognizant Secretarial Office (CSO) Mission Assignment to Field Element

A.4 Budget for Program

A.5 Budget for Environmental, Health and Safety Infrastructure

A.6 Resource Allocations to FEM

B.1 Translate Mission into Work

B.2.a Budgetary and Programming Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

B.3 Allocate Resources to Contractors

B.4 Prioritize Tasks

E.2 Perform Work Safely

F.1.a Lessons Learned Program

3.7.4.2 Contracts and Administrative Team

The Contracts and Administrative Team provides human resources services, manages the overall information management program, coordinates the planning and development of internal CBFO policies and procedures, and manages the CBFO training needs. The team also develops, implements, and administers CBFO acquisition and financial assistance guidance and procedures. The team administers policies and procedures established by the Federal Acquisition Regulation (FAR), DOE Acquisition Regulation (DEAR), DOE Financial Assistance Regulation, the DOE QAPD, and other applicable issuances. The Contracts and Administrative Team:

- Develops, implements, and evaluates CBFO training and employee development processes, programs, and procedures
- Plans, schedules, awards, administers, and closes out all contracts (within CBFO's delegated authority) and financial assistance instruments
- Develops, implements, and administers the CBFO small and small/disadvantaged business programs; reviews, approves, and monitors contractors' small and disadvantaged business programs

- Ensures that the Government awards contracts at a fair and reasonable price
- Develops, implements, and administers CBFO property management policies and procedures
- Administers policies and procedures established by DOE property regulations and Federal laws and regulations
- Oversees contractor property management systems
- Ensures that applicable portions of the QAPD are included in each contractor's contract

ISMS Functions

A.7 Technical Qualifications and Competency

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.2.a Contractual Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

B.2.f Approval, Implementation, and Maintenance of Safety Management system Documentation

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.3.c Authorization Protocols

E.2 Perform Work Safely

F.1.a Lessons Learned Program

F.2 Make Changes to Improve

3.7.5 Office of Development and Research

The Office of Development and Research provides scientific and technological excellence to ensure that the CBFO and WIPP support the transfer of technological developments both in the United States and internationally and support the development of the WIPP underground facility

for further scientific applications. This office consists of two areas, International Technology Transfer and National Technology Transfer. The Office of Development and Research:

- Directs and conducts activities in support of the National TRU Program to ensure that new technology is developed, implemented, and deployed where opportunities exist to obtain significant risk reduction, mortgage reduction, and compliance enhancement with Federal and State agreements across the DOE TRU waste operations complex
- Seeks new program missions built on the management infrastructure and knowledge base established by the successful construction, permitting, compliance demonstration, and operation of the WIPP as a deep geologic nuclear waste repository
- Provides technical guidance to identify TRU waste treatment technology needs and requirements
- Promotes the transfer and commercialization of proven technologies
- Plans, directs, and implements special studies for stored and buried TRU waste and other TRU waste projects that are required to demonstrate compliance with applicable requirements
- Directs existing strategic international partnerships and collaborations
- Develops new cooperative ventures with international waste management organizations that focus on Carlsbad/WIPP-based activities
- Participates in the EM-50 Office of Science and Technology, TRU and Mixed Waste Focus Area (TMFA) by co-managing the TMFA with Idaho Operations Office
- Promotes southeast New Mexico economic development
- Provides proactive solutions to emerging DOE TRU waste management needs
- Identifies and recommends new potential applications and programs for the WIPP facility
- Pursues alternative funding sources for newly identified programs and applications and coordinates cooperative research conducted at WIPP by others
- Interfaces with national and international scientists interested in using the WIPP for underground particle physics and transparency projects
- Coordinates with the Chief Scientist and the Offices of Regulatory Compliance and Safety and Operations on activities related to particle astrophysics and transparency

ISMS Functions

A.7.a Technical Qualifications at Nuclear Facilities

A.8 Contractor Training Programs

B.2.a Scientific Research Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

F.1.a Lessons Learned Program

3.7.5.1 International Technology Transfer

The International Technology Transfer program provides the mechanism for (1) acquiring international information that enhances confidence in the safe operation, recertification, and closure of WIPP; (2) sharing WIPP information with other similar international waste management programs; and (3) promoting the CBFO as an international leader, peer, broker, source, and resource in radioactive waste management and disposal.

An important element of the International Technology Transfer program is collaboration in international studies and experiments, where such interactions (1) provide increased assurance of WIPP facility safety and reliability; (2) advance scientific expertise and data collection in disciplines important to WIPP; (3) provide cost savings to disposal operations; or (4) expedite the acquisition of research information that furthers WIPP's mission.

The WIPP has developed a leading expertise through its successful construction, permitting, compliance demonstration, and operation as a deep geologic TRU waste repository. The International Technology Transfer office:

- Coordinates international workshops hosted and co-sponsored by CBFO, which facilitate cost-effective exchanges of scientific information
- Maintains and updates the "Prospectus on Waste Management and Repository Development Collaborations with the U.S. Department of Energy Carlsbad Field Office"
- Identifies other international radioactive waste management programs and organizations that might either possess information of value to the CBFO mission or that might be interested in future strategic partnerships and collaborations
- Participates in the IAEA sponsored International Repository Demonstration Project, the European Union sponsored "Cluster Repository Project" and "Backfill and Material Behavior in Underground Salt Repositories-Phase-II" projects

- Promotes the WIPP project as a model for other international deep geologic repository programs

ISMS Functions

B.2.a Science and Technology Development Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Review and Comment on Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

3.7.5.2 National Technology Transfer

The National Technology Transfer program provides the mechanism for evaluating the development of new or innovative technologies that can be deployed to assist the National TRU Waste Program in characterizing, transporting, and/or disposing of TRU waste at WIPP. The National Technology Transfer program provides program management and technical oversight, budgeting, and planning of contractor activities related to EM-50 Office of Science and Technology areas for the Site Technology Coordination Group, the Accelerated Site Technology Deployment Program, and the Technical Programs Officer. The National Technology Transfer program:

- Provides CBFO with access to the Office of Science and Technology technologies that have been proposed, funded, developed, and/or deployed
- Directs the effort to acquire CBFO TRU waste technology needs and oversees input into the Integrated Planning, Accountability and Budgeting System and the Technology Management System
- Coordinates Site Technology Coordination Group activities with other DOE TRU waste generator sites
- Participates in the TMFA End-User Steering Committee
- Serves as the Technical Programs Officer for CBFO; manages program and oversees schedules, costs, and milestones for contractor activities authorized from Office of Science and Technology (EM-50) funding
- Identifies innovative technology solutions to potential issues or technology that will accelerate TRU waste characterization, transportation, and disposal of TRU waste at WIPP

- Directs the contractor in the evaluation of TRU waste technology solutions for needs identified and coordinated with the Office of National TRU Program, Safety and Operations, and Regulatory Compliance to ensure potential technology deployments address needs and will be accepted by the regulatory agencies

ISMS Functions

B.2.a Science and Technology Development Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.b Review and Comment on Technical Standards for Use within DOE

B.2.c Interpretation and Implementation of Rules and Standards

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

3.8 Legal Counsel

Legal Counsel provides full legal support to the CBFO regarding laws and legal matters that pertain to the DOE. Legal Counsel provides legal advice and counsel on complex areas of law and legal procedures arising out of the programs, projects, and functions for which the CBFO is responsible. Legal Counsel:

- Identifies, reviews, and interprets new case law and Federal, State, and local laws and regulations, and determines what action(s) needs to be taken to bring or keep CBFO programs, activities, and operations in compliance with legal requirements
- Resolves complex legal and factual issues in the drafting and interpretation of complicated decisions, opinions, contracts, and other legal instruments
- Assists in developing solutions to technical and administrative problems in conformity with the legal policies and obligations of DOE in litigation and administrative adjudications in which CBFO has an interest
- Provides legal support for compliance certification activities, including augmenting the administrative record
- Provides litigation support as required to the assigned Department of Justice Litigation Counsel, as appropriate
- Participates in final audits as appropriate
- Serves as the CBFO ethics official

- Manages and administers, in consultation with the Office of General and Chief Counsel and regardless of dollar value, intellectual property and data activities in accordance with overall DOE orders, policies, laws, regulations, and guidance
- Provides CBFO management, staff, and contractors with policy guidance and legal interpretations in connection with their activities
- Reviews, regardless of the dollar value and in accordance with the draft acquisitions coordination and approval procedures for DOE-Albuquerque Operations Office (DOE/AL), prime contract and subcontract actions, including organizational conflicts of interest, that require CBFO coordination and approval

ISMS Functions

B.2.a Legal and Regulatory Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.c Exemptions from DOE Directive Requirements (other than rules)

D.1.d Exemptions from Requirements in 10 CFR 830 and 835

D.1.e Exemptions from External Requirements

E.2 Perform Work Safely

F.1.a Lessons Learned Program

F.3.d Price-Anderson Amendments Act Enforcement

3.9 Office of Public Affairs

The Office of Public Affairs provides for effective two-way communication between stakeholders and the CBFO to foster greater understanding of and meaningful involvement in achieving the CBFO mission and programs. Public Affairs:

- Plans and conducts public affairs events
- Communicates accurate and timely information about the CBFO's activities to all stakeholders

- Improves awareness and responsiveness of CBFO and contractor staff concerning stakeholder issues
- Establishes partnerships with Federal, state and tribal agencies and other organizations to improve communication with stakeholders
- Encourages stakeholder participation in planning and decision-making processes

