



Department of Energy

Washington, DC 20585

February 13, 2002

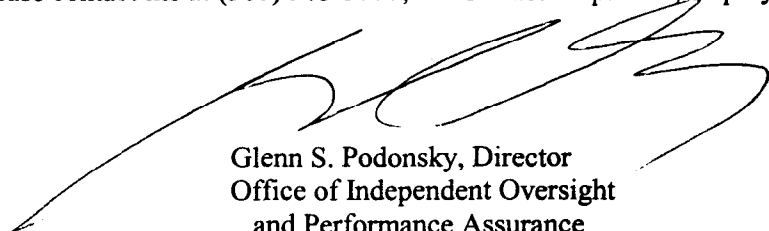
The Honorable John T. Conway
Chairman
Defense Nuclear Facilities Safety Board
625 Indiana Avenue, NW
Washington, D.C. 20004

Dear Mr. Chairman:

As you know, the Office of Independent Oversight and Performance Assurance (OA) clearly recognizes the importance of an office-specific *Functions, Responsibilities, and Authorities Manual* (FRAM) to document and formalize the transfer to OA of the Department's independent environment, safety, and health (ES&H) oversight responsibilities in October 2001. We have made its development a high priority. The OA FRAM is enclosed.

The OA FRAM addresses the safety management functions, responsibilities, and authorities identified in the DOE FRAM (DOE Manual 411.1-1B) and identifies the OA organizational structure for implementing these responsibilities. The FRAM also identifies the requirements and responsibilities for corrective action processes addressed in DOE Order 470.2A, *Security and Emergency Management Independent Oversight and Performance Assurance Program* and DOE Order 414.1A, *Quality Assurance*. A revision to DOE Order 470.2A has been initiated to reflect the transfer of independent oversight functions for ES&H to OA. The revised order is currently being coordinated throughout the Department. Additionally, we have identified other departmental directives that are affected by this re-alignment of functions and have made it a priority to work with the applicable Office of Primary Interest to implement the necessary changes. Regarding our office specific processes, the OA Appraisal Process Protocols have been revised to include the areas of ES&H to ensure that we maintain a systematic oversight process emphasizing performance and performance testing.

If you have any questions, please contact me at (301) 903-3777, or Michael Kilpatrick, Deputy Director, at (202) 586-4399.



Glenn S. Podonsky, Director
Office of Independent Oversight
and Performance Assurance

Enclosure: *Functions, Responsibilities, and Authorities Manual* for the Office of Independent Oversight and Performance Assurance, February 2002

cc:

M. Whitaker, S-3.1



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**FUNCTIONS, RESPONSIBILITIES,
AND AUTHORITIES MANUAL**

For the

U.S. DEPARTMENT OF ENERGY

**OFFICE OF INDEPENDENT OVERSIGHT
AND PERFORMANCE ASSURANCE**



FEBRUARY 2002

A handwritten signature in black ink, appearing to read "Michael A. Kilpatrick", written over a horizontal line.

**Michael A. Kilpatrick, Deputy Director
Office of Independent Oversight
and Performance Assurance**

A handwritten signature in black ink, appearing to read "Glenn S. Podonsky", written over a horizontal line.

**Glenn S. Podonsky, Director
Office of Independent Oversight
and Performance Assurance**

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ACRONYMS

| | |
|-------|---|
| CATS | Corrective Action Tracking System |
| CIO | Chief Information Officer |
| DOE | Department of Energy |
| EH | Office of Environment, Safety and Health |
| ES&H | Environment, Safety, and Health |
| FRAM | Functions, Responsibilities, and Authorities Manual |
| ISM | Integrated Safety Management |
| ISSM | Integrated Safeguards and Security Management |
| NNSA | National Nuclear Security Administration |
| OA | Office of Independent Oversight and Performance Assurance |
| OA-10 | Office of Safeguards and Security Evaluations |
| OA-20 | Office of Cyber Security and Special Reviews |
| OA-30 | Office of Emergency Management Oversight |
| OA-40 | Office of Management and Information Resources |
| OA-50 | Office of Environment, Safety and Health Evaluations |

1.0 Purpose and Scope

The U.S. Department of Energy (DOE) Office of Independent Oversight and Performance Assurance (OA) Functions, Responsibilities, and Authorities Manual (FRAM) implements DOE Policy 411.1, *Safety Management Functions, Responsibilities and Authorities Policy*, which specifies the need for a corporate FRAM (DOE Manual 411.1-1B) as well as organizational-level documents to provide office-specific details for how these functions are to be carried out and to identify who has the responsibilities and authority to do so. The OA FRAM addresses the functions, responsibilities, and authorities, identified within the DOE FRAM, for the Department's independent oversight function and identifies the organizational structure within OA for implementing these responsibilities.

The scope of the OA FRAM includes all applicable functions, responsibilities, and authorities for the Department's independent oversight in the areas of safeguards and security; cyber security; emergency management; and environment, safety and health (ES&H). These are defined for all activities conducted by OA and ensure that the responsibilities and authorities flow down to the individuals who do the work. To ensure a complete and integrated approach to independent oversight, this document addresses both the independent oversight functions for integrated safety management (ISM) and integrated safeguards and security management (ISSM). Activities within both functions include planning, conducting, reporting, funding, monitoring, and improving all independent oversight activities.

2.0 How OA Works

OA provides an independent assessment of the effectiveness of policies and programs in safeguards and security; cyber security; emergency management; ES&H; and other critical functions of immediate interest to the Secretary, the Deputy Secretary, or the Administrator of the National Nuclear Security Administration (NNSA). OA is organizationally independent of the DOE offices that develop and implement policy and programs and can therefore serve as a "watchdog" on Departmental operations, providing unbiased information to senior DOE managers using a systematic oversight process that emphasizes performance and performance testing.

The authority for OA to conduct independent oversight was formally established through DOE Order 470.2A, *Security and Emergency Management Independent Oversight and Performance Assurance Program* (approved March 1, 2000), as revised by DOE Order 470.2B (DRAFT), *Security; Emergency Management; and Environment, Safety and Health Independent Oversight and Performance Assurance Program* (approval pending). The order specifies that OA reports directly to the Secretary and is independent of DOE elements that have line, program management, and/or policy development responsibilities. The requirements in the order detail the basis for independent oversight activities; the conduct of appraisals; the response to significant vulnerabilities; reporting of appraisal results; and the corrective action development, approval and closure (follow-up) process for all findings, issues, or concerns identified during appraisals. Additionally, the order establishes clear

responsibilities for the Director of OA; the Director, Office of Security; the Deputy Administrator, NNSA, and/or cognizant secretarial officers; heads of field elements; the Executive Secretary of the Special Access Program Oversight Committee; the Assistant Secretary, Office of Environment, Safety and Health (EH); the Director, Office of Price-Anderson Enforcement; and the Chief Information Officer/Office of the Chief Information Officer.

OA also draws its authority and responsibilities from a number of DOE ES&H directives, including DOE Manual 411.1-1B, which currently reflect those responsibilities and authorities as residing within EH. Appendix A contains a crosswalk of the independent oversight responsibilities listed in DOE Manual 411.1-1B. Based on the Departmental reorganization announced by the Secretary in July 2001 and completed in October 2001, all references to independent oversight contained in these documents have been reviewed for applicability and incorporation into this office-specific FRAM. OA has proposed revisions for these directives to EH (the office of primary interest). On December 21, 2001, OA identified, through correspondence with the DOE Office of Management and Operations Support (within the Office of Management, Budget and Evaluation), the DOE ES&H directives, including DOE Manual 411.1-1B, that need changes to reflect the transfer of oversight functions. Appendix B lists these directives.

