

# **SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL**

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## **U.S. DEPARTMENT OF ENERGY OFFICE OF ENVIRONMENT, SAFETY AND HEALTH**

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Office of Environment, Safety and  
Health

**SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES,  
AND AUTHORITIES MANUAL**

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1. PURPOSE. This Department of Energy (DOE) Manual defines safety management functions, responsibilities, and authorities for DOE senior management with responsibilities for line, support, oversight, and enforcement actions. It provides detailed requirements to supplement DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97.
2. CANCELLATIONS. DOE M 411.1-1B, *Safety Management Functions, Responsibilities, and Authorities Manual*, dated 5-22-01.
3. APPLICABILITY.
  - a. DOE Elements. Except for the exclusions in paragraph 3c, this Manual applies to all DOE elements, including National Nuclear Security Administration elements, performing safety management functions (see Attachment 1).
  - b. Site/Facility Management Contractors. This Manual does not apply to contractors.
  - c. Exclusions. The facilities and activities of the Naval Nuclear Propulsion Program and the Power Marketing Administrations are exempt from the requirements of this Manual. In addition, to the extent the requirements in this Manual conflict with or duplicate the requirements of the Nuclear Regulatory Commission, the Office of Civilian Radioactive Waste Management is exempt from the requirements of this Manual.
4. SUMMARY. This Manual is composed of eight chapters that document the DOE senior management functions, responsibilities, and authorities related to safety management. The eight tables that follow the chapters provide detailed lists of the safety management functions, responsibilities, and associated authorities of the Secretary, Deputy Secretary, Under Secretaries, and various Secretarial Officers. Appendix A is a list of acronyms used in the Manual.
5. CONTACT. Questions concerning this Manual should be addressed to Mary F. Haughey, Office of Environment, Safety and Health, 301-903-2867 or [Mary.Haughey@eh.doe.gov](mailto:Mary.Haughey@eh.doe.gov).

BY ORDER OF THE SECRETARY OF ENERGY:



KYLE E. McSLARROW  
Deputy Secretary

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## 1. INTRODUCTION AND OBJECTIVE

The Secretary of Energy (the Secretary) has the primary responsibility for ensuring that work at Department of Energy (DOE or the Department) facilities and sites is performed in a manner that adequately protects the worker, the public, and the environment. This responsibility flows from the Secretary through line management to the individuals performing the work. The goal of performing work safely is reflected in the guiding principles and core management functions established in DOE P 450.4, *Safety Management System Policy*, dated 10-15-96, and is codified in the Department of Energy Acquisition Regulations, found at Title 48 of the Code of Federal Regulations (CFR), §§ 970.5204-2, and 970.5223-1 (48 CFR 970.5204-2 and 970.5223-1). These guiding principles include the following:

- a. line management<sup>1</sup> is responsible for protection of employees, the public, and the environment and
- b. DOE and its contractors must clearly define and maintain the lines of responsibility for ensuring protection of environment, safety, and health (ES&H) at all organizational levels.

This Manual addresses both of these guiding principles for DOE by documenting DOE senior management functions, responsibilities, and authorities relating to safety management. The term “safety management” for purposes of this Manual refers to those DOE functions and responsibilities that pertain to and govern the safety<sup>2</sup> of operations and activities at DOE sites and facilities.

This document is required by DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, which mandates the development of a corporate-level document to establish the clear lines of responsibilities and authorities that are necessary to—

- develop and implement requirements and standards that are necessary to provide reasonable assurance that workers, the public, and the environment are adequately protected;
- define essential safety management functions and establish unambiguous DOE roles, responsibilities, and authorities for executing them to accomplish the authorized work;

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<sup>1</sup>DOE line management refers to the Department organization that is responsible for safe operations of a facility or site and has a linear reporting relationship extending from the Secretary to the people in the facilities directly performing the Department’s missions.

<sup>2</sup>For the purposes of this Manual, the term “safety” encompasses “environment, safety, and health” functions to the extent that those functions relate to the safe management of DOE facilities or activities. This Manual does not address security and emergency management, nor does it address protection of human subjects and worker compensation.

- clarify the roles, responsibilities, lines of authority, and delegations between Headquarters (HQ) and field organizations;
- ensure compliance with legal requirements and manage against contractual requirements;
- define functional relationships and responsibilities among DOE line, support, oversight, and enforcement organizations; and
- address the coordination of line direction from multiple program offices at a single site.