ISMS Functions

B.2.a Public Affairs Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

E.2 Perform Work Safely

F.2 Make Changes to Improve

F.1.a Lessons Learned Program

3.10 Quality Assurance Team Leader

The Quality Assurance Team Leader is responsible for establishing a quality assurance program that encompasses all WIPP participants and activities. Quality Assurance ensures adequate implementation and effectiveness of the quality assurance requirements by independently assessing all technical and program activities. Quality Assurance:

- Evaluates and approves all WIPP participant quality assurance programs, as required
- Evaluates and approves the quality assurance programs of TRU waste sites leading up to certification
- Is responsible for the interface with and support to any external quality assurance organizations such as regulators, Federal agencies, and oversight groups as need arises
- Performs periodic assessment of CBFO and WIPP participant quality assurance programs, as required
- Provides independent technical and quality assurance evaluation of WIPP, contractors, TRU waste generator sites, and other participants in meeting quality assurance requirements
- Coordinates required QA actions with AMs

ISMS Functions

B.2.a Quality Assurance Policies, Orders, Manuals, Notices, Guides, and Page Changes

B.2.c Interpretation and Implementation of Rules and Standards

B.2.d Contract Performance Expectations

B.2.e Organization FRAM Documents

D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category 2) for Incorporation into Contracts and Authorization Agreements

D.1.d Exemptions from Requirements in 10 CFR 830 and 835

D.1.e Exemptions from External Requirements

D.1.f Approval of Programs & Processes Required by Nuclear Safety Rule

E.2 Perform Work Safely

E.3 Quality Assurance

F.1.a Lessons Learned Program

F.1.d Assessments

F.2 Make Changes to Improve

F.2.a Corrective Actions

F.3.b EH Independent Oversight

F.3.c OA Independent Emergency Management Oversight

F.3.d Price-Anderson Amendments Act Enforcement

Table 1**Matrix of Safety Management Functions, Responsibilities, and Authorities**

This matrix is a summary of the safety management functions, responsibilities, and authorities described in section 3 of this manual. This matrix of ISMS Functions is a synopsis extract from section 9, DOE Manual 411.1-1B (DOE's Level 1 FRAM). Each organizational element at the CBFO is expected to be cognizant of its roles and responsibilities for the assigned functions and take the necessary action(s) to implement them. While many CBFO responsibilities are assigned to the CBFO Manager for review or implementation, the CBFO AMs and the various offices and teams have the responsibility to do the work and document the programs for their assigned areas.

The abbreviations used in Table 1 to describe the assignments and responsibilities are defined below. The S/RID and other DOE orders, as described in Appendix A, drive the responsibilities, functions, and authorities described here.

APPROVE (A): Responsible for final approval of a document, schedule, change request, exemption request, proposed action, etc. Authority to approve may be delegated wherever this is not prohibited by regulation. The delegation of authorities is discussed further in sections 4, 5, and 6. When authority to approve is delegated to a subordinate, the responsible official does not need to concur or review. In other delegations, the responsible official should monitor the delegated authority's outcomes. Responsibility always remains with the original official and cannot be delegated.

CONCUR (C): Responsible for the review of a document, schedule, proposed action, exemption, request, etc., and for recommending approval or rejection to the official having approval authority. Concurrence is an explicit agreement to assume an active role in the success of the proposed activity or document. The originating office may specify a date by which non-concurrence must be received.

DIRECT SAFETY ACTION (D): Exercising shutdown authority, suspending activities, or declaring unreviewed safety questions.

IMPLEMENT (I): Responsible for executing the functions and/or compliance with rules, orders, or other direction and for the collection of data and issuance of reports.

LEAD (L): Direct the operations, activity, or function. Responsible for the activity and for ensuring that it is completed.

MONITOR (M): Responsible for appraisals, audits, oversight, and assessments that monitor contractor and DOE activities, programs, and products and for ensuring implementation of actions and programs.

PREPARE (P): Responsible for preparing documentation, initiating a standard or guidance document, developing acceptance criteria, issuing a document, and establishing a program and procedure for its implementation.

Table 1

Matrix of Safety Management Functions, Responsibilities, and Authorities

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>A. Provide Directions</p> <p>FEMs are responsible for executing contracts consistent with DOE Policy and requirements and for monitoring and assessing day-to-day performance under the contracts.</p>					
<p>A.3. Cognizant Secretarial Officer (CSO) Mission Assignment to Field Elements</p> <p>Review, provide input to, and implement program guidance developed by the PSO.</p>	<p>C</p> <p>BID L</p>	<p>Program Support</p> <p>Each AM</p>	<p>L, P</p> <p>I</p>	<p>Planning and Budget</p>	<p>L, P</p>
<p>A.4. Budget for Program</p> <p>Participate in preparation of the proposed budget and provide input to PSO on the adequacy of the proposal to support missions and safety initiatives.</p>	<p>A, I</p> <p>BID L, I</p>	<p>Program Support</p>	<p>L, P</p>	<p>Planning and Budget</p>	<p>L, I</p>
<p>A.5. Budget for Environment, Health and Safety Infrastructure</p> <p>Participate in preparation of the proposed budget and provide input to PSO on the adequacy of the proposal to support landlord activities and safety initiatives; implement corrective actions and safety improvements.</p>	<p>A, I</p>	<p>Program Support</p> <p>Safety and Operations</p>	<p>L</p> <p>C, M, I</p>	<p>Planning and Budget</p> <p>Safety Officer</p>	<p>L, P</p> <p>L</p>

*Note: **Special Staff** are: Public Affairs, Legal Counsel, and the Quality Assurance Team Leader.

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>A.6. Resource Allocations to FEM</p> <p>Review the proposed allocations and provide input to PSO regarding the adequacy to meet mission and safety initiatives. If the proposed budget is insufficient, propose an alternate plan to PSO that can be accomplished within budget and/or identify needed additional funds.</p>	A, I	Program Support	L	Planning and Budget	L, I
<p>A.7. Technical Qualification and Competency</p> <p>Each DOE element is responsible for ensuring that its employees are qualified to perform their assigned functions. The Director of the Office of Management and Administration (MA-1) is responsible for managing the DOE program to develop and maintain personnel qualification standards and training materials for use by DOE employees to improve and maintain their competence. Use of those standards in a training and qualification program for Departmental technical personnel is an integral part of safety management.</p>	A (Manager approves program)	Program Support (Each office approves staff qualifications)	L, A	Contracts & Admin.	L, P
<p>A.7.a. Technical Qualifications at Nuclear Facilities</p> <p>Provide adequate resources and support for the Federal Technical Capability Program</p> <p>Implement the Federal Technical Capability Program for CBFO.</p> <p>Ensure that personnel are qualified to perform their safety management functions and that these qualifications are reflected in position descriptions and performance criteria.</p>	A A	Program Support Each AM Each AM	I, M, P I I,	Contracts & Admin. Contracts & Admin. Disposal Contracts & Admin.	L, M, P L, M, P C, I, M C, I, M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>B.2.a. Policies, Orders, Manuals, Notices, Guides, & Page Changes</p> <p>Identify the directives or portions of directives applicable to CBFO and incorporate these requirements into the management system as appropriate. For other activities and facilities, where this authority is delegated, approve exemptions to directives except where otherwise stated in the directive for which the exemption is desired.</p> <p>Review and comment on proposed policies, orders, notices, manuals, guides, and page changes.</p> <p>Recommend technical and economical improvements, where appropriate.</p> <p>Provide staff to participate on focus groups or technical development teams.</p> <p>Provide comments to the OPI (Office of Primary Interest) if directives are inconsistent with field element missions.</p> <p>Determine what actions by the Field Element are necessary to implement the directives.</p> <p>The Contracting Officer (CO) negotiates with each contractor, in consultation with FEM, LPSO, and PSO, to establish which directives or provisions of directives, if any, are to be included in the contract.</p>	<p>A</p> <p>BID I</p> <p>Special Staff L</p>	Each AM	L	All teams	M, P
				Contracts and Administrative (Contracting Officer)	L

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>B.2.b. Technical Standards for Use within DOE</p> <p>Review and comment on proposed DOE technical standards.</p> <p>Recommend technical and cost-saving improvements, where appropriate.</p> <p>Provide staff to participate on focus groups or technical development teams.</p>		Safety and Operations	L, I	Safety Officer	L
		Development and Research	I, M	Systems Engineer	L
		Regulatory Compliance	I	Disposal	L
		Safety and Operations	I	Safety Officer	M
<p>B.2.c. Rules</p> <p>Review and comment on proposed rules.</p> <p>Recommend technical and cost-saving improvements, where appropriate.</p> <p>Provide staff to participate on focus groups or technical development teams.</p> <p>Determine what actions by the CBFO are necessary to implement the final rules.</p>	<p>A, I</p> <p>BID M</p> <p>Legal Counsel C</p> <p>Quality Assurance C, M</p>	Each AM	L, I	All teams	M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
B.2.d. Contract Performance Expectations	C	Program Support	L, I	Contracts & Admin. (Contracting Officer)	L, A, I
Prepare contracts that establish clear expectations and performance measures.	BID M Legal Counsel C	Safety and Operations	C, L	Systems Engineer	P, M
Monitor contractor performance and assess whether performance expectations have been met.	Public Affairs M	Each AM	L, M	Safety Officer Disposal	D, M M
Approve annual submittal of performance measures, indicators, and objectives, as required by the integrated safety management DEAR clause.	Quality Assurance C, M	Each AM	A, M, P, C	All Teams	A, L
Contracting Officer (CO) approve and issue contracts that meet contract regulations and provides clear expectations and performance measures to contractors regarding work to be performed and the mission and safety requirements.	A, C	Program Support	C	Contracts & Admin. (Contracting Officer)	P, M L, A, I
CO ensures contracts clearly delineate contractor responsibilities regarding subcontractors and suppliers.					
CO implements funding allocations consistent with the program office's allocations of resources, and revise allocations as delegated.					
CO acts as a liaison between the contractor and DOE staff regarding contract issues and performance expectations.					
CO ensures that 48 CFR 970.5204-2 and 48 CFR 970.5223.1 (the ISM LAWS clause and the safety management system clause) are included in contracts.					