OA continues its longstanding program of evaluating the effectiveness of safeguards and security policies and programs throughout the DOE, including the protection of special nuclear material and classified information. Recognizing the ever-increasing cyber threat and the immense growth in Internet and network systems, OA also performs regular assessments of classified and unclassified cyber security programs and remote scanning and penetration testing of networks to identify vulnerabilities. OA assesses DOE emergency management policies and programs, including the classification of types of emergency situations, protective actions, medical response, coordination with non-DOE organizations (such as fire departments and hospitals), and transfer of information to the media and the public. The changing mission of many DOE facilities, as well as the aging of those facilities, increases the importance of OA assessing DOE ES&H policies and programs, as well as the implementation of those programs, to evaluate their effectiveness in protecting the workers, the public, and the environment. Additionally, OA ensures that identified deficiencies and other important issues are tracked and that line management appropriately implements corrective actions.

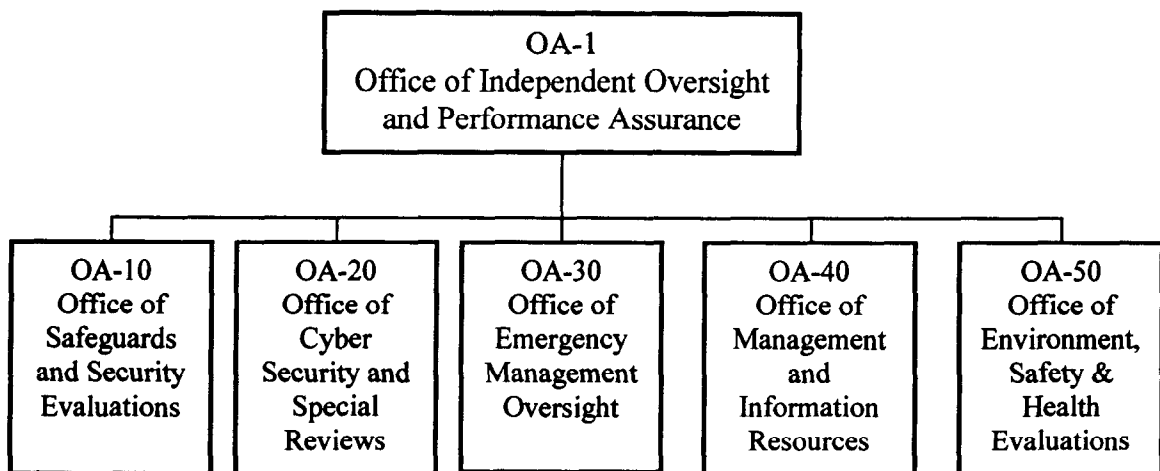
OA places a high degree of emphasis on working with policy and line organizations, such as the Office of Security, EH, the Office of the Chief Information Officer (CIO), the NNSA, the operations offices, and the sites to ensure that identified problems have been adequately addressed. This approach has met with considerable success as a result of the combined effort of DOE field and Headquarters organizations and the support of senior DOE management. In the areas of safeguards, security, and emergency management, the Office of Security has the responsibility to develop and interpret policy, provide guidance to line management, and help the line implement programs that meet DOE requirements. Similarly, the Office of Security and the CIO have a shared responsibility in the area of cyber security, and EH has responsibilities relating to worker and public health and safety as well as

environmental protection. OA conducts inspections and evaluations to determine whether these policies are effective and whether site programs are achieving Department-wide and site-specific objectives.

OA also is responsible for developing data for the Annual Report to the Secretary on the status of safeguards and security. The Office of Security relies on OA appraisals in combination with other information provided by DOE sites (e.g., security surveys and Site Safeguards and Security Plans) to develop the Annual Report to the Secretary. The Annual Report to the President is then developed based on the information in the Annual Report to the Secretary.

2.1 Organization

OA consists of a front office and five subordinate offices, as illustrated below.



OA-1

The OA front office consists of an Office Director, a Deputy Director, an Office Manager, the Public Outreach Liaison, and administrative support. The functions of the front office include strategic direction (e.g., setting priorities, establishing policies, approving appraisal plans and schedules, administering the office, and developing and maintaining the necessary infrastructure) and quality management (e.g., reviewing and approving reports, ensuring effective validation processes, and establishing quality review boards). The front office also provides communication, coordination, and feedback with the Secretary and senior DOE managers to identify their issues and concerns and to support interface with DOE operations offices and field elements and with the NNSA, congressional staff, and other stakeholders.

The OA Outreach Program focuses on communication with citizens, public officials, tribal governments, and other stakeholders interested in the Department's independent oversight of safeguards and security, cyber security, emergency management, and ES&H programs at sites around the country. This program is consistent with the Department's commitment to develop more meaningful dialogue with stakeholders, especially with respect to the impact of operations on communities. The OA program continues to be proactive in reaching out to

meet with state, local, and tribal governments, local congressional delegations, and citizens groups to inform them about OA activities at various sites. This program also provides an opportunity for stakeholder input that can assist OA in scoping and planning various appraisal activities.

Office of Safeguards and Security Evaluations (OA-10)

OA-10 consists of an Office Director, a Deputy Director, administrative support, and two subordinate offices composed of senior-level evaluators with expertise in safeguards and security program areas. OA-10 is responsible for the independent evaluation of the effectiveness of safeguards and security policies and programs throughout the Department, including protection of special nuclear material, protection of classified and sensitive information, and foreign visits and assignments. The office develops and validates reports that identify findings, issues, and opportunities for improvement. It also performs follow-up reviews to ensure that corrective actions are effective, and complex-wide studies of issues and generic weaknesses in safeguards and security to ensure that they are appropriately addressed.

Office of Cyber Security and Special Reviews (OA-20)

OA-20 consists of an Office Director, a Deputy Director, administrative support, and senior-level analysts with a wide range of expertise in computer systems, computer networks, classified and unclassified cyber security, safeguards and security, DOE facilities and operations, and related fields. OA-20 is responsible for the independent evaluation of the effectiveness of classified and unclassified cyber security policies and programs throughout the DOE. Carrying out this responsibility involves establishing and maintaining a continuous program for assessing Internet security, including offsite scanning and controlled penetration attempts to detect vulnerabilities that attackers could exploit. The office also conducts follow-up reviews, complex-wide studies, and the analysis of events associated with cyber security programs.

Office of Emergency Management Oversight (OA-30)

OA-30 consists of an Office Director, a Deputy Director, administrative support, and senior-level evaluators with expertise in emergency planning, preparation, operations, and response. OA-30 is responsible for regular independent assessments of DOE emergency management policies and programs. Carrying out this responsibility involves assessing the classification of events, the performance of protective actions and medical response, and the effectiveness of interfaces and coordination with external organizations and the public. The office also assesses the effectiveness of DOE program office(s) in monitoring emergency preparedness and performance at sites and facilities for which they have responsibility. OA-30 also conducts follow-up reviews to ensure that corrective actions are effective, and complex-wide studies of issues and generic weaknesses in emergency management programs.

Office of Management and Information Resources (OA-40)

OA-40 consists of an Office Director, administrative support, and support staff with expertise in personnel and budget management, and an information management team responsible for information system installation, configuration, and maintenance, including hardware, software, and networking expertise. OA-40 is responsible for providing financial,

information management, and administrative assistance, including the preparation and execution of the OA budget, performance of fund control and accounting, preparation of management studies, provision of management support services, and operation of an Information Technology Center. Additionally, OA-40 maintains the OA web site, the electronic document storage and retrieval system, and systems designed to track classified and unclassified findings from OA assessment activities.

Office of Environment, Safety and Health Evaluations (OA-50)

OA-50 consists of an Office Director, a Deputy Director, administrative support, and senior-level evaluators with expertise in safety management systems. OA-50 is responsible for evaluating ES&H performance throughout the Department to ensure adequate protection to the workers, the public, and the environment. The office performs independent evaluations of the effectiveness of DOE line and contractor management systems utilizing the guiding principles of ISM. ES&H performance is evaluated by observation of work activities and is based on the five core functions of ISM. Safety system functionality is evaluated by review of maintenance, operations, configuration management, and surveillance testing.

Additionally, OA-50 evaluates the effectiveness of DOE line and contractor feedback and improvement systems. The office develops and validates reports that identify findings, issues, and opportunities for improvement. It also performs follow-up reviews to ensure that corrective actions are effective, and complex-wide studies of issues and generic weaknesses in ES&H policies or programs to ensure that they are appropriately addressed.