This Manual is the corporate-level document that defines safety management functions, responsibilities, and authorities for DOE senior management with responsibilities for line, support, oversight, and enforcement functions. The framework for the lower-tier functions, responsibilities, and authorities documents is discussed in Chapter 8.

## 2. SCOPE

The functions, responsibilities, and authorities documented in this Manual apply to the DOE senior managers and organizations responsible for the overall direction, program support, and oversight of work throughout the DOE complex, for both nuclear and non-nuclear facilities.

This Manual applies to Departmental elements performing safety management functions, including the National Nuclear Security Administration (NNSA).

It does not apply to the following:

- Naval Nuclear Propulsion Program,
- Power Marketing Administrations, or
- Office of Civilian Radioactive Waste Management to the extent it overlaps or duplicates requirements of the Nuclear Regulatory Commission.<sup>3</sup>

This Manual applies to the Secretary, the Deputy Secretary, the Under Secretaries, the Cognizant Secretarial Officers (CSOs) (see Chapter 5), and the support functions of the Office of Environment, Safety and Health and the Office of Independent Oversight and Performance Assurance (see Chapter 6). The Office of Environment, Safety and Health is a program office with responsibilities for facilities and programs. Consequently, the Assistant Secretary for Environment, Safety and Health must meet the CSO requirements listed in this Manual (see Chapter 5) and the support responsibilities that are specifically listed for the Office of Environment, Safety and Health (see Chapter 6).

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<sup>3</sup>See DOE HQ 250.1, *Civilian Radioactive Waste Management Facilities—Exemption from Departmental Directives*, dated 5-1-98.

In addition, the Federal employee occupational safety and health (FEOSH) requirements apply to all DOE organizations, both at HQ and the field, with the exceptions listed in the third paragraph of this chapter. FEOSH requirements are documented in DOE O 440.1A, *Worker Protection Management for DOE Federal and Contractor Employees*, dated 3-27-98, and DOE HQ<sup>4</sup> O 442.1, *Headquarters Occupational Safety and Health Program*, dated 11-3-01. The Assistant Secretary for Environment, Safety and Health is the Designated Agency Safety and Health Officer (DASHO) responsible for defining requirements and guidance for the DOE FEOSH program. The Office of Management, Budget and Evaluation is responsible for implementing FEOSH requirements at DOE HQ facilities. Field element managers (FEMs) are responsible for implementing FEOSH requirements at their field facilities.

The Office of Management, Budget and Evaluation is also responsible for developing and implementing aviation safety policy and providing recommendations to the Secretary on aviation safety matters.<sup>5</sup>

This Manual only addresses the functions, responsibilities, and authorities for DOE organizations. It does not impose requirements on contractors.

### 3. CHANGE CONTROL

This document is a Manual in the DOE Directives System. The responsibilities listed in this Manual are derived from Congressional legislation (such as the Atomic Energy Act of 1954 (AEA) and the DOE Organization Act), Executive orders (E.O.s), Federal regulations, DOE directives (including Secretarial policies and commitments), and Secretarial memoranda.

This document is expected to change as the Department alters its organizational responsibilities and will be updated annually or as required. Changes to this Manual must be made through the DOE Directives System in accordance with DOE O 251.1A, *Directives System*, dated 1-30-98, and DOE M 251.1-1A, *Directives System Manual*, dated 1-30-98. However, the Secretary may override or change responsibilities in this Manual through Secretarial memoranda. Secretarial Memoranda that override or change responsibilities in the FRAM will be posted on the FRAM web page at <http://tis.eh.doe.gov/nsps/frams.html>. Any changes made by Secretarial memoranda to the responsibilities documented in this Manual must be documented in the next update of the Manual.

In the event that responsibilities documented in this Manual conflict with responsibilities defined in Congressional legislation, E.O.s, Federal regulations, or DOE Orders, Notices, or Manuals, the provisions of those documents override this document. If such conflicts are discovered, please notify the Office of Environment, Safety and Health of the need to update this Manual.

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<sup>4</sup>DOE directives with the designation of HQ are only applicable to headquarters organizations.

<sup>5</sup>See Secretarial Memorandum to Headquarters and Field Elements, dated April 15, 1999.