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>B.2.e. Organization FRAM Documents</p> <p>Prepare, approve, and implement functions, responsibilities, and authorities (FRA) manuals for each organization to delineate how the applicable responsibilities and authorities in this Manual are performed. Revise FRA documents within 90 days of the issuance or revision of the DOE Safety Management FRAM, and following organizational changes</p> <p>Ensure that the responsibility, authority, and accountability for operation and maintenance of all DOE facilities are clearly defined, appropriately assigned, and executed.</p>	<p>A, I</p> <p>BID C, I</p> <p>Legal Counsel C</p> <p>Quality Assurance C</p>	Each AM	C, I	All teams	P, I

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>B.2.f. Approval, Implementation, and Maintenance of Safety Management System Documentation</p> <p>Safety Management Systems for CBFO are developed by the M&O contractor; reviewed by a carefully selected team of CBFO employees; and based upon the team's recommendation, approved by the Contracting Officer.</p> <p>Conduct line oversight of safety management systems to ensure effective implementation and maintenance.</p> <p>Ensure that contractors describe and document their safety management systems.</p> <p>Ensure that contractor safety management systems are implemented and kept current.</p>	A	Safety and Operations	L	Safety Officer	L, M
<p>CO decides on the need for CBFO review team, and, if a team is needed, selects members of the review team for specific applications and selects the team leader from the approved list.</p> <p>CO approves safety management system descriptions and revisions thereto (48 CFR 970.5223-1(e)).</p> <p>CO determines annually whether contractor safety management systems and systems requirements (i.e., safety management system descriptions, lists of applicable directives, and authorization agreements) are current, valid, and appropriately reflected in the implementation procedures.</p>	C	Program Support Safety and Operations	M, C M, C	Contracts and Administrative (Contracting Officer)	I, A

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>B.3. Allocate Resources to Contractors</p> <p>Prepare budget execution documents in accordance with DOE O 135.1, <i>Budget Execution -- Funds Distribution and Control</i>, and DOE M 135.1-1, <i>Budget Execution Manual</i>, to allocate resources to contractors.</p> <p>Ensure funds and resources are appropriately used.</p>	C BID P, I	Program Support	L, A	Planning and Budget	L, P
<p>B.4. Prioritize Tasks</p> <p>Ensure that the safety management system adequately prioritizes work to ensure that, when implemented, mission and safety expectations for the site are met within available budget and resources.</p> <p>Review and support development of expected performance objectives and related PSO goals and priorities.</p>	A, D BID P, I	Safety and Operations Program Support	L C	Safety Officer Disposal Planning and Budget	L, D L, D M
C. Analyze Hazards					

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>C.1. Identify and Analyze Hazards</p> <p>Ensure that the analysis provided by the contractor properly covers the hazards associated with the work, is consistent with its safety management system, and provides sufficient information for the selection of safety standards and controls, or, for GOGO, supply such an analysis.</p> <p>Ensure that the hazard analysis for Hazard Category 1, 2, and 3 nuclear facilities meet the requirements of 10 CFR Part 830, Subpart B.</p> <p>Where this authority has been delegated for non-NNSA facilities, approve the methodology use to prepare the DSA for Hazard Category 1, 2, and 3 nuclear facilities, including the criteria for classifying nuclear safety structures, systems, and components, and document the basis of approval, whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830. Transmit the alternative methodologies to the CSO and EH for review and concurrence.</p> <p>Ensure than hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented in accordance with the requirements of DOE O 151.1A, <i>Comprehensive Emergency Management System</i>. Approve and forward approved hazards surveys and hazards assessments to the LPSO, CSO, PSO, and Director of Emergency Operations, as appropriate.</p>	A, D	Safety and Operations	L	Safety Officer	L, D
				Facility Representative	M
				Systems Engineer	M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
C.2. Categorize Facility/Activity Based on the Hazards Concur (or approve, where this authority has been delegated) on facility/activity classification level based on (i) input from DOE line managers or contractors regarding the type and amounts of hazards and (ii) the requirements of 10 CFR 830.202(b)(3).	A, D	Safety and Operations	L	Safety Officer	L
D. Develop and Implement Controls					
D.1. Identify Standards and Requirements					

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>D.1.b ES&H Site-/Facility-Specific Requirements (Hazard Category [HC] 2 and below)</p> <p>ES&H site-/facility-specific requirements for incorporation into contracts and authorization agreements for HC 2 and below non-reactor nuclear facilities are to be clearly defined.</p> <p>Direct the contractor to propose site- and facility-specific standards tailored to the work and the hazards.</p> <p>Provide the above documentation to the CSO and Headquarters program office for information or approval, unless delegated that authority.</p> <p>Review and approve the specific requirements to be included in contracts, authorization agreements, safety documentation, and authorization bases where this authority has been delegated.</p> <p>Cooperative with program and other personnel to identify requirements in the directives system applicable to a contract and provide this list of requirements to the contracting officer for inclusion in the contract.</p> <p>CO incorporates approved standards into contract requirements.</p>	A, D	Safety and Operations	L, D	Safety Officer	A, D, L
	BID M			Systems Engineer	A, D, L
	Quality Assurance A, C, D, L	Regulatory Compliance	A, D, L, M	Disposal	A, D, L
		Program Support	C, I	Contracts & Admin.	C, I
	A, M Legal Counsel C	Safety and Operations	L, D	Safety Officer Disposal Contracts & Admin.	I I I
		Program Support	A, C	Contracts & Admin.	L, P, I
<p>D.1.c. Exemption from DOE Directive Requirements (Other Than Rules)</p> <p>See DOE O 251.1A and DOE M 251.1-1A. In addition, see fire protection exemption and equivalency process specified in DOE O 420.1, <i>Facility Safety</i>.</p>	A	Regulatory Compliance	C		
	Legal Counsel L	Safety and Operations	I	Safety Officer	M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
D.1.d. Exemptions from Requirements in 10 CFR 830 and 835 (See 10 CFR 820, Subpart E and DOE-STD-1083-95) Review and provide recommendations to CSOs or EH on requests for exemptions to 10 CFR Parts 830 and 835.	A Legal Counsel C Quality Assurance C	Safety and Operations	C	Safety Officer	L
D.1.e. Exemptions from External Requirements Contractors and FEMs, in coordination with appropriate PSO, may find it necessary to pursue exemptions from local, State, or other Federal agencies. Responsibilities and authorities for this function are to be included in the appropriate organization-specific FRA documents.	A Legal Counsel C Quality Assurance C	Regulatory Compliance Safety and Operations	L, I C	Safety Officer	C

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>D.1.f. Approval of Programs and Processes Required by Nuclear Safety Rules</p> <p>Direct the contractor to prepare RPPs, USQ procedures, and DSAs and preliminary DSAs in accordance with Parts 830 and 835.</p> <p>Review the RPPs, USQ procedures, and DSAs and preliminary DSAs prepared by the contractor for compliance with the requirements of 10 CFR Parts 830 and 835.</p> <p>Approve the RPPs, USQ procedures, and DSAs and preliminary DSAs using provisions of Table 2 of Appendix A to subpart B of 10 CFR 830 for which approval authority has been delegated. Obtain EH review and concurrence in the provisions of safe harbor are not used.</p> <p>If not delegated approval authority, send recommendation for approval to the PSO with concurrence or comments.</p> <p>Respond to CSO or EH comments.</p> <p>Transmit approvals of RPPs, USQ procedures, and DSAs and preliminary DSAs from PSO (or delegate) to contractors.</p> <p>Provide line management oversight and ensure contractor execution of plans, programs, and procedures to meet nuclear safety rule requirements.</p>	Quality Assurance C, M	Safety and Operations	L	Safety Officer Systems Engineer Disposal	L, D M M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>Approve --</p> <p>(i) the nuclear safety design criteria selected for the preliminary DSAs for hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i>, as required by 10 CFR Part 830.206(b)(2); and,</p> <p>(ii) the methodology used to prepare DSAs when the contractor does not use a methodology for safety analysis contained in Table 2 to Appendix A of 10 CFR Part 830, and transmit the methodology and criteria to EH for review and concurrence (or commend, if a NNSA facility is involved).</p>		Safety and Operations	A, C, M	Safety Officer	A, C, M
					Safety Officer
<p>D.2. Identify Controls to Prevent and Mitigate Hazards</p> <p>Identified controls must appropriately address hazards to the worker, the public, and the environment from either nuclear or non-nuclear materials and operations. This effort includes both DOE and external controls (e.g., permits).</p>					
<p>D.2.b. Hazard Category (HC) 2 Non-Reactor Nuclear Facilities</p> <p>Direct the contractor to prepare documentation for controls for the prevention and mitigation of hazards (including Technical Safety Requirements for Hazard Category 2 and 3 nuclear facilities). Review the adequacy of the controls and their documentation.</p> <p>Provide line management oversight and ensure the implementation of hazards mitigation programs and controls.</p> <p>Identify any other facilities for which hazard controls must be identified and documentation prepared (e.g., major systems.)</p>	A	<p>Safety and Operations</p> <p>Regulatory Compliance</p>	<p>L</p> <p>C</p>	Safety Officer	D, M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
D.3. Establish Safety Bases and Authorization Bases					
D.3.b. Safety Documentation/Authorization Basis for Hazard Category (HC) 2 Non-Reactor Nuclear Facilities Direct preparation of the authorization basis and safety basis documentation; approve these documents, except where authority to do so has not been delegated, and oversee implementation by the contractor. Where authority has been delegated prepare a safety evaluation report concerning the safety basis of the facility.	A	Safety and Operations	L	Safety Officer	L, M, P
D.3.c. Authorization Protocols Determine appropriate protocol based on work and hazard. Append approval authorization agreement or modify the affected contract to contain its provisions. Establish requirements to ensure that authorization agreements are maintained up-to-date.	A, D	Program Support Safety and Operations	L M	Contracts & Admin. Safety Officer	L, A M
D.4. Implement Controls Monitor the proper implementation of controls, including contractor processes for USQs and configuration management and compliance with Technical Safety Requirements.	D	Safety and Operations	L, D	Safety Officer Disposal Facility Representative Systems Engineer	L, D L, D M L, D, M
E. Perform Work					