2.2 Subordinate Office Missions and Functions

2.2.1 OA-10 Mission and Functions

Mission

The Office of Safeguards and Security Evaluations (OA-10) is responsible for the independent evaluation of the effectiveness of safeguards and security policies and programs throughout the Department, including protection of special nuclear material, protection of classified and sensitive information, and foreign visits and assignments. The office develops and validates reports that identify findings, issues, and opportunities for improvement. It also performs follow-up reviews to ensure that corrective actions are effective and that complex-wide studies of issues and generic weaknesses in safeguards and security are appropriately addressed.

Functions

- Conduct regular evaluations of safeguards and security programs at DOE sites that have significant amounts of special nuclear material, classified information, or other security interests. The scope of the evaluations includes any or all aspects of safeguards and security, including physical protection of special nuclear material, accountability of special nuclear material, protection of classified and sensitive information, personnel security, and foreign visits and assignments.
- Perform regular assessments of nuclear materials assurance at DOE sites.
- Evaluate and assess DOE policies related to safeguards and security.

- Perform complex-wide studies of issues and generic weaknesses in safeguards and security.
- Develop and validate reports that identify findings, issues, and opportunities for improvement.
- Review corrective action plans for adequacy, monitor implementation progress, and conduct follow-up evaluations to determine the status and effectiveness of corrective actions.
- Review other government and commercial safeguards and security programs to provide a benchmark for DOE performance.
- Develop recommendations and opportunities for improving safeguards and security for submittal to line organizations and the Office of Security.
- Conduct special reviews on a variety of issues that may arise from time to time or that may be mandated by the Secretary.

2.2.2 OA-20 Mission and Functions

Mission

The Office of Cyber Security and Special Reviews (OA-20) is responsible for the independent evaluation of the effectiveness of classified and unclassified computer security policies and programs throughout the DOE. The office has established and maintains a continuous program for assessing Internet security, including offsite scanning and controlled penetration attempts to detect vulnerabilities that attackers could exploit. The office also conducts follow-up reviews, complex-wide studies, and analysis of events associated with computer security programs.

Functions

- Perform periodic inspections of classified and unclassified cyber security programs at DOE sites.
- Conduct a continuous program of identifying DOE network vulnerabilities through remote scanning and penetration testing.
- Evaluate the effectiveness of DOE policies governing classified and unclassified cyber security.
- Perform complex-wide studies of cyber security issues.
- Develop recommendations and identify opportunities for improving cyber security performance.
- Review corrective action plans for adequacy, monitor implementation progress, and conduct follow-up evaluations to determine the status and effectiveness of corrective actions.
- Review other governmental and commercial cyber security programs to provide benchmarks for DOE performance.
- Maintain a “rapid response” capability to perform special reviews for the Secretary of Energy and senior DOE managers.
- Perform ongoing analyses to identify trends and emerging issues in the cyber security arena.

- Develop input for the annual evaluation of DOE's unclassified information security programs as required by the Government Information Security Reform Act.
- Conduct annual evaluations of classified information security programs for DOE as required by the Government Information Security Reform Act.

2.2.3 OA-30 Mission and Functions

Mission

The Office of Emergency Management Oversight (OA-30) is responsible for regular independent assessments of DOE emergency management policies and programs. This office assesses the classification of events, the performance of protective actions and medical response, and the effectiveness of interfaces and coordination with external organizations and the public. The office also assesses the effectiveness of program offices' monitoring of emergency preparedness and performance at sites and facilities for which they have responsibility. The office performs follow-up reviews to ensure corrective actions are effective and conducts complex-wide studies of issues and generic weaknesses in emergency management programs. The office also identifies effective practices and lessons learned to share throughout the complex to promote improvements.

Functions

- Conduct regular assessments of emergency management programs at DOE sites that have significant amounts of special nuclear material or other hazards.
- Evaluate and assess DOE policies related to emergency management.
- Perform complex-wide studies of issues and generic weaknesses in emergency management programs.
- Develop and validate reports that identify findings, issues, and opportunities for improvement.
- Review corrective action plans for adequacy, monitor implementation progress, and conduct follow-up evaluations to determine the status and effectiveness of corrective actions.
- Review other government and commercial emergency management programs to provide a benchmark for DOE performance.
- Develop recommendations and opportunities for improving emergency management for submittal to line organizations and the DOE Office of Security.
- Evaluate the effectiveness of DOE field element and program office efforts to monitor and assess contractor performance of their emergency management program.
- Identify effective practices and lessons learned pertinent to emergency management and provide them to policy and line organizations for further dissemination to promote improvements throughout the complex.

2.2.4 OA-40 Mission and Functions

Mission

The overall mission of the Office of Management and Information Resources (OA-40) is to provide financial, information management, and administrative assistance to the Director, OA, including the preparation and execution of the OA budget, performance of fund control

and accounting, preparation of management studies, provision of management support services, and operation of an Information Technology Center. OA-40 maintains the OA web site, electronic document storage and retrieval system, and systems designed to track classified and unclassified findings resulting from OA assessment activities. The office participates in systems integration activities with information management organizations that support OA and formulates strategies and evaluates methodologies for the integration of computer software or hardware to improve the effectiveness of OA operations.

Functions

- Maintain comprehensive, performance-based planning, budgeting, and program execution processes that are integrated and consistent with DOE planning processes and requirements.
- Develop, manage, and coordinate formulation and execution of the OA budget.
- Provide a focal point for management, reporting, execution, and coordination of OA procurement activities.
- Develop acquisition strategies for supporting current-year and out-year OA programs.
- Support long- and short-range resource forecasting and budget formulation.
- Develop, implement, and maintain effective financial processes and procedures to achieve quality performance, efficient operations, and reliable internal controls to support the OA mission.
- Conduct programs and activities in support of equal employment opportunities, career development, 8(a), and small business opportunities.
- Provide for records management and centralized office administration services.
- Provide personnel management support, including interface with DOE Office of Personnel on staffing, classification, and personnel security.
- Provide coordination of continuous improvement processes within OA.
- Develop and recommend administrative policies and procedures for OA.
- Develop information resource systems for OA, including development and operation of an OA Information Technology Center.
- Participate in DOE information technology integration activities to support OA operations.
- Formulate strategies and evaluate methodologies for the integration of computer software or hardware to improve the efficiency and effectiveness of OA operations.
- Analyze OA informational needs to ensure that each office is supported by the appropriate information technology.
- Establish, maintain, and manage the OA website.

2.2.5 OA-50 Mission and Functions

Mission

The Office of Environment, Safety and Health Evaluations (OA-50) evaluates ES&H programs and ISM implementation throughout the Department to determine program status and provide feedback to facilitate improvement. These activities are undertaken to ensure adequate protection of the public, workers, and the environment at DOE sites. All office

actions contribute to OA's mandate to provide a comprehensive, accurate understanding of opportunities for improvement in a timely manner.

To carry out its mission, OA-50 conducts multidisciplinary safety management evaluations of ES&H performance throughout the Department. These appraisals focus on the implementation of ISM at major DOE sites and include examination of management systems and ES&H programs related to all DOE activities and all facility life cycles, including construction, operation, deactivation, decontamination, decommissioning, and environmental restoration. OA-50 also conducts focused, short-notice inspections of ES&H policy and program implementation as necessary to further evaluate, follow up on performance trends at selected sites and facilities, and investigate historical ES&H practices. OA-50 provides feedback to Departmental line organizations on ES&H performance, determines the adequacy of improvement actions developed in response to this feedback, and monitors implementation. OA-50 also provides briefings on the results of its appraisals to appropriate authorities, including DOE senior management and stakeholders such as Congress. A formal reporting process ensures that all appraisal findings are addressed through a process of corrective action plan development and approval, utilizing a DOE-wide, web-based computerized reporting and tracking system for managing oversight findings in ES&H areas. Line management is responsible for developing and approving corrective action plans in response to OA findings. OA-50 reviews corrective actions and performs follow-up reviews to ensure that corrective actions are effectively implemented.