## 4. OFFICE OF THE SECRETARY

### 4.1 Secretary of Energy

Through the authorities granted under the AEA, as amended; the Energy Reorganization Act of 1974 (P.L. 93-438); and the Department of Energy Organization Act (P.L. 95-91), the Secretary is responsible for the overall direction and administration of the Department. This responsibility includes ensuring that the missions of DOE are performed in a manner that protects public health and safety and advances the goals of restoring, protecting, and enhancing environmental quality.<sup>6</sup>

The Secretary is authorized by these Acts to prescribe such procedural and administrative rules and regulations as the Secretary deems necessary or appropriate to administer and manage the functions of the Department.<sup>7</sup> Except as otherwise prohibited by law, the Secretary may delegate the functions of the Secretary to officers and employees of the Department and may authorize successive redelegations.<sup>8</sup>

Table 1 lists specific responsibilities for the Secretary as defined in Congressional legislation, Federal regulations, Presidential directives, as well as DOE safety directives. Although DOE directives are not strictly authorizing documents for the Secretary, if a directive explicitly lists a responsibility for the Secretary, that directive and the responsibility have been included on the Table for completeness.

### 4.2 Deputy Secretary

The Deputy Secretary reports to the Secretary and is authorized to act for and exercise the functions of the Secretary during the absence or disability of the Secretary or in the event the position of the Secretary becomes vacant.<sup>9</sup> The Deputy Secretary also serves as the Chief Operating Officer and is responsible for the day-to-day management of the Department against its mission objectives. The Deputy Secretary is responsible for direct line management of the Under Secretaries, the Energy Information Administration, the Chief Information Officer, the Office of Independent Oversight and Performance Assurance, the Power Marketing Administrations, and all Secretarial support and staff offices with the following exceptions:<sup>10</sup>

- Office of the Secretary,
- Office of the Assistant Secretary for Congressional and Intergovernmental Affairs,
- Office of Security,
- Office of Intelligence,

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<sup>6</sup>See DOE Organization Act, Sec. 102, item (13).

<sup>7</sup>See DOE Organization Act Sec. 644.

<sup>8</sup>See DOE Organization Act, Sec. 642.

<sup>9</sup>See DOE Organization Act, Sec. 202.

<sup>10</sup>See Memorandum from Secretary Spencer Abraham to the Heads of Departmental Elements, July 26, 2001.



- Office of Counterintelligence, and
- Office of Public Affairs.

Table 2 lists specific responsibilities for the Deputy Secretary as defined in DOE safety and environment directives.

### **4.3 Under Secretaries**

The Under Secretaries in the Department of Energy are the managers responsible for directing the activities of the Department's line and certain safety support organizations.

There are two Under Secretaries in the Department:

- Under Secretary for Energy, Science and Environment and
- Under Secretary for Nuclear Security/Administrator for NNSA.

The Under Secretary for Energy, Science and Environment has direct line management responsibility for the following offices:<sup>11</sup>

- Civilian Radioactive Waste Management;
- Energy Efficiency and Renewable Energy;
- Environment, Safety and Health;
- Environmental Management;
- Fossil Energy;
- Nuclear Energy, Science and Technology;
- Science; and
- Legacy Management.

Table 3 lists specific responsibilities for the Under Secretary for Energy, Science and Environment as defined in and delegation orders.

NNSA was established by the NNSA Act in the National Defense Authorization Act for 2000 (see P.L. 106-377, October 27, 2000). The NNSA Act also defines specific responsibilities for the Under Secretary for Nuclear Security/Administrator for NNSA. The Under Secretary for Nuclear Security/Administrator for NNSA is subject to the authority, direction, and control of the Secretary. That authority, direction, and control may be delegated only to the Deputy Secretary, without redelegation.<sup>12</sup> The Secretary may direct officials of the Department who are

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<sup>11</sup>See Memorandum from Secretary Spencer Abraham to the heads of departmental elements, July 26, 2001.

<sup>12</sup>See NNSA Act in the National Defense Authorization Act for 2000 (See P.L. 106-377, October 27, 2000) (NNSA Act).

not in NNSA to review NNSA programs and activities and make recommendations to the Secretary regarding administration of those programs and activities, including consistency with other similar programs and activities.

In carrying out NNSA missions, the Under Secretary for Nuclear Security/Administrator for NNSA must ensure that all NNSA operations and activities are consistent with the principles of protecting the environment and safeguarding the safety and health of the public and the NNSA workforce.<sup>13</sup>

The Under Secretary for Nuclear Security/Administrator for NNSA has direct responsibility for the following offices:

- Defense Programs,
- Defense Nuclear Nonproliferation,
- Naval Reactors,
- Emergency Operations,
- Infrastructure and Security, and
- Management and Administration.

Table 4 lists specific responsibilities for the Under Secretary for Nuclear Security/Administrator for NNSA as defined in Congressional legislation and DOE safety directives and delegation orders.