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
Each PSO and field element organization is responsible for implementing a Federal Employee Occupational Safety and Health (FEOSH) program for its DOE employees.	A	Safety & Operations	L, P, M	Safety Officer	I
E.1. Confirm Readiness Shut down work if a clear and present safety danger exists and promptly notify the PSO and EH.	A	Safety and Operations Regulatory Compliance	L D, M	Safety Officer Disposal Facility Representative Systems Engineer	L, D D, M D, M D, M
E.1.a Readiness Reviews Ensure that ORRs and RAs are conducted by a review team in accordance with DOE O 425.1B, <i>Startup and Restart of Nuclear Facilities</i> . Require that contractors prepare Startup Notification Reports. Review and approve each Startup Notification Report in accordance with DOE O 425.1B.	A	Safety and Operations	L	Systems Engineer Facility Representative	M, P M
E.1.b. Startup Authorization for Nuclear Facilities (See DOE O 425.1B, paragraph 4a(3), and Table 1, DOE-STD-3006-2000)	A	Safety and Operations	L	Systems Engineer Safety Officer Disposal Facility Representative	M M M M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>E.1.c. Startup Authorization for Non-Nuclear Facilities</p> <p>The requirements are the same for HC 3 nuclear facilities, in that a RA (as described in DOE O 425.1B, paragraph 4a(2)) may be performed instead of an ORR. A graded approach should be used for very low hazard facilities such as office buildings.</p> <p>Determine the appropriate level of readiness necessary for the startup of non-nuclear facilities and ensure that it has been attained.</p>	A	Safety and Operations	L, I	Systems Engineer	L, M
				Safety Officer	P, I
				Disposal	P, I
<p>E.2. Perform Work Safely</p> <p>Ensure contracts are properly implemented.</p> <p>Ensure contractors implement worker, public, environment, and facility protection programs.</p> <p>Ensure that the safety management system is properly implemented.</p> <p>Implement site/field element strategic plans.</p> <p>Perform line management oversight of contractors' worker, public, environment, and facility protection programs.</p> <p>Maintain day-to-day operational oversight of contractor activities at applicable facilities through DOE Facility Representatives.</p>	A	Each AM	L	All teams	L, I, M
	BID M				
	Legal L	Safety and Operations Regulatory Compliance	M M	Safety Officer	M
		Safety and Operations	M	Safety Officer	M
		Regulatory Compliance Safety and Operations	L, M L	Safety Officer	M
	Quality Assurance L, M	Safety and Operations	M	Safety Officer	M
				Facility Representative	M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>E.3. Quality Assurance</p> <p>Review and, where delegated authority to do so, approve contractors' quality assurance programs (QAPs), and ensure QAPs for nuclear facilities meet the requirements of 10 CFR 830.</p> <p>Ensure that contractors implement QAPs.</p> <p>Ensure that contractor's QAPs are integrated with the contractor's safety management programs.</p>	<p>A, D</p> <p>Quality Assurance C,D, M</p>	<p>Regulatory Compliance</p> <p>NTP (for the NTP-PDP QAPs)</p> <p>Safety and Operations</p>	<p>C, D, M</p> <p>C, M</p> <p>C, M</p>	<p>Facility Representative</p>	<p>C, M</p>
F. Collect Feedback and Pursue Improvement					
F.1. Generation, Collection, and Dissemination of Information					
<p>F.1.a. Lessons Learned Program</p> <p>Direct contractors to develop a lessons learned program. The program should include analysis and trending of events.</p> <p>Participate in DOE-wide sharing of lessons learned.</p> <p>Monitor and assess contractor's lessons learned program. Participate in DOE lessons learned programs to improve internal organizational lessons learned processes.</p>	<p>I</p> <p>Legal Counsel L</p> <p>Public Affairs M, C</p> <p>Quality Assurance L, M</p>	<p>Each AM</p>	<p>L</p>	<p>All teams</p>	<p>L</p>

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>F.1.b. Occurrence Reporting and Processing System (ORPS)</p> <p>Direct contractors to report occurrences on the ORPS. Review and approve reports, including proposed corrective actions.</p> <p>Review ORPS reports from all sites to detect potential improvements and means of averting occurrences.</p> <p>If approval authority for off-normal and unusual occurrence reports has been delegated to the FEM, it may be further delegated to the level considered appropriate by the FEM.</p>	A	Safety and Operations	L, C	Facility Representative	L, M, A
		Safety and Operations	L	Safety Officer	L, M, A
				Facility Representative	L, A
				Safety Officer	L, A
				Systems Engineer	L, M, A
<p>F.1.c ES&H Reporting Requirements (Occupational, Safety and Health, Environmental, Radiological)</p> <p>Oversee implementation of ES&H reporting at the site.</p>	A, M	Regulatory Compliance	L	Compliance	L
		Safety and Operations	L	Safety Officer	L
				Systems Engineer	M
				Disposal	M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>F.1.d. Assessments</p> <p>Assess CBFO to identify areas in which continuous improvement in the safety of DOE operations can be realized. Assign responsibility within CBFO for establishing criteria for such assessments and for conducting them.</p> <p>Examine the findings of both internal and external assessments of CBFO to identify root causes, trends, and necessary corrective actions within the responsibility of CBFO.</p> <p>Submit all assessment findings and their corrective actions to the process noted in ISMS Function F.2 Make Changes to Improve.</p> <p>Ensure that all currently applicable safety requirements are captured in the CBFO FRAM and are consistent with other FRA documents of other organizations with which there are interfaces.</p> <p>Review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions. When this review finds insufficient safety significance to justify corrective efforts, report the results of that review to the assessing organization.</p>	A,L, M	Safety and Operations	L	Safety Officer	C,I,L,M
	Quality Assurance L	Regulatory Compliance	L, M	Facility Representative	M
		Each AM	M	Disposal	C,I,L
				Systems Engineer	M
<p>F.1.e Accident Investigations</p> <p>Accident investigations are performed as part of EH's independent oversight function. The responsibilities and procedures for accident investigations are covered in detail in DOE O 225.1A <i>Accident Investigations</i>.</p>	L, M, C	Safety and Operations	L	Safety Officer	I, M
				Facility Representative	I, M
				Systems Engineer	I, M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
F.2. Make Changes to Improve	L, M	Safety and Operations	L	Safety Officer	I, M
Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and the lessons learned.				Facility Representative	I, M
Develop and maintain a process to ensure that corrective actions are planned and pursued to completion and adequately correct the root causes of the conditions that prompted them.	Quality Assurance L, I, M	Regulatory Compliance	L, I, M	Disposal	I, M
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.	Public Affairs L			Systems Engineer	I, M
				Contracting Officer	L, I

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>F.2.a Corrective Actions</p> <p>Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.</p> <p>Assign a cognizant line manager to prepare CAP to address the issues raised in formal independent oversight assessment reports.</p> <p>If the Office of Independent Environment, Safety and Health Oversight provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.</p> <p>Implement the CAP and update the status of corrective actions in the DOE Corrective Action Tracking System (CATS).</p> <p>Coordinate with the field and Headquarters DOE elements to ensure that all closed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.</p>	<p>A</p> <p>Quality Assurance L, I, C</p> <p>BID M</p>	Safety & Operations	I, A	Systems Engineer	M
F.3. Oversight and Enforcement					

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>F.3.a. Line Management Oversight</p> <p>Perform management assessment of contractors to evaluate their success in doing work safely.</p> <p>Appraise performance of the contractor against formally established ES&H and emergency management performance measures and other ES&H and emergency management performance indicators, and take appropriate action.</p>	C, I	Safety and Operations	L	Safety Officer	I, M
				Disposal	I, M
				Facility Representative	I, M
		Regulatory Compliance	C, I, L, M	Systems Engineer	I, M
				Safety and Operations	C, I
Safety Officer	L, M				
Disposal	L, M				
<p>F.3.b EH Independent ES&H Oversight</p> <p>Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.</p> <p>Assign a cognizant line manager and prepare a CAP to address the issues raised in formal independent oversight assessment reports. If the Office of Independent ES&H Oversight provides comments on a CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately. Implement the CAP.</p> <p>Coordinate with the field and Headquarters DOE elements to ensure that all closed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.</p>	A Quality Assurance I, M, P	Safety and Operations	L	Safety Officer	L, I
				Systems Engineer	M