Functions

- Conduct oversight of the adequacy of Departmental ES&H policy and programs.
- Plan and conduct regular evaluations of safety management programs and ISM implementation throughout the Department. These evaluations take the form of integrated safety management evaluations, focused reviews, follow-up reviews, and reviews of historical ES&H practices. Their scope encompasses all aspects of operation, from development and institutionalization - including implementation of management systems - to working level (e.g., review of specific projects, observation of work activities, and assessment of essential safety systems). Reviews evaluate management effectiveness against laws, Code of Federal Regulation rules, Departmental requirements, and specific ES&H performance standards.
- Validate ES&H evaluation results and safety issues with DOE and contractor line management and staff.
- Publish the results of evaluations and focused reviews in reports and, where appropriate, apply the OA rating system to evaluate overall site performance. Identify areas of effective performance, weaknesses, safety issues, and opportunities for improvement, and in doing so, promote improved ISM implementation and ES&H performance.
- Review corrective action plans for adequacy, monitor implementation progress, and conduct follow-up evaluations to determine the status and effectiveness of corrective actions.
- Conduct briefings to inform senior DOE and contractor managers and stakeholders (including the Defense Nuclear Facilities Safety Board, citizens advisory boards, and Congress) of the results of appraisal activities and ES&H performance.

- Perform special studies to evaluate issues, adverse safety performance, or trends at selected sites.
- Coordinate with the Office of Price-Anderson Enforcement to ensure identification of non-compliance with rules consistent with the Price-Anderson Amendments Act, where warranted.
- Maintain a broad internal and external perspective on trends by providing national and international representation in ES&H professional organizations.

2.3 Management Elements and Information Hierarchy

OA Management Elements and Controlling Documents

The OA independent oversight process is formally and systematically implemented through DOE policy and office-level protocols. The authority for OA to conduct independent oversight was formally established through DOE Order 470.2A, *Security and Emergency Management Independent Oversight and Performance Assurance Program*, approved March 1, 2000. In July 2001, the Secretary of Energy issued a memorandum to all Departmental elements addressing changes in the Departmental management structure. This memo, and a subsequent memo issued in August 2001 by the Deputy Secretary, directed that responsibility for oversight with regard to ES&H be incorporated into OA, reporting to the Deputy Secretary. These organizational changes were completed at the beginning of FY 2002. To formally incorporate these changes, a revision to the order is being coordinated throughout the Department as DOE Order 470.2B (DRAFT), *Security; Emergency Management; and Environment, Safety and Health Independent Oversight and Performance Assurance Program*. This revision also clarifies the responsibilities for independent oversight and line management of ES&H programs, including the corrective action process.

OA also draws its authority and responsibilities from a number of DOE ES&H directives, including DOE Manual 411.1-1B, which currently reflect those responsibilities and authorities as residing within EH. Based on the Departmental reorganization announced by the Secretary in July 2001 and completed in October 2001, all references to independent oversight contained in these documents have been reviewed for applicability and incorporation into this office-specific FRAM. OA has proposed revisions to these directives to EH (the office of primary interest). On December 21, 2001, OA identified, through correspondence with the Office of Management and Operations Support, the DOE ES&H directives needing changes to reflect the transfer of oversight functions, including DOE Manual 411.1-1B. Appendix B lists these directives.

The OA Appraisal Process Protocols, revised in January 2002, is the upper-tier appraisal process document developed as part of a continuing effort to enhance the quality, consistency, and contribution of independent oversight activities. The protocols describe the general process and principal activities for evaluating the effectiveness of DOE safeguards and security, cyber security, emergency management, and ES&H policies, and the effectiveness of DOE line management in implementing those policies throughout the Department. The process protocols describe the overall philosophy, approach, scope, and protocols to be used by all OA organizations when conducting their specific appraisals. Subordinate OA offices conform to the guidance provided when developing and

implementing the specific procedures and techniques appropriate and necessary for accomplishing their unique independent oversight responsibilities in the areas of safeguards and security, cyber security, emergency management, and ES&H.

OA-10 Management Elements and Controlling Documents

OA-10 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of safeguards and security policies and programs, monitoring performance, and conducting performance testing. The following protocols and supporting office documents have been developed:

- Office of Safeguards and Security Evaluations Safeguards and Security Appraisal Process Guide, February 2000
- Composite Adversary Team Standard Operating Procedure, December 2000
- Physical Security Systems Inspectors Guide, September 2000
- Safeguards and Security Appraisal Process Guide, August 2000
- Personnel Security Inspectors Guide, July 2000
- Classified Matter Protection and Control Inspectors Guide, May 2000
- Protective Force Inspectors Guide, February 2000
- Context and Protocols for Performance Testing of Protective Forces, February 1999.

OA-20 Management Elements and Controlling Documents

OA-20 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of cyber security policies and programs, monitoring performance, and conducting performance testing. The following protocols and supporting office documents have been developed:

- Office of Cyber Security and Special Reviews Appraisal Process Guide, November 2001
- Technical Standard Operating Procedure, February 2002.

OA-30 Management Elements and Controlling Documents

OA-30 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of emergency management programs, elements, and exercises. The following protocols and supporting office documents have been developed:

- Emergency Management Oversight Appraisal Process Guide, January 2001
- Emergency Management Program Evaluation Inspectors Guide, January 2001
- Emergency Management Tabletop Performance Test Inspectors Guide, January 2001
- Memorandum, Standards and Criteria for Evaluating DOE Emergency Management Programs, March 23, 2000.

OA-40 Management Elements and Controlling Documents

The Information Management Control Group (IMCG) functions as a users group to assist OA-40 in ensuring that hardware, software, databases, and textual, graphic, and multimedia information are suitable; that the tools to access this information are of high quality; and that the information management resources are appropriate. The IMCG, through OA-40, ensures that OA management and staff have access to well-organized information needed to do their job, and that the existing information infrastructure evolves to meet future OA needs. The

IMCG consists of one primary and one alternate member from OA-1 and each subordinate office.

The Electronic Document Repository (EDR), also referred to as SAROS, contains all OA correspondence in an organized and searchable form. The EDR provides access to technical documents, reports, correspondence, and a listing of reports available in the OA-10 Document Control Center. OA-40 ensures that technical and administrative staffs are adequately trained to utilize SAROS in their everyday activities. In addition to SAROS, OA-40 has implemented an electronic records management process to govern the managerial activities involved in records creation, maintenance, use, and disposition. OA-40 also provides assistance to the Director of OA-10 by periodically reviewing hardware and software tools and procedures to ensure that OA-10 Document Control Center operations are optimal.

OA-50 Management Elements and Controlling Documents

OA-50 uses office-specific guidance documents to assist the evaluators in planning and conducting appraisals of ES&H performance throughout the Department. The following protocols and supporting office documents have been developed:

- Environment, Safety and Health Appraisal Process Protocols, November 2001 (revision to July 1999 protocols, in draft, pending approval of DOE Order 470.2B)
- Configuration Management – Vital Safety Systems, Assessment Criteria and Guidelines to Ascertain the Current Condition of Confinement Ventilation Systems in Defense Nuclear Facilities, August 2001.

2.4 Interfaces

OA is accountable to the Deputy Secretary of Energy for the performance of all corporate independent oversight of safety. These oversight functions complement, but do not duplicate, line management's responsibility for safety. OA conducts an independent oversight program that complements DOE line efforts and provides senior DOE management with an independent perspective on the status of ES&H, emergency management, cyber security, and safeguards and security at DOE sites. This responsibility requires OA to conduct oversight of all Departmental elements, including the NNSA (except for activities conducted under the authority of the Director, Naval Nuclear Propulsion Program). This responsibility also applies to all contractors performing work for the Department. Therefore, OA must coordinate its activities with program secretarial offices, lead program secretarial offices, cognizant secretarial offices, and field element managers to ensure that independent oversight personnel have access to information and facilities, consistent with safety and security requirements.