As discussed in further detail in Chapter 8, each Under Secretary must develop a functions, responsibilities, and authorities document that identifies the functions, responsibilities, and authorities specific to that position. The Under Secretaries functions, responsibilities, and authorities documents must also define how the authorities of each Under Secretary are delegated and what responsibilities are assigned to specific Secretarial Offices within that organization. In particular, the Under Secretaries may provide additional direction to their CSOs and FEMs that should be reflected in CSO and FEM functions, responsibilities, and authorities documents.

## 5. COGNIZANT SECRETARIAL OFFICERS

As stated in DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, line management is responsible and accountable for ensuring safe operations at DOE sites and facilities. Line management includes HQ and field organizations with operational and programmatic responsibilities. The line of responsibility extends from the Secretary downward through the Deputy Secretary, the Under Secretaries, the program office

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<sup>13</sup>See NNSA Act.

managers, the field office managers and, ultimately, the managers directing the work (DOE or contractor).

All managers who report directly to the Secretary, the Deputy Secretary or the Under Secretaries are referred to as Secretarial Officers. A primary responsibility of the Secretarial Officers is to support the Under Secretaries, the Deputy Secretary, and the Secretary in meeting their responsibilities.<sup>14</sup>

The Secretarial Officers responsible for accomplishing work in a safe and environmentally sound manner at DOE-owned or DOE-leased sites and facilities (other than HQ) are Cognizant Secretarial Officers (CSOs). The CSOs are Secretarial Officers with line accountability for a laboratory or a bounded set of facilities.<sup>15</sup> The CSOs provide direction to line organizations in DOE HQ and the field regarding safety management processes and systems. Although the ultimate responsibility for safety rests with the Secretary, the CSOs are responsible for providing direction to the line organizations in their assigned areas and they are accountable for the appropriate and successful implementation of DOE policies and requirements through their line organizations.

CSOs and Field Managers are required to establish Memorandums of Understanding (MOUs) that define the agreed upon procedures governing operations of a particular site, facility or laboratory where multiple program offices conduct work. Copies of the MOUs are distributed to all signatories and to all contractors whose operations are affected by the MOUs.<sup>16</sup> These MOUs should be incorporated into organizational functions, responsibilities, and authorities documents, as appropriate.

Seven CSOs report to the Under Secretary for Energy, Science and Environment:

- Assistant Secretary for Environmental Management;
- Assistant Secretary for Energy Efficiency and Renewable Energy;
- Assistant Secretary for Environment, Safety and Health;
- Assistant Secretary for Fossil Energy;
- Director of the Office of Nuclear Energy, Science and Technology;
- Director of the Office of Science; and
- Director of Office of Civilian Radioactive Waste Management.

Two CSOs report to the Under Secretary for Nuclear Security/Administrator for NNSA:

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<sup>14</sup>See Memorandum from Secretary Spencer Abraham to the Heads of Departmental Elements, July 26, 2001.

<sup>15</sup>See Memorandum from Under Secretary T.J. Glauthier, *Roles and Responsibilities Guiding Principles*, June 2, 2000

<sup>16</sup>*Ibid.*

- Deputy Administrator for Defense Programs<sup>17</sup> and
- Deputy Administrator for Defense Nuclear Nonproliferation.

In addition to the nine CSOs named above, the Director of the Office of Security is a CSO with line responsibility for certain DOE facilities, such as the New Brunswick Laboratory. The Director of the Office of Security reports directly to the Secretary through the Deputy Secretary. Figure 1 shows the DOE organization and indicates the CSOs addressed in this Manual in the shaded boxes. Table 5 lists responsibilities for the various sites and facilities that each CSO is assigned.

Table 6 provides a summary of the safety management functions, responsibilities, and authorities of CSOs. Each CSO functions, responsibilities, and authorities document will establish how each organization will discharge these assigned functions (see Chapter 8).

Table 6 does not provide an exhaustive list of responsibilities. Rather it lists the functions, provides a summary of related responsibilities, and identifies the authorities for those areas. Additional detail regarding the responsibilities for each functional area is provided in the authorities that are listed and their associated guides, as well as organizational functions, responsibilities, and authorities documents. Secretarial Officers should refer to these documents for a more complete discussion of DOE's expectations for the functions listed in the table.