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
<p>F.3.c. OA Independent Emergency Management Oversight</p> <p>Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements.</p> <p>Assign a cognizant line manager to prepare CAP to address the issues raised in formal independent oversight assessment reports.</p> <p>Approve CAPs within 30 calendar days of the issuance of the formal independent oversight assessment report.</p> <p>If the Office of Independent Oversight and Performance Assessment provides comments on a CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately.</p> <p>Implement the CAP.</p> <p>Coordinate with the field and Headquarters DOE elements to ensure that all closed corrective actions have been verified by persons with sufficient independence from those who performed the work described in the CAP.</p>	<p>A</p> <p>Quality Assurance M, C</p>	<p>Safety & Operations</p>	<p>M, D</p>	<p>Systems Engineer</p> <p>Disposal</p>	<p>M</p> <p>L, A, I</p>
<p>F.3.d. Price-Anderson Amendments Act Enforcement</p> <p>Monitor contractor reporting of potential nuclear safety violations and noncompliances with nuclear safety rules to the Office of Enforcement and Investigation (OEI) for review under the provisions of 10 CFR Part 820. Provide information and support investigations. Ensure the unfettered access of the OEI personnel to information and facilities, consistent with safety and security requirements. Participate in enforcement conferences with the OEI.</p>	<p>A, D</p> <p>Quality Assurance L, M</p> <p>Legal Counsel C</p>	<p>Safety and Operations</p>	<p>C</p>	<p>Safety Officer</p>	<p>M</p>

ISMS FUNCTIONS (See Section 9, DOE M 411.1-1B, 5-22-01)	CBFO RESPONSIBILITIES AND ASSIGNMENTS				
	Office of the CBFO Mgr. (and Special Staff*)	CBFO OFFICES (Asst. Managers)		CBFO TEAMS and/or POSITIONS	
F.3.e. Interface with DNFSB and EEG Provide full cooperation with the Board, including ready access to CBFO facilities, personnel, and information; provide responses to DNFSB recommendations and requests as described in DOE M 140.1-1B, <i>Interface with the Defense Nuclear Facilities Safety Board.</i>	I, A	Safety & Operations	L, D	Safety Officer	I, L, P
				Facility Representative	I, L, P
				Systems Engineer	I, L, P
				Disposal	I, L, P

4.0 DELEGATION OF AUTHORITY INTERNAL TO CBFO OPERATIONS

DOE/AL reserves authority for certain administrative functions for internal CBFO operations, and in some instances the specific action is a shared authority. Table 2 outlines the delegation of authority for internal CBFO operations.

Table 2

Delegation of Authority for Internal CBFO Operations

Authority	Item	CBFO	DOE/AL	Both
4.1 Authority for Administration of Federal Personnel	Staffing			X
	Position Classification			X
	Training			X
	Flextime	X		
	Grievances			X
	Adverse Actions	X		
	Awards	X		
	Standard Form 50			X
4.2 Authority to Approve Travel, Change of Official Station, and Related Expenses	Travel Authorizations			X
	Administrative Approval of Travel Vouchers	X		
	Government Transportation Requests		X	
	Purchase and Sale of Residence in Connection with Change of Official Station		X	
4.3. Authority for Leave and Pay (Overtime) Administration	Leave	X		
	Time and Attendance Reports Certification	X		
	Pay/Overtime			X

Authority	Item	CBFO	DOE/AL	Both
4.4 Authority Relating to Management of Property	Borrowing and Loan of Property	X		
	Removal of Government Property	X		
	Sale of Excess and/or Salvage Government Equipment/Materials	X		
	Financial Inventory Adjustments		X	
	Certificates of Release of Motor Vehicles	X		
	Transfers of Property	X		
	Retirement of Property		X	
4.5 Authority Relating to Acquisition and Financial Assistance	Contracting Officer's Technical Representative	X		
	Justifications for Other Than Full and Open Competition			X
	Source Selection Official			X
	Indirect Cost Rate Agreements		X	
	Organizational Conflict of Interest Determinations	X		
	Contracting Officer Authority			X
4.6 Authority to Grant Security Access Authorizations, Approve Controlled Classified Visits, and Approve Unclassified Visits and Assignments by Foreign Nationals		X		
4.7 Authority to Grant Information Under the Freedom of Information and Privacy Act		X		
4.8 Authority to Sign Environmental Documents		X		
4.9 Authority to Acquire Department Forms		X		

Authority	Item	CBFO	DOE/AL	Both
4.10 Authority to Designate Certifying Officers			X	
4.11 Authority to Certify Closure of Office of the Inspector General and General Accounting Office Audit Corrective Action Plans			X	
4.12 Authority to Remove Uncollectible Accounts of DOE and its Cost-Type Contractors			X	
4.13 Authority to Take Actions Authorized under 10 CFR 708 and DOE Order 442.1		X		
4.14 Authority to Approve Information Resource Management Implementation Plans		X		
4.15 Authority Relating to Records Management		X		
4.16 Authority to Enter into Memoranda of Understanding		X		
4.17 Authority to Sign Changes to Authorization Basis Documents		X		
4.18 Authority to Report Toxic Chemical Releases		X		
4.19 Authority to Sign RCRA Reports		X		

4.1 Authority for Administration of Federal Personnel

4.1.1 Staffing

Authority is hereby delegated to the Deputy Manager and all AMs to prepare the language and justification for all advanced in-hire rates, recruitment and relocation bonuses, and retention allowances up to 25 percent of basic pay as an incentive to acquire and retain high-quality employees. DOE/AL makes the official offer and approves all staffing matters.

4.1.2 Position Classification

Authority is hereby delegated to the Deputy Manager and the Office of Program Support to define each CBFO position. DOE/AL reserves the authority to approve classification of positions up to and including GS-15.

4.1.3 Training

Authority is hereby delegated to the AMs to approve requests for training for employees under their direct supervision. DOE/AL Human Resources Division reserves the authority to act as authorizing official for CBFO training.

Authority resides in DOE/AL Qualifications and Training Division to authorize and approve AL-funded participation in outside professional and technical organizations and payment from or to these organizations resulting from such participation.

4.1.4 Flextime

Authority is delegated to the CBFO Manager to institute a flextime policy for the working of alternative schedules. The alternative schedule or flextime policy will support the DOE's planned activities and programs.

4.1.5 Grievances

Authority is hereby delegated, without power of re-delegation, to the Deputy Manager and the AMs to process informal and formal grievances. If the authorized official is involved in the grievance being processed and is unable to act as a deciding official, the case must be referred to the DOE/AL Human Resources Division for further processing.

4.1.6 Adverse Actions

Authority is hereby delegated to the Deputy Manager and AMs to administer and approve disciplinary and adverse actions for CBFO employees.

4.1.7 Awards

Authority is hereby delegated to the CBFO Manager to approve Special Outstanding Achievement Reward awards (\$7,500 and under) and time off awards (fewer than 40 hours).

4.1.8 Standard Form 50s, Notifications of Personnel Action

Authority is hereby delegated to the Deputy Manager and the Office of Program Support to prepare Standard Form 52s (Request for Personnel Action). DOE/AL Human Resources Division then has the authority to approve and issue a Standard Form 50 (Notification of Personnel Action).

4.2 Authority to Approve Travel, Change of Official Station, and Related Expenses

4.2.1 Travel Authorizations

Authority is hereby delegated to the Deputy Manager, AMs, and the team leaders to authorize official travel, transportation, and allowable incidental expenses for employees under their direct supervision.

Authority for relocation resides in DOE/AL Human Resources Division.

Authority is hereby delegated, without power of further re-delegation, to the Deputy Manager and Office of Program Support to approve invitational travel for employment interviews in accordance with 10 CFR 1060.

4.2.2 Administrative Approval of Travel Vouchers

Authority is hereby delegated to the AMs to administratively approve travel vouchers (including the certification of long distance telephone calls on SF-1012) for employees under their direct supervision in accordance with 31 U.S.C. 680(a) and departmental regulations. DOE/AL processes, audits, and approves payment of all travel vouchers.

4.2.3 Government Transportation Requests

DOE/AL Financial Service Center reserves the authority to oversee the Travel Management Center and to sign transportation requests as a "designated agent" in lieu of travelers.

4.2.4 Purchase and Sale of Residence in Connection with Change of Official Station

Authority resides in DOE/AL to approve residence sale and purchase reimbursement applications from the standpoint of their reasonableness and legitimacy.

4.3 Authority for Leave and Pay (Overtime) Administration

4.3.1 Leave

Authority is hereby delegated to the AMs to administratively approve requests from employees under their direct supervision and grant annual leave, administrative leave, sick leave, court leave, military leave, and charge absence without leave.

4.3.2 Time and Attendance Reports Certification

Authority is hereby delegated to the AMs to certify time and attendance reports for employees under their direct supervision in accordance with applicable directives.

4.3.3 Pay/Overtime

Authority is reserved by DOE/AL Human Resources Division to approve superior qualification appointments and highest previous rate increases. Authority is hereby delegated to the Deputy Manager and the AMs to approve within-grade increases and overtime pay or compensatory leave for employees assigned to them.

4.4 Authority Relating to Management of Property

4.4.1 Borrowing and Loan of Property

Authority is hereby delegated, without power of re-delegation, to the Office of Program Support to execute loans of government-owned property to and from other DOE offices, Federal agencies, contractors, and others not covered by existing contractual agreements.

4.4.2 Removal of Government Property

Authority is hereby delegated, with power of re-delegation, to the AMs and Office of Program Support to execute Materials and Package Pass, Form OCBFO-22-288, for removal of government-owned and/or personal property to and from CBFO.

4.4.3 Sale of Excess and/or Salvage Government Equipment/Materials

Authority is hereby delegated, without power of re-delegation, to the Office of Program Support to authorize the sale of excess equipment and/or salvage equipment and materials by the contractor. Authority is hereby delegated, without power of re-delegation, to the Office of Program Support to sell salvage equipment and/or materials and remove them from CBFO via General Services Administration Optional Form 16 entitled, "Sales of Government Personal Property at WIPP."

4.4.4 Financial Inventory Adjustments

Authority resides in DOE/AL for financial inventory adjustments.