EH has the corporate responsibility for maintaining the DOE corrective action management program for all safety issues resulting from emergency management and ES&H appraisals. OA will coordinate with EH to ensure that all applicable appraisal results and corrective action plans are entered into the corporate Corrective Action Tracking System (CATS). EH will be on distribution for all emergency management and ES&H appraisal reports, and the applicable OA office (OA-30 or OA-50) will provide the necessary information to EH to

complete the data entry fields in CATS for each safety issue. OA also coordinates with the EH Office of Price-Anderson Enforcement to ensure identification of any potential non-compliance with rules (10 CFR 820, 830, 834, and 835) related to the Price-Anderson Amendments Act, where warranted.

The Office of Security has the responsibility to maintain the Safeguards and Security Information Management System (SSIMS), a database that tracks findings and associated corrective actions for safeguards and security, and cyber security. OA-10 will coordinate with the Office of Security to ensure that all applicable appraisal results and corrective action plans are entered into SSIMS.

3.0 OA FRAM

3.1 Development and Change Control

The OA FRAM is the office-specific document that formalizes the missions and functions of the office and its subordinate offices. DOE Order 470.2B and office implementing protocols further define OA roles and responsibilities.

The Director of OA is responsible for approving the OA FRAM as a living document. The Deputy Director of OA has the lead responsibility for maintenance of the OA FRAM. Formal revision of the FRAM will be made in response to the following:

- Changes in the authority of OA
- Changes to DOE Manual 411.1 that modify the functions, responsibilities, or authority of OA
- Changes in management systems or internal OA delegation that affect the functions, responsibilities, or authority of the subordinate offices within OA.

The Director of OA will approve all revisions to the FRAM. The most current document will be posted on the OA web site, and affected staff will be notified of changes.

3.2 FRAM Crosswalk

Appendix A contains a crosswalk of the independent oversight responsibilities from DOE Manual 411.1-1B, *Safety Management Functions, Responsibilities, and Authorities Manual*, approved May 22, 2001 to the offices accountable to the OA Director for implementing these responsibilities. The appendix also provides a crosswalk of oversight responsibilities from DOE Manual 411.1-1B to DOE Order 414.1A and DOE Order 470.2B (draft).

4.0 References

The OA FRAM was developed based on the Departmental organization as of February 1, 2002, and the Department's primary ES&H directives listed below. Based on the Departmental reorganization announced by the Secretary in July 2001, all references to "independent oversight" contained in these documents have been reviewed for applicability and incorporation into this office-specific FRAM. On December 21, 2001, OA identified,

through correspondence with the Office of Management and Operations Support, DOE ES&H directives needing changes to reflect the transfer of oversight functions, including DOE Manual 411.1-1B. Appendix B lists these directives. A more comprehensive list of reference documents (rules, directives, standards, etc.), used in conducting appraisals, is contained in the office-specific appraisal process documents for each subordinate office.

DOE Directives

- DOE Order 151.1A, Comprehensive Emergency Management System, November 1, 2000
- DOE Guide 151.1-1, Emergency Management Guide, August 21, 1997
- DOE Policy 411.1, Safety Management Functions, Responsibilities, and Authorities Policy, approved January 28, 1997
- DOE Manual 411.1-1B, Safety Management Functions, Responsibilities, and Authorities Manual, approved May 22, 2001
- DOE Order 414.1A, Quality Assurance
- DOE Guide 414.1-2, Quality Assurance Management System Guide for use with 10 CFR 830.120 AND DOE Order 414.1
- DOE Policy 450.4, Safety Management System Policy, approved October 15, 1996
- DOE Guide 450.4-1B, Integrated Management System Guide, Volume 1 and 2, March 1, 2001
- DOE Policy 450.5, Line Environment, Safety and Health Oversight
- DOE Policy 450.6, Secretarial Policy Statement Environment, Safety and Health
- DOE Policy 470.1, Integrated Safeguards and Security Management (ISSM) Policy, approved May 8, 2001
- DOE Order 470.2A, Security and Emergency Management Independent Oversight and Performance Assurance Program, March 1, 2000
- DOE Order 470.2B, Security; Emergency Management; and Environment, Safety and Health Independent Oversight and Performance Assurance Program (draft)

Other DOE References

- Changes in Departmental Management Structure, memorandum for Heads of Departmental Elements, from the Secretary of Energy, dated July 26, 2001
- Changes in the Department's Management Structure – Environment, Safety and Health (ES&H); memorandum for Administrator NNSA, Under Secretary - Office of Energy Science and Environment, and Director – Office of Management, Budget, and Evaluation, from the Deputy Secretary, dated August 23, 2001
- Revisions to DOE Directive Relevant to Operations of the Office of Oversight and Performance Assurance, memorandum for Howard Borgstrom, Office of Management and Operations Support, from Glenn S. Podonsky, OA-1, dated December 21, 2001

Regulations

10 CFR 820, Procedural Rules for DOE Nuclear Activities

10 CFR 830, Nuclear Safety Management
10 CFR 834, Radiation Protection of the Public and the Environment
10 CFR 835, Occupational Radiation Protection
DEAR 970.5223-1, Integration of ES&H into work planning and execution
DEAR 970.5204-2, Laws, regulations, and DOE directives
DEAR 970.5215-3, Conditional payment of fee, profit, or incentives

Appendix A Crosswalk of Functions, Responsibilities, and Authorities from DOE Manual 411.1-1B to the Responsible OA Office

This crosswalk was conducted following the assignment of ES&H oversight to OA and prior to EH revising DOE Manual 411.1-1B to reflect these changed responsibilities. The crosswalk identifies all paragraphs of DOE Manual 411.1-1B that refer to either OA or EH oversight responsibilities with the understanding that, since October 2001, all independent oversight responsibilities have been assigned to OA and that policy or line management assistance functions remain with EH. Where appropriate, each column identifies the applicable paragraph from the respective manual or order.

Note: The intent of both DOE Order 414.1A and DOE Order 470.2B is to require a formal corrective action process to resolve safety issues identified by OA through its appraisals of DOE emergency management and ES&H programs. DOE Order 470.2B provides for additional feedback and improvement opportunity by requiring a preliminary and interim corrective action plan be developed and submitted to OA for review and comment prior to receiving the final corrective action plan. Both orders require that the Emergency Management and ES&H safety issues or findings be entered into the DOE Corrective Action Tracking System (CATS) and that the actions be tracked to closure.

Table A-1 Crosswalk of DOE Manual 411.1-1B

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|--|-----------------------------|---|----------------------------------|
| 5. Overview of ISM: The purpose of ... independent oversight is to report to DOE management on the status of safety and environmental protection as seen by those not associated with mission accomplishment. | 4.b.(3)(b) 5.d | Objective 5.a | OA-50 |
| 5. OA is responsible for oversight of and reporting to management on the status of emergency management. | | Objective | OA-30 |
| Independent Oversight. ... is the Headquarters element conducting independent oversight and assessment of ES&H activities. | | 5.a.(5) | OA-50 |
| The Office of Independent Oversight and Performance Assurance (OA) oversees emergency management activities and security. | | 5.a.(5) | OA-30 |
| 9.1 Provide Direction: Each Departmental element is responsible for planning its activities, budgeting and allocating available resources to meet its objectives, contributing to the development and implementation of requirements, and meeting Department-wide objectives. | | | OA-1 |
| 9.1.1 DOE Strategic Plans, Including Mission Statements: DOE Policy 450.4, <i>Safety Management System Policy</i> , states "The Department and Contractors must systematically integrate safety into management and work practices at all levels so that missions are accomplished while protecting the public, the worker, and the environment. This is to be accomplished through effective integration of | | | OA-1 |

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|---|------------------------|--------------------------------|---|
| safety management into all facets of work planning and execution.” | | | |
| 9.1.4 Budget: Guiding Principle 4 of DOE Policy 450.4 is “Balanced Priorities. Resources must be effectively allocated to address safety, programmatic, and operational considerations. Protecting the public, the workers, and the environment must be a priority whenever activities are planned and performed. | | | OA-40 |
| 9.1.6 Technical Qualification and Competency: 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. | | | OA-50 for program administration OA-30 and OA- 50 for implementation |
| 9.1.6.2 Contractor Training Program: As the DOE element responsible for independent oversight and assessment of line management's environment, safety, and health performance: a. in coordination with the CSO and FEM, perform independent reviews of nuclear facility personnel training and qualification programs using DOE-STD-1070-94, as appropriate, and provide results of these reviews to the CSO and FEM for resolution and b. monitor and audit activities of the CSO and FEM to ensure the requirements of DOE Order 5480.20A are consistently applied | | 4b 4d | OA-30 OA-50 |
| 9.2.2.1 Policies, orders, Notices, Manuals, Guides, and Page Changes: Office of Primary Interest Responsibilities a. Prepare draft directives (i.e., Policies, Orders, Notices, Manuals, Guides, and page changes), coordinate them with other offices (see DOE Manual 251.1-1A), and submit final draft Orders and Manuals that have the potential to affect field elements and more than one PSO to the FMC for review. For submission to the FMC, a Deputy Assistant Secretary or an equivalent or higher official in the OPI must approve the draft and its | | | OA-1 (OPI for DOE Order 470.2 only) |

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|---|------------------------|--------------------------------|--|
| <p>accompanying justification documents.</p> <p>b. Revise directives as necessary, and provide technical interpretation of directive requirements.</p> <p>c. Submit final draft Policies, Orders, Notices, Manuals, Guides, and page changes to MA-4 for issuance, unless they affect field elements and are presented to the FMC.</p> <p>d. Designate a Directive Development Manager to coordinate review of directives (see DOE Manual 251.1-1A).</p> <p>e. Identify the program offices that have the potential to be affected and coordinate with PSOs for those program offices for review and comment; coordinate with program counsel in the Office of General Counsel for review and comment.</p> <p>f. Provide staff to participate on focus groups or technical development teams.</p> | | | |
| <p>9.2.2.1 Policies, orders, Notices, Manuals, Guides, and Page Changes:</p> <p>When not the Office of Primary Interest:</p> <p>a. Review and comment on proposed directives</p> <p>b. Interact with other Federal agencies to ensure that directives are consistent with Federal ES&H policy.</p> <p>c. Review facilities and activities to confirm that the expectations set by FEM are met.</p> | | | <p>OA-1 for coordination</p> <p>All offices for reviews based on the subject matter of the directive</p> |
| <p>When the Office of Primary Interest</p> <p>d. For ES&H requirements for non-NNSA facilities, review and approve, or deny with reason, applications for exemptions from DOE directives (see DOE Manual 251.1-1A).</p> <p>e. For ES&H requirements for NNSA facilities, review and recommend to NNSA that it approve, or deny with reason, applications for exemptions from DOE directives (see DOE Manual 251.1-1A).</p> | | | <p>OA-1</p> |
| <p>9.3.1 Identify and Analyze Hazards</p> <p>As part of ... independent oversight and assessment functions, review and comment on the hazard identification and hazard analysis in safety documentation</p> | | <p>4b</p> <p>4d</p> | <p>OA-50</p> |
| <p>Conduct independent oversight of emergency management hazards survey and hazards assessment documentation and processes activities</p> | | <p>4b</p> <p>4d</p> | <p>OA-30</p> |
| <p>9.3.2 Categorize Facility/Activity Based on the Hazards: Review and comment on the facility and activity hazard categorization in safety documentation as part of ... independent oversight and assessment functions</p> | | <p>4b</p> <p>4d</p> | <p>OA-50</p> |

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|--|------------------------|--------------------------------|--------------------------|
| 9.4 Develop and Implement Controls | | | |
| 9.4.1.2 Perform independent oversight inspection, review and comment on the authorization basis and safety basis documentation and management systems used to develop and maintain these basis | | 4b 4d | OA-50 |
| Perform independent oversight inspection, review and comment on site and facility specific emergency management requirements | | 4b 4d | OA-30 |
| 9.4.1.6 As part of ... independent oversight function, review and comment on RPPs, USQ procedures, and DSAs and preliminary DS | | 4b 4d | OA-50 |
| Perform independent inspection, review and comment on the adequacy of emergency controls used to prevent and mitigate the impact of emergencies to workers, the public, and the environment | | 4b 4d | OA-30 |
| 9.4.2 Identify Controls to Prevent and Mitigate Hazards | | | |
| Perform independent oversight inspection, review and comment on the adequacy of controls used to prevent and mitigate hazards | | 4b 4d | OA-50 |
| Conduct independent oversight of emergency management activities | | 4b 4d | OA-30 |
| 9.4.3 Establish Safety Bases and Authorization Bases | | | |
| 9.4.3.1 Review and comment on the authorization basis and safety basis documentation and on management systems to develop and maintain authorization basis as part of ... independent oversight function | | 4b 4d | OA-50 |
| 9.4.3.2 Perform independent oversight inspections, review and comment on authorization basis and safety basis documentation and management systems. | | 4b 4d | OA-50 |
| 9.4.3.3 Authorization Protocols: Review and comment on authorization agreements as part of ... independent oversight function | | 4b 4d | OA-50 |
| 9.4.4 Implement Controls: As part of ... independent oversight function, review and comment on how the controls are implemented | | 4b 4d | OA-50 |
| Conduct independent oversight of how emergency management controls are implemented | | 4b 4d | OA-30 |
| 9.5 Perform Work: Each PSO and field element organization is responsible for implementing a Federal Employee Occupational Safety and Health (FEOSH) program for its DOE employees. | | | OA-50 |
| Conduct independent ES&H oversight of the PSO and field element programs (29 CFR 1960.26 | | 4b 4d | OA-50 |

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
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| Conduct of Inspections) | | | |
| Conduct independent oversight of emergency management activities | | 4b 4d | OA-30 |
| 9.5.1.1 Readiness Reviews: As part of ... independent oversight function, review and comment on readiness reviews | | | EH ¹ |
| 9.5.2 Perform Work Safely: As part of ... independent oversight function, review and comment on how safely the work is being performed | | 4d | OA-50 |
| Conduct independent oversight of how safely emergency management activities (particularly emergency response) is performed | | 4d | OA-30 |
| 9.6 Collect Feedback and Pursue Improvement | | | |
| 9.6.1.4 Assessments: All DOE Element Responsibilities: a. Assess their own organizations to identify areas in which continuous improvement in the safety of DOE operations can be realized. Assign responsibility within the element for establishing criteria for such assessments and for conducting them. b. Examine the findings of both internal and external assessments of their element to identify root causes, trends, and necessary corrective actions within the responsibility of their element. c. Submit all assessment findings and their corrective actions to the process implementing paragraph 9.6.2, Make Changes to Improve. d. Ensure that all currently applicable safety requirements are captured in the organization's FRA document, and are consistent with other FRA documents of other organizations with which there are interfaces. | | | OA-40 for coordination and administration All offices for implementation |
| ... Office of ... Oversight conducts independent oversight assessments of the DOE ES&H policies and programs, including Integrated Safety Management. A formal report of the assessment is submitted to the Program Secretarial Office and cognizant line manager (see paragraph 9.6.3.2). | | 4d 4f | OA-50 |
| OA Responsibilities: Conduct independent oversight of emergency management policies, programs, and activities. A formal report of the appraisal is submitted to the Program Secretarial Office and cognizant line manager (see paragraph | | 4d 4f | OA-30 |

¹ This function will remain with EH and will be re-characterized in the relevant directives as support to line management