4.4.5 Certificate of Release of Motor Vehicles

Authority is hereby delegated to the Office of Program Support to issue certificates of release of motor vehicles for transfers of motor vehicles by CBFO.

4.4.6 Transfers of Property

Authority is hereby delegated, without power of re-delegation, to the Office of Program Support to approve transfers out, with or without reimbursement, to DOE offices, Federal agencies, and authorized State agencies of CBFO-owned excess personal property, materials, equipment, and scrap and salvage items.

4.4.7 Retirement of Property

Authority resides in DOE/AL Property Management Division.

4.5 Authority Relating to Acquisition and Financial Assistance

4.5.1 Contracting Officer's Technical Representative

For other than M&O contracts, authority to perform specific contract administration functions is delegated by the Contracting Officer to a named contracting officer's technical representative (COTR), creating a direct but non-supervisory relationship between the Contracting Officer and COTR.

4.5.2 Justifications for Other Than Full and Open Competition

Approvals for justifications for other than full and open competition acquisitions shall be made in accordance with FAR subpart 6.304 and DEAR 906.3.

4.5.3 Source Selection Official

For simplified acquisitions (FAR 13) and commercial item acquisitions (FAR 12) of less than \$5 million, the CBFO Contracting Officer is designated the source selection official (SSO). For commercial items over \$5 million, the Director, Contracts and Procurement Division-Albuquerque (CPD/AL), is the SSO. For source selection using competitive proposals (FAR 15), the CBFO Contracting Officer is the SSO for procurements under \$500,000; the responsible AM is the SSO for procurements valued between \$500,000 and \$2,000,000; and the Director, CPD/AL, is the SSO for procurements between \$2,000,000 and \$10,000,000. For procurements greater than \$10,000,000, the AL Manager or Deputy Manager shall designate (in writing) the SSO, unless otherwise designated by DOE/HQ. Regardless of who is designated as SSO, only a duly warranted contracting officer is authorized to obligate the Government by signing contractual documents.

For financial assistance solicitations, the CBFO Contracting Officer is delegated the SSO authority. The Director, CPD/AL, approves noncompetitive financial assistance determinations (as the head of contracting activity).

4.5.4 Indirect Cost Rate Agreements

Authority resides in DOE/AL.

4.5.5 Organizational Conflict of Interest Determinations

Authority is hereby delegated to the Legal Counsel and the CBFO Contracting Officer to make the organizational conflicts of interest determinations.

4.5.6 Contracting Officer Authority

The delegations of contracting and financial assistance authority are stated in section 6.0, "Delegation of Contracting Officer Authority."

4.6 Authority to Grant Security Access Authorizations, Approve Controlled Classified Visits, and Approve Unclassified Visits and Assignments by Foreign Nationals

Authority is hereby delegated to the Office of Safety and Operations to grant security access authorizations.

4.7 Authority to Grant Information Under the Freedom of Information and Privacy Acts

Authority is hereby delegated to the Office of Program Support to conduct the duties of the freedom of information officer in accordance with the Freedom of Information Act and DOE notice 251.17.

4.8 Authority to Sign Environmental Documents

Authority resides with the CBFO Manager to sign RCRA permits, permit renewals, reports, and closure certifications.

4.9 Authority to Acquire Departmental Forms

Authority is hereby delegated, with power of re-delegation, to the Office of Program Support to requisition all required agency forms in accordance with applicable DOE directives.

4.10 Authority to Designate Certifying Officers

Authority to designate certifying officers resides in DOE/AL.

4.11 Authority to Certify Closure of Office of the Inspector General and General Accounting Office Audit Corrective Action Plans

Authority resides in DOE/AL.

4.12 Authority to Remove Uncollectible Accounts of DOE and its Cost-Type Contractors

Authority resides in DOE/AL.

4.13 Authority to Take Actions Authorized Under 10 CFR 708 and DOE Order 442.1

Authority is hereby delegated to the Assistant Manager of the Office of Safety and Operations to take actions authorized under 10 CFR 708, "Criteria and Procedures for DOE Contractor Employee Program" and DOE Order 442.1, "Department of Energy Employee Concerns Program," including, but not limited to, granting confidentiality and exceptions to time requirements for processing employee concerns.

4.14 Authority to Approve Information Resource Management Implementation Plans

Authority is hereby delegated to the Office of Program Support to approve telecommunications acquisitions/implementation plans up to \$5 million for a single purchase or \$25 million for a life-cycle cost.

4.15 Authority Relating to Records Management

Authority is hereby delegated to the CBFO Chief Information Officer to ensure that all records submitted for destruction by contractors and DOE personnel are properly scheduled in accordance with applicable DOE directives. Once all required approval signatures have been obtained indicating the records have been properly reviewed for destruction, the CBFO Chief Information Officer is authorized to release those records for destruction in accordance with applicable DOE directives.

4.16 Authority to Enter into Memoranda of Understanding

Authority is hereby delegated to AMs to enter into memoranda of understanding or other such nonbinding agreements. The CBFO Contracting Officer shall sign any sort of agreement that obligates money or obligates CBFO to provide any CBFO resources.

4.17 Authority to Sign Changes to Authorization Basis Documents

Authority is hereby delegated to the AMs, with the advice and consent of the ABSTA, but without further re-delegation, to approve all types of changes to authorization basis documents for CBFO as pertinent to their organization.

4.18 Authority to Report Toxic Chemical Releases

Authority is hereby delegated to the Office of Regulatory Compliance to meet toxic chemical release inventory reporting requirements of the Emergency Planning and Community Right-to-Know Act of 1986.

4.19 Authority to Sign RCRA Reports

Authority is hereby delegated to the Office of Regulatory Compliance to sign all reports involving RCRA.

5.0 DELEGATIONS OF AUTHORITY RELATIVE TO M&O CONTRACTOR ACTIVITIES

DOE/AL reserves authority for some M&O contractor activities. Table 3 depicts the breakdown between CBFO authorities and DOE/AL authorities.

Table 3

Delegations of Authority Relative to M&O Contractor Activities

Authority	CBFO	DOE/AL	Both
5.1 Authority to Direct Contractor's Performance	X		
5.2. Authority to Control Changes	X		
5.3 Authority to Authorize and Manage Projects	X		
5.4 Authority to Approve Contractor Wage and Salary Schedules and Other Reimbursable Conditions of Employment		X	
5.5 Authority Relating to Davis-Bacon Act Determination		X	
5.6 Authority Relating to Scientific and Technical Information Program	X		
5.7 Authority for Litigation and Claims	X		
5.8 Authority to Order the Removal of Trespassers and to Protect the Property and Employees During Protest Demonstrations and Civil Disobedience	X		
5.9 Authority Relating to Transportation Management	X		
5.10 Authority to Sign Contract Administration Notices			X

5.1 Authority to Direct Contractor's Performance

The Contracting Officer has the authority to administer the contract and authorize performance within the general scope of the contract.

Consistent with Article H.17 of the prime operating contract, titled "Technical Direction," certain contractual actions can be officially delegated to DOE employees in writing by the Contracting

Officer. Employees can act as authorized representatives for such functions as technical monitoring, inspection, and other functions of a more technical nature not involving a change in the scope, cost, terms, or conditions of the contract. All technical direction to the contractor will be in writing to prevent an inadvertent "constructive change" to the contract.

All work performed by the contractor in response to technical direction by the Government shall be within the scope of the existing contract and does not authorize any delay in delivery or additional costs to the Government, either direct or indirect. If the contractor considers that any action taken through technical direction would result in a contract price increase or delay in delivery, the contractor shall immediately notify the Contracting Officer orally, including the basis of notification. The contractor shall confirm the notification in writing within three working days and await further direction from the Contracting Officer.

The budget validation process and the negotiated contract provide the scope of performance for the fiscal year. Changes to the cost, price, or level of effort required are made through the CBFO change control process.

5.2 Authority to Control Changes (Change Control Authority)

In accordance with the established CBFO change control procedures, the CBFO Manager approves the scope, schedule, and funding consistent with the DOE-approved funding program and approves/disapproves all change control requests that are above the thresholds expressed in CAO 95-1122, "Baseline Change Control Process."

The CBFO Change Control Board members are delegated the authority to concur or not concur on change requests.

5.3 Authority to Authorize and Manage Projects

Authority is hereby delegated, with power of re-delegation, to the Office of Safety and Operations to authorize and manage line item projects and general plant projects funded within limits established by DOE directives.

5.4 Authority to Approve Contractor Wage and Salary Schedules and Other Reimbursable Conditions of Employment

Approval of wage and salary schedules and other reimbursable conditions of employment for contractor personnel within the limits of applicable DOE directives and approved personnel appendices or other applicable contract provisions is initiated by the Office of Program Support and approved by CPD/AL.

5.5 Authority Relating to Davis-Bacon Act Determination

Davis-Bacon Act applicability determinations are initiated by the Office of Program Support and approved by CPD/AL.

5.6 Authority Relating to Scientific and Technical Information Program

Authority is hereby delegated to the Office of Development and Research to ensure that all scientific and technical information/documents submitted by contractors and DOE personnel are properly reviewed to determine dissemination requirements in accordance with public law and DOE Order 241.1, "Scientific and Technical Information Management Program."

5.7 Authority for Litigation and Claims

Authority is hereby delegated, without power of re-delegation, to the Legal Counsel for the authorities reserved for the CBFO Contracting Officer relating to litigation and claims other than the authority to approve final monetary settlement of litigation or payment of claims.

5.8 Authority to Order the Removal of Trespassers to Protect the Property and Employees During Protest Demonstrations and Civil Disobedience

Authority is hereby delegated, without power of re-delegation, to the CBFO Security and Emergency Operations Program Manager to order the removal of trespassers who are trespassing on the lands owned by or under the control of DOE.

Authority is hereby delegated, without power of re-delegation, to the CBFO Security and Emergency Operations Program Manager to take any reasonable and lawful action deemed necessary to protect the health and safety of DOE and contractor employees and the personal and real property under the jurisdiction and possession of DOE during demonstrations or civil disobedience.

5.9 Authority Relating to Transportation Management

Authority is hereby delegated to the Office of the National TRU Program to manage all aspects of the transportation program for TRU waste shipments to WIPP, including WIPP Waste Information System data and TRANSCOM satellite tracking shipments and shipping schedules.

The Office of Safety and Operations is delegated the authority to handle hazardous waste manifests.

5.10 Authority to Sign Contract Administration Notices

Authority is hereby delegated to the CBFO Contracting Officer to sign contract administration notices officially transmitting DOE directives and directive implementation instructions to applicable contractors. CPD/AL reserves authority to sign contract administration notices related to M&O contractors. The specific delegated authorities of contracting officers are based on those in acquisition coordination and approval procedures for the DOE/AL.

6.0 DELEGATION OF CONTRACTING OFFICE AUTHORITY

Table 4
Delegated Authority of Contracting and Financial Assistance

CBFO Contracting and Financial Assistance Authorities		DOE/AL Contracting and Financial Assistance Authorities		DOE/HQ Contracting and Financial Assistance Authorities	
<u>Type and Level of Authority Source Selection</u>		<u>Type and Level of Authority Source Selection</u>		<u>Type and Level of Authority Source Selection</u>	
Commercial Item Acquisitions (<\$5M) FAR 12	Contracting Officer	Commercial Item Acquisitions (>\$5M) FAR 12	CPD Director	Commercial Item Acquisitions FAR 12	NA
Simplified Acquisitions (All Values) FAR 13	Contracting Officer	Simplified Acquisitions (All Values) FAR 13	NA	Simplified Acquisitions (All Values) FAR 13	NA
Sealed Bidding FAR 14	Contracting Officer	Sealed Bidding FAR 14	NA	Sealed Bidding FAR 14	NA
Competitive Proposals FAR 15 (<\$500K)	Contracting Officer	Competitive Proposals FAR 15 (>\$2M-\$10M)	CPD Director	Competitive Proposals FAR 15 (>\$10M)	If designated by HQ
Competitive Proposals (>\$500K – \$2M)	AM, Office of Program Support	Competitive Proposals >\$10M	If not designated by HQ, AL Manager or Deputy Manager shall designate		

CBFO Contracting and Financial Assistance Authorities		DOE/AL Contracting and Financial Assistance Authorities		DOE/HQ Contracting and Financial Assistance Authorities	
Financial Assistance	Contracting Officer				
<u>Instrument Awards</u>					
Commercial Items FAR 12 (<\$10M)	Contracting Officer	Commercial Items FAR 12 (\$10M)	Concurrence by CPD Director	Commercial Items FAR 12 (>\$10M)	HQ Mgt. Review
Simplified Acquisitions FAR 13 (All Values)	Contracting Officer	Simplified Acquisitions FAR 13	NA	Simplified Acquisitions FAR 13	NA
Contracts (Non-M&O) <\$10M	Contracting Officer	Contracts (Non-M&O) >\$10M	Concurrence by CPD Director	Contracts (Non-M&O) >\$10M	Approval by HQ Business Clearance, if selected
Contracts (M&O)	NA	Contracts (M&O)	Concurrence by CPD Director	Contracts (M&O)	HQ Office of Mgt. Systems
Financial Assistance	Contracting Officer	Financial Assistance	Concurrence by Patent Council, as necessary	Financial Assistance	NA
<u>Modifications (Non M&O)</u>		<u>Modifications (Non M&O)</u>		<u>Modifications (Non M&O)</u>	
\$10M and Under	Contracting Officer with concurrence of AM, Office of Program Support Over \$1M	Over \$10M	Concurrence by CPD Director	Over \$10M	Final Approval selected by HQ Business for Review

CBFO Contracting and Financial Assistance Authorities		DOE/AL Contracting and Financial Assistance Authorities		DOE/HQ Contracting and Financial Assistance Authorities	
Funding Modifications (all dollar levels)	Contracting Officer				
Modifications (M&O)					
Annual Fee & Scope Modification	Concurrence of CBFO Manager	Annual Fee & Scope Modification	CPD Branch Chief with Concurrence of CPD Director	Annual Fee & Scope Modification	NA
Funding Modification	NA	Funding Modification	CPD Branch Chief	Funding Modification	NA
Options to Extend	Concurrence of CBFO Manager	Options to Extend	Concurrence of AL Manager (or Deputy Mgr.) and CPD Director	Options to Extend	Concurrences of HQ Mgt. System and approval by Program Secretary
<u>Other Modifications</u>		<u>Other Modifications</u>		<u>Other Modifications</u>	
Administrative and Changes to Estimated Cost	Contracting Officer	Administrative and Changes to Estimated Cost	Concurrence of Director CPD	Administrative and Changes to Estimated Cost	NA
All Other Modifications	NA	All Other Modifications	Branch Chief CPD	All Other Modifications	NA
Subcontract Consents	Contracting Officer	Procurement System Approval (M&O)	CPD Director	Subcontract/ Procurement System Approvals	NA

APPENDIX A - S/RID REFERENCES

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
10 CFR 71	Packaging and Transportation of Radioactive Material
10 CFR 708	DOE Contractor Employee Protection Program
10 CFR 830	Nuclear Safety Management
10 CFR 835	Occupational Radiation Protection
29 CFR 1910	Occupational Safety and Health Standards
30 CFR 62	Occupational Noise Exposure
40 CFR 61	National Emission Standards for Hazardous Air Pollutants
40 CFR 191	Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High-Level and Transuranic Radioactive Wastes
40 CFR 302	Designation, Reportable Quantities, and Notification
40 CFR 355	Emergency Planning and Notification
40 CFR 370	Hazardous Chemical Reporting: Community Right-to-Know
40 CFR 503	Standards for the Use or Disposal of Sewage Sludge
49 CFR 171	General Information, Regulations, and Definitions
49 CFR 172	Hazardous Materials Table, Special Provisions, Hazardous Materials Communications, Emergency Response Information, and Training Requirements
49 CFR 173	Shippers General Requirements for Shipments and Packagings
49 CFR 177	Carriage by Public Highway
49 CFR 382	Controlled Substances and Alcohol Use and Testing
49 CFR 383	Commercial Driver's License Standards, Requirements and Penalties
49 CFR 385	Safety Fitness Procedures
49 CFR 387	Minimum Levels of Financial Responsibility for Motor Carriers

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
49 CFR 390	Federal Motor Carrier Safety Regulation; General
49 CFR 391	Qualifications for Drivers
49 CFR 392	Driving of Commercial Motor Vehicles
49 CFR 393	Parts and Accessories Necessary for Safe Operation
49 CFR 395	Hours of Service of Drivers
49 CFR 396	Inspection, Repair, and Maintenance
49 CFR 397	Transportation of Hazardous Materials, Driving and Parking Rules
49 CFR 399	Employee Safety and Health Standards
50 CFR 402	Interagency Cooperation Endangered Species Act of 1973 as Amended
16 USC 1531	Conservation Endangered Species (<i>Endangered Species Act</i>)
ANS 8.1	Nuclear Criticality Safety in Operations with Fissionable Materials Outside Reactors
ANS 8.15	Nuclear Criticality Control of Special Actinide Elements
ANSI N42.18-1980	Specification and Performance of On-Site Instrumentation for Continuously Monitoring Radioactivity in Effluents
ANSI N317-1980	Performance Criteria for Instrumentation Used for In-plant Plutonium Monitoring
ANSI N13.52-1999	Personnel Neutron Dosimeters (Neutron Energies Less than 20 MeV)
ANSI N323-1978	Radiation Protection Instrumentation Test and Calibration
ANSI N510-1989	Testing of Nuclear Air-Cleaning Systems
ANSI Z 358.1-1990	Emergency Eyewash and Shower Equipment
ASME NQA-1-1989	Quality Assurance Requirements for Nuclear Facilities Applications
ASME NQA-2a-1990	Quality Assurance Program Requirements for Nuclear Facility Applications
CVSA	Commercial Vehicle Safety Alliance
DOE O 151.1 Chg. 2	Comprehensive Emergency Management System

DOCUMENT NUMBERS **TITLE**

DOE O 210.1 Chg. 2	Performance Indicators and Analysis of Operations Information
DOE O 225.1A	Accident Investigation
DOE O 231.1 Chg. 2	Environment, Safety, and Health Reporting
DOE M 231.1-1 Chg. 1	Environment, Safety, and Health Reporting Manual
DOE O 232.1A	Occurrence Reporting and Processing of Operations Information (<i>cancel</i> s DOE 232.1)
DOE M 232.1-1A	Occurrence Reporting and Processing of Operations Information
DOE O 252.1	Technical Standards Program
DOE O 420.1 Chg. 2	Facility Safety
DOE O 430.1A	Life Cycle Asset Management
DOE O 430.1 Chg. 1	In-House Energy Management
DOE O 433.1	Maintenance Management Program for DOE Nuclear Facilities
DOE O 435.1	Radioactive Waste Management
DOE M 435.1-1	Radioactive Waste Management Manual
DOE O 440.1A	Worker Protection Management for DOE Federal and Contractor Employees
DOE O 460.1A	Packaging and Transportation Safety
DOE O 460.2 Chg. 1	Departmental Materials Transportation and Packaging Management
DOE O 4330.4B	Maintenance Management Program
DOE O 5400.1 Chg. 1	General Environmental Protection Program (<i>Para. 2b, 4b and 4c of Chap II and Para. 2d and 3b of Chap III cancelled by DOE Order 231.1</i>)
DOE O 5400. 5 Chg. 2	Radiation Protection of the Public and the Environment
DOE O 5480.19 Chg. 1	Conduct of Operations Requirements for DOE Facilities
DOE O 5480.20 A	Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
DOE O 5480.21	Unreviewed Safety Questions
DOE O 5480.22 Chg. 2	Technical Safety Requirements
DOE O 5480.23 Chg. 1	Nuclear Safety Analysis Reports
DOE-STD-1088-95	Fire Protection for Relocatable Structures
NFPA – 1995 NFC	National Fire Protection Agency - 1995 National Fire Code