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|---|------------------------|--------------------------------|--|
| 9.6.3.3). | | | |
| 9.6.1.5 Accident investigations are performed, as part of EH's ... function. The responsibilities and procedures for accident investigations are covered in detail in DOE O 225.1A, Accident Investigations. In the event of a serious accident that results in life-threatening injuries or major environmental contamination, the appropriate PSOs are to meet with the Secretary, Deputy Secretary, and cognizant Under Secretary to thoroughly review the causes of the event, corrective action plans (CAPs), and the effectiveness of the integrated safety management at the site at which the event occurred | | | EH ² |
| <p>9.6.2 Make Changes to Improve: All DOE Element Responsibilities:</p> <p>All DOE elements are accountable for becoming and remaining cognizant of all relevant sources of information bearing upon their activities; i.e., for maintaining contact with other organizations and facilities that have similar activities, both within and external to DOE, and from whom best current practices can be learned. (See paragraph 9.6.1.1, Lessons Learned Program.)</p> <p>a. Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and the lessons learned.</p> <p>b. 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.</p> <p>c. 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.</p> | | | <p>OA-40 for coordination and administration</p> <p>All offices for implementation</p> |
| 9.6.2.1 Corrective Actions | | | |
| The Corrective Action Program is outlined in the DOE "Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 98-1," dated March 10, 1999 (see paragraph 9.6). The purpose of this program is to define a clear, comprehensive, and systematic process to address and resolve ES&H issues identified by the ... Office of Independent ... Oversight and emergency | Attach 2 | 4.g | OA-30 OA-50 |

² This function will remain with EH and will be re-characterized in the relevant directives as support to line management

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|--|------------------------|--------------------------------|--------------------------|
| management issues identified by the Office of Independent Oversight and Performance Assurance. | | | |
| The EH ... monitors program implementation to include sponsorship of a DOE Corrective Action Management Team comprised of DOE Headquarters, program secretarial office and field office representatives; and informs the Deputy Secretary of the corrective action program status. | | | EH |
| Deputy Secretary Responsibilities: Settle cross-organizational disputes regarding resolution of safety issues identified by the Office of ... Oversight and emergency management issues identified by OA. | Attach 2 4 | 4g(8) | OA-1 OA-30 OA-50 |
| PSO Responsibilities: | | | PSO |
| a. Approve CAPs within 60 days (30 calendar days for OA assessment reports) of the issuance of the formal, independent oversight assessment report. | Attach 2 3c | 4g(7) 5c(4) | |
| b. Provide an opportunity for the Department's Chief Operating Officer or delegate to be briefed by the FEM, the Office of ... Oversight, and the Assistant Secretary for Environment, Safety and Health on the related issues, the CAP, and any associated resource issues. | Attach 2 3g | 4f(1) | OA-1 OA-30 OA-50 |
| c. Resolve identified cross-organizational disputes, such as those related to the timeliness or adequacy of CAPs or their implementation. If unsatisfied with responsible line management's resolution, elevate the dispute to the Deputy Secretary. | Attach 2 4 | 4g | OA-1 OA-30 OA-50 |
| FEM Responsibilities: | | | FEM |
| a. Ensure that duly authorized independent oversight personnel have unfettered access to information and facilities, consistent with safety and security requirements. | | 5c 5d | |
| b. Assign a cognizant line manager to prepare a CAP to address the issues raised in formal independent oversight assessment reports. | 3b | 5c 5d | |
| c. If the Office of ... Oversight provides comments on an approved CAP, determine whether the CAP needs to be revised to address those comments, and revise the CAP appropriately. | 3e | 4g(7) | |
| d. Implement the CAP and update the status of corrective actions in the DOE Corrective Action Tracking System (CATS). | 3h | 5c 5d | |
| e. 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 | 3i | 4g(7) 5c | |

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|---|---------------------------------|---|----------------------------------|
| described in the CAP | | | |
| Responsibilities: Office of ... Oversight | | | OA-50 |
| a. Conduct independent oversight on the effectiveness and efficiency of ES&H policies and programs throughout the DOE complex; report to DOE management and external stakeholders on the results of independent oversight assessments; and monitor corrective actions to ensure resolution of identified safety issues. | Attach 2 Para 3a | 4 5a | OA-50 |
| b. Submit formal assessment reports simultaneously to the applicable FEMs, cognizant line manager, and PSO. | Attach 2 3a | 4f 5a(10) | OA-50 |
| c. Review CAPs to resolve these safety issues within 30 days of their approval by the PSO, and, if a conclusion is reached that a CAP does not provide timely or adequate corrective actions for all of the identified safety issues, provide comments and their bases to the FEM and PSO/Deputy Administrator. | Attach 2 3d | 4g 5a | OA-50 |
| d. Identify and describe concerns related to corrective actions, such as timeliness or adequacy of CAPs or their implementation, to the cognizant line manager. If unsatisfied with the line management resolution, elevate the dispute to the Deputy Secretary. | Attach 2 3d 4 | 4g 5a | OA-1 OA-50 |
| Input identified safety issues into the CATS database | Attach 2 2e | 5a(7) | OA-50 |
| ...monitor the corrective action progress, and report to the Deputy Secretary and DOE Headquarters and field management on the status of the CAP outlined in the CATS on a quarterly basis. | Attach 2 2e | 5f | EH |
| Conduct independent oversight of emergency management activities. | Attach 2 3a | 4 5a | OA-30 |
| a. Conduct independent oversight on the effectiveness and efficiency of emergency management policies and programs throughout the DOE complex; report to DOE management and external stakeholders on the results of independent oversight assessments; and monitor corrective actions to ensure resolution of identified emergency management issues. | Attach 2 3a | 4 5a | OA-30 |
| b. Submit formal assessment reports simultaneously to the applicable FEMs, CSO, Office of Security and Emergency Operations, and NNSA (when applicable). | Attach 2 3a | 4f 5a(10) | OA-30 |
| c. Consistent with DOE Order 470.2A, review preliminary, interim, and final CAPs to resolve these emergency management issues and, if a conclusion is reached that a CAP does not provide timely or adequate corrective actions for all of the | Attach 2 3d | 4g 5a | OA-30 |

| DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs) | DOE Order 414.1A | DOE Order 470.2B (DRAFT) | Responsible OA Office |
|--|------------------------|----------------------------------|--|
| identified safety issues, provide comments and their bases to the FEM, CSO, Office of Security and Emergency Operations, and NNSA (when applicable). | | | |
| d. Identify and describe concerns related to corrective actions, such as timeliness or adequacy of CAPs or their implementation, to the FEM, CSO, Office of Security and Emergency Operations, and NNSA (when applicable). If unsatisfied with the line management resolution, elevate the dispute to the Deputy Secretary | Attach 2 3d 4 | 4g 5a | OA-1 OA-30 |
| Input identified emergency management issues into the CATS database | Attach 2 2e | 5a(7) | OA-30 |
| ...monitor the corrective action progress, and periodically report to the Deputy Secretary and DOE Headquarters and field management on the status of the CAP outlined in the CATS. | Attach 2 2e | 5f | EH |
| 9.6.3 Oversight and Enforcement | | | |
| 9.6.3.1 Evaluate the effectiveness of line management's oversight | 5d | 4b 5a | OA-50 |
| Evaluate the effectiveness of line management's oversight of emergency management activities | 5d | 4b 5a | OA-30 |
| 9.6.3.2 Independent ES&H oversight a. Conduct independent assessments of safety management and authorization basis processes and products at Departmental sites in accordance with established protocols to assess success of the DOE safety management system, the Readiness Review process, CAPs, and supporting programs for doing work safely. b. Submit formal assessment reports simultaneously to the applicable FEMs, cognizant line manager and PSO. c. Review CAPs within 30 days of their approval by the PSO, and, if a conclusion is reached that a CAP does not provide timely or adequate corrective actions for all of the identified safety issues, provide comments and their bases to the FEM and PSO. d. Identify and describe concerns related to corrective actions, such as timeliness or adequacy of CAPs or their implementation, to the cognizant line manager. If unsatisfied with the line management resolution, elevate the dispute to the Deputy Secretary. | | 4b 4d 4e 4f 4g 5a | OA-50 except for the investigation of serious accidents which remains with EH |
| 9.6.3.3 Independent Emergency Management Oversight: a. Conduct independent oversight on the | | 4b 4d 4e | OA-30 |