APPENDIX B - OTHER REFERENCES

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
30 CFR 48	Mineral Resources, MSHA: Training and Retraining of Miners
30 CFR 49	Mineral Resources, MSHA: Mine Rescue Teams
30 CFR 57	Mineral Resources, MSHA, Safety and Health Standards: Underground Metal and Nonmetal Mines
40 CFR 194	Criteria for the Certification and Recertification of the Waste Isolation Pilot Plant's Compliance with the Disposal Regulations: Final Certification Application
DOE/EP-0108	Standard for Fire Protection of DOE Electronic Computer/Data Processing Systems
DOE O 130.1	Budget Formulation
DOE O 135.1	Budget Execution-Funds Distribution and Control
DOE O 200.1	Information Management Program
DOE O 241.1	Scientific and Technical Information Management
DOE O 251.1A	Directive System Order
DOE O 252.1	Technical Standards Program
DOE O 360.1A	Federal Employee Training
DOE O 412.1	Work Authorization System
DOE O 413.1	Management Control Program
DOE O 414.1A	Quality Assurance
DOE O 420.1	Facility Safety
DOE O 425.1B	Startup and Restart of Nuclear Facilities
DOE O 442.1	Department of Energy Employee Concerns Program
DOE O 443.1	Protection of Human Subjects (<i>policy and requirements set forth in 10 CFR 745</i>)
DOE O 451.1B	National Environmental Policy Act Compliance Program

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
DOE O 461.1	Packaging and Transfer or Transportation of Materials of National Security Interest (<i>replaces DOE O 5610.14, which is cancelled</i>)
DOE O 470.1 Chg 1	Safeguards and Security Program
DOE O 470.2A	Security and Emergency Management Independent Oversight and Performance Assurance Program
DOE O 471.1-1	Identification and Protection of Unclassified Controlled Nuclear Information Manual
DOE O 471.2A	Information Security Program
DOE O 472.1B	Personnel Security Activities
DOE O 473.2	Protective Force Program
DOE O 534.1	Accounting
DOE O 1220.1A Chg 1	Congressional and Intergovernmental Affairs
DOE O 1230.2	American Indian Tribal Government Policy
DOE O 1270.2B	Safeguards Agreement with the International Atomic Energy Agency
DOE O 1340.1B	Management of Public Communications Publications and Scientific, Technical and Engineering Publications
DOE O 1350.1	Audiovisual and Exhibits Management
DOE O 1450.4	Consensual Listening-In to or Recording Telephone/Radio Conversations
DOE O 1500.2A Chg 11	Travel Policy and Procedures
DOE O 2030.4B	Reporting Fraud, Waste, and Abuse to the Office of Inspector General
DOE O 2100.8A	Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities
DOE O 2100.12A	Payments for Special Burdens and in Lieu of Taxes
DOE O 2110.1A Chg 2	Pricing of Departmental Materials and Services
DOE O 2320.2B	Establishment of Department Position on Inspector General Reports

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
DOE O 2321.1B	Auditing of Programs and Operations
DOE O 4010.1A	Value Engineering
DOE O 4300.1C Chg 1	Real Property Management
DOE O 4320.1B Chg 1	Site Development Planning
DOE O 4320.2A	Capital Asset Management Process
DOE O 4330.5	Surplus Facility Transfer
DOE O 4700.3 Chg 1	General Plant Projects
DOE O 5530.5 Chg 1	Federal Radiological Monitoring and Assessment Center
DOE O 5560.1A	Priorities and Allocations Program
DOE O 5632.1C	Protection and Control of Safeguards and Security Interests
DOE O 5639.8A	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities
DOE O 5670.1A	Management and Control of Foreign Intelligence
DOE O 5670.3	Counterintelligence Program
DOE O 5700.2D	Cost Estimating, Analysis, and Standardization
DOE P 142.1	Unclassified Foreign Visits and Assignments
DOE-STD-1020-94 (CH-1)	Natural Phenomena Hazards Design and Evaluation Criteria for Department of Energy
PL 102-579	Waste Isolation Pilot Plant Land Withdrawal Act
PL 104-201	Waste Isolation Pilot Plant Land Withdrawal Amendment Act (See National Defense Authorization Act for Fiscal Year 1997, Division C, Title XXXI, Subtitle F, Sections 3181 - 3191)

APPENDIX C - LIST OF ISMS AND FRAM REFERENCES

<u>DOCUMENT NUMBERS</u>	<u>TITLE</u>
DOE P 111.1	Departmental Organization Management System
DOE P 411.1	Safety Management Functions, Responsibilities, and Authorities Policy
DOE M 411.1-1B	Safety Management Functions, Responsibilities, and Authorities Manual
DOE P 450.4	Safety Management System Policy
DOE G 450.4-1A	Integrated Safety Management System Guide (Vol.1 - Guidance)
DOE G 450.4-1A	Integrated Safety Management System Guide (Vol.2 - Appendixes)
DOE P 450.5	Line Environment, Safety and Health Oversight
DOE P 450.6	Secretarial Policy Statement Environment, Safety and Health

APPENDIX D - DEFINITIONS

- Accountability** The state of being liable for explanation to a superior DOE official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specific 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 or not, and regardless of whether or not 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 basis under which a DOE employee is empowered to take an action. Such actions include approval of a proposal, stopping work, or directing a contractor to perform work. The basis for an authority may be a public law, a DOE directive, or the written delegation of the responsible authority empowered by such a basis.
- 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 work. Any changes to these terms and conditions would require DOE approval.
[DNFSB/TECH-16]
- Authorization Basis** Safety documentation supporting the decision to allow a process or facility to operate. Included are corporate operational and environmental requirements as found in regulations and specific permits and, for specific activities, work packages or job safety analyses.

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. [DNFSB/TECH-16]
Cognizant Secretarial Officer	That first-tier DOE/HQ officer having responsibility and authority for the particular activity under consideration.
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 542.1, "Appointment of Contracting Officers and Contracting Officer Representatives," which supersedes DOE 4200.4A.
Delegation	Written permission sent by a responsible authority to another DOE employee transmitting the authority to perform a specific function on behalf of that responsible authority, usually containing guidance toward 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.
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 upon the history of supervision of the performing organization.
Field Element	A non-Headquarters DOE organization that is geographically distinct. Field elements can be area offices, support offices, operations offices, field offices, regional offices, or offices located at environmental restoration, construction, or termination sites.
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 consequences 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	<p>Evaluation of the consequences of unmitigated releases, performed to classify facilities or operations into the following hazard categories:</p> <p>Category 1: The hazard analysis shows the potential for significant off-site consequences.</p> <p>Category 2: The hazard analysis shows the potential for significant on-site consequences.</p> <p>Category 3: The hazard analysis shows the potential for only significant localized consequences. [10 CFR 830]</p>
Hazard Controls	Design features; operating limits; or administrative or safety practices, processes, or procedures to prevent, control, or mitigate hazards.
Head of Contracting Activity	Head of a departmental element that has been delegated authority by the Deputy Assistant Secretary for Procurement and Assistance Management 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. [DOE Glossary]
Lead Program Office	At multi-program sites, that Headquarters program office assuming responsibility for ensuring that safety management direction and funding are coordinated among all program offices involved.
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 Assistant Secretary for Environment, Safety, and Health to independently assess the adequacy of DOE and contractor performance. Oversight is separate and distinct from line management activities, including self-assessments. [DOE Glossary]

Program Office	A DOE/HQ organization responsible for executing program management functions and for assisting and supporting field elements in safety and health, administrative, management, and technical areas [DOE Glossary]. As used in this manual, a program office is a DOE first-tier organization having responsibility for one or more of the Department's congressionally established missions. These offices report to the Assistant Secretaries for Defense Programs; Energy Efficiency and Renewable Energy; and Environmental Management; Nonproliferation and National Security; and Fossil Energy, and the Offices of Civilian Radioactive Waste Management; Science; Fissile Materials Disposition; and Nuclear Energy Science and Technology. Some secretarial offices commonly refer to their component organizations having responsibilities of specific program elements as being "program offices."
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, memoranda, and other signed and dated documents identifying the hazards of a process or facility and describing the measures for their control. [10 CFR 830]
Safety Envelope	The range of conditions covered by the safety documentation of a process or facility under which safe operation is adequately controlled.
Safety Management Functions	An activity that may affect the safety and health of workers or the public, or the protection of the environment.
Secretarial Officer	The head of a first-tier organization; a DOE/HQ employee reporting directly to the Secretary, the Under Secretary, or the Deputy Secretary.
Support Office	A DOE organization that provides administrative, legal, technical independent oversight, policy, and standards support to program offices for safety management functions. Examples of HQ support offices include those that report to the Assistant Secretaries for Environment, Safety, and Health and for Human Resources and Administration; the Office of General Counsel; and the Office of the Associate Deputy Secretary for Field Management.