| <p>DOE Manual 411.1-1B Approved May 22, 2001 (Excerpts from Applicable Paragraphs)</p> | <p>DOE Order 414.1A</p> | <p>DOE Order 470.2B (DRAFT)</p> | <p>Responsible OA Office</p> |
|--|--|---|---|
| <p>effectiveness and efficiency of emergency management policies and programs throughout the DOE complex; report to DOE management and external stakeholders on the results of independent oversight assessments; and monitor corrective actions to ensure resolution of identified issues.</p> <p>b. Submit formal assessment reports simultaneously to the applicable FEMs, cognizant line manager, CSO, Office of Security and Emergency Operations, and NNSA (when applicable).</p> <p>c. Review interim CAPs to resolve these safety issues within 15 days of their approval and discuss and resolve any inadequacies with the CSO and FEM. If a conclusion is reached that a CAP does not provide timely or adequate corrective actions for all of the identified safety issues, provide comments and their bases to the FEM, CSO and Office of Security and Emergency Operations DOE Manual 411.1-1B</p> <p>d. Identify and describe concerns related to corrective actions, such as timeliness or adequacy of CAPs or their implementation, to the cognizant line manager and the Office of Security and Emergency Operations. If unsatisfied with the line management resolution, elevate the dispute to the Deputy Secretary. Input identified safety issues into the CATS database; monitor the corrective action progress.</p> | | <p>4f 4g 5a</p> | |
| <p>9.6.3.5 Interface with DNFSB All DOE Element Responsibilities: Provide full cooperation with the Board, including ready access to Departmental 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></p> | | | <p>OA-1</p> |

Appendix B Suggested Changes to DOE Directives Relevant to OA

| Number | Title | Suggested Change |
|-------------------------|--|---|
| DOE Order 225.1A | Accident Investigation | <p>EH-1/ EH-2 retains policy and program responsibility for the accident investigation program; EH-2 does not have oversight responsibility to follow-up on the effectiveness of corrective actions</p> <p>Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities. (Conducts appraisals to verify and validate the effectiveness of line management's corrective actions and to confirm closure of findings from OA appraisals and from Type A accident investigations.)</p> |
| DOE Order 231.1 | Environment Safety, and Health Reporting | Update the referenced order based on the revision to Order 470.2 |
| DOE Manual 411.1-1B | Safety Management Functions, Responsibilities and Authorities Manual | Revise to reflect OA as being the corporate oversight organization for safeguards and security, cyber security, emergency management, environment, safety and health. Revise the functions of EH-1/EH-2 to be line management assistance. EH continues to perform enforcement actions, as well as corporate ES&H policy development and interpretation, and safety analysis reviews. |
| DOE Order 414.1A Chg. 1 | Quality Assurance | <p>Revise based on the proposed revision to DOE Order 470.2. Attachment 2 to DOE Order 414.1 should reflect the corrective action requirements in DOE Order 470.2, while continuing to specify the corrective action process, including the use of CATs reporting, monitoring and trending capability.</p> <p>DOE commitments resulting from DNFSB Recommendation 98-1 would continue to be met as follows:</p> <p>Commitment 5.1.1 – review and modify existing protocols – revisions to DOE Orders 470.2 and 414.1 would clarify the revised organizational responsibilities</p> <p>Commitment 5.1.2 – DOE Manual 411.1A and DOE Order 414.1 formalize the process and responsibilities for addressing and resolving safety issues – proposed revisions would clarify the revised organizational responsibilities</p> <p>Commitment 5.1.3 – Verify Department processes have been effectively implemented – previously completed, no change</p> <p>Commitment 5.2 – Develop guidance and direction for elevating CAP concerns to Senior DOE mgmt – addressed in both DOE Orders 470.2 and 414.1</p> |

| | | |
|---------------------------|---|---|
| | | <p>Commitment 5.3.1 – ICAM Team and Charter – no change, it remains a line management and EH function</p> <p>Commitment 5.3.2 – Develop and implement a DOE Corrective Action Tracking system -- no change, it remains a line management and EH function</p> <p>Commitment 5.3.3 – Populate the CAT system with data -- no change, it remains a line management and EH function</p> <p>Commitment 5.3.4 – Provide a report summarizing the CAT system ownership, funding, maintenance, effectiveness, etc -- no change, it remains a line management and EH function</p> <p>Commitment 6.2 – Briefing to the Board on a periodic basis -- no change, it remains a line management and EH function</p> |
| DOE Order 425.2B | Startup and Restart of Nuclear Facilities | Revise based on the proposed revision to DOE Order 470.2 to reflect OA as being the corporate oversight organization for safeguards and security, cyber security, emergency management, environment, safety and health. Revise the functions of EH-1/EH-2 to be line management assistance. |
| DOE Manual 435.1-1 Chg. 1 | Radioactive Waste Management | Revise to reflect OA as being the corporate oversight organization for safeguards and security, cyber security, emergency management, environment, safety and health. Revise the functions of EH-1/EH-2 to be line management assistance. |
| DOE Order 442.1A | Department of Energy Employee Concerns Program | In paragraph 5d, replace EH-1 with OA-1 with the following responsibility: Acts as DOE’s independent element responsibility for the oversight aspects relative to public and worker health and safety, environmental protection, programs designed for the protection of special nuclear material, classified information, and sensitive unclassified information. |
| DOE Guide 450.4-1B | Integrated Management System Guide (Volume 1 and 2) | Revise to reflect OA as being the corporate oversight organization for safeguards and security, cyber security, emergency management, environment, safety and health. Revise the functions of EH-1/EH-2 to be line management assistance. The guide would need to be revised based on the approved changes to DOE Orders 470.2 and 414.1 |
| DOE Notice 450.4 | Assignment of Responsibilities for Executive Order 13148, <i>Greening the Government through leadership in Environmental Management</i> <i>Note: Expired</i> | Delete “independent oversight” from EH-1 responsibility, add a new paragraph: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Policy 450.5 | Line Environment, Safety, and Health Oversight | Revision should delete the “e.g.” reference to EH-2 and not indicate a specific organization |

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| DOE Order 451.1B Chg. 1 | National Environmental Policy Act Compliance Program | Delete "oversight" from EH-1 responsibility, EH-1 retains policy responsibility. Add a new paragraph: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Order 460.2 | Departmental Materials Transportation and Packaging Management | Delete the responsibilities assigned to EH-2 Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Order 470.2A | Security and Emergency Management Independent Oversight and Performance Assurance Program | This order formally establishes the responsibilities and authority for OA. The proposed revision (DOE Order 470.2B) reflects the transfer of independent oversight of ES&H from EH-1 to OA. |
| DOE Order 5480.21 | Unreviewed Safety Questions | Delete "independent" from EH-1 responsibility; EH-1 retains policy responsibility Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Order 5480.4 | Environmental Protection, Safety, and Health Protection Standards | Revise to reflect OA as being the corporate oversight organization for safeguards and security, cyber security, emergency management, environment, safety and health. Revise the functions of EH-1 to be line management assistance. |
| DOE Order 5480.19 Chg. 1 | Conduct of Operations | Delete "independent" from EH-1 responsibility; EH-1 retains policy and program responsibility Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Order 5480.20A Chg. 1 | Personnel Selection, Qualification, and Training Requirements | Delete "independent" from EH-1 responsibility Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |

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| DOE Order 5480.23 Chg. 1 | Nuclear Safety Analysis Reports | Delete "independent" from EH-1 responsibility and delete all references to NS-1. Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Order 5480.30 Chg. 1 | Nuclear Reactor Safety Design Criteria | Delete "independent" from EH-1 responsibility Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |
| DOE Order 5480.22 Chg. 2 | Technical Safety Requirements | Delete "independent" from EH-1 responsibility and delete all reference to NS-1 Add: The Director, Office of Independent Oversight and Performance Assurance (OA-1), acting as the independent element responsible for ES&H oversight for the Department, plans and conducts appraisals according to DOE Order 470.2 to determine the effectiveness of site ES&H activities satisfying the requirements of this Order. |