## 6. SUPPORT ORGANIZATIONS

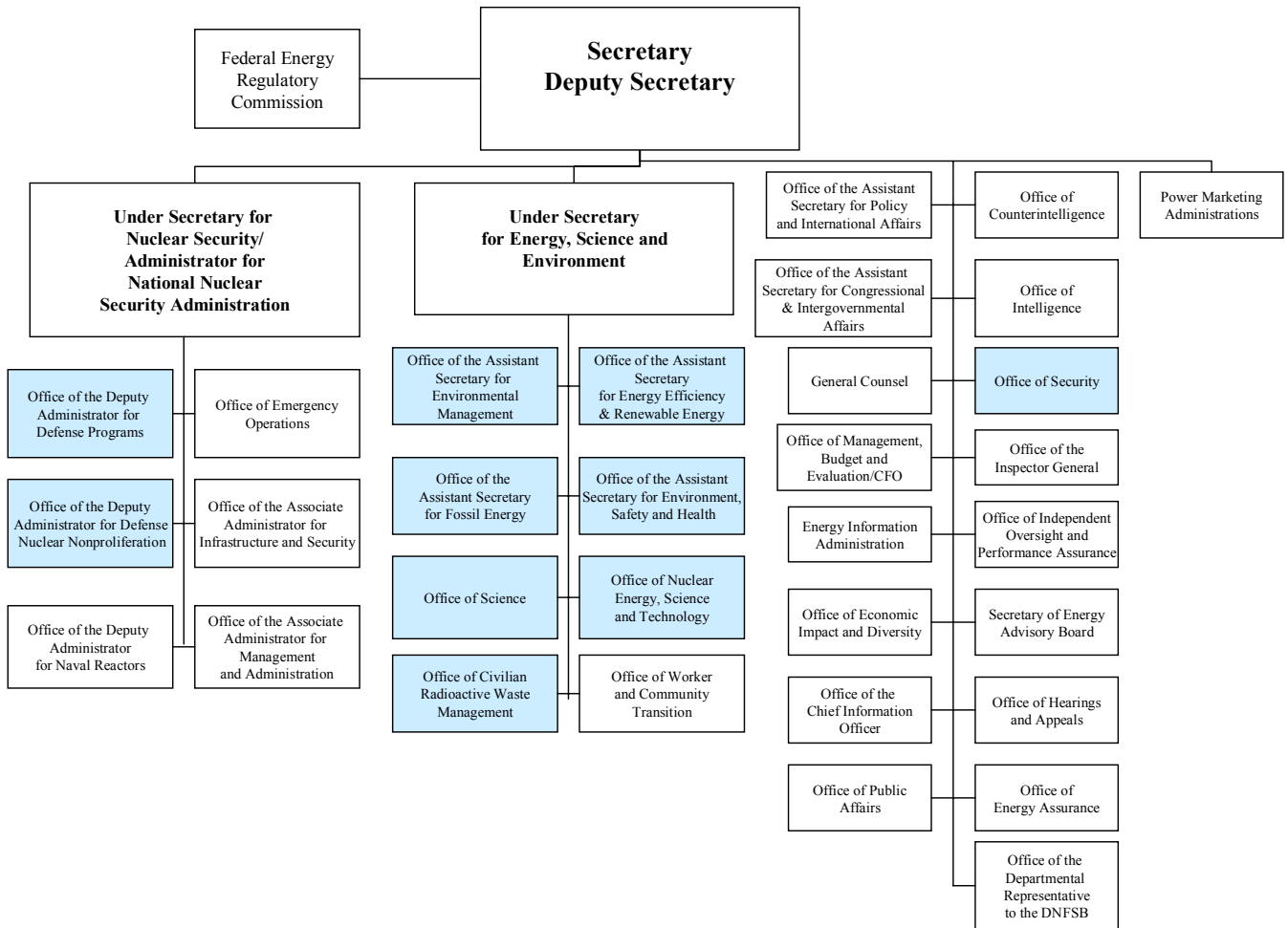
### 6.1 Office of Environment, Safety and Health

The Office of Environment, Safety and Health is the Department's corporate safety office (except for aviation safety). As such, the office has unique support functions, responsibilities, and authorities regarding the safety and protection of the environment of DOE facilities and activities. The Assistant Secretary for Environment, Safety and Health is the Department's corporate safety official and represents the Department in ES&H matters and, when requested or directed, assists line management in safety management functions. The Assistant Secretary for Environment, Safety and Health reports to the Under Secretary for Energy, Science and the Environment and, with respect to crosscutting DOE commitments to the Defense Nuclear Facilities Safety Board, to the Deputy Secretary.<sup>18</sup>

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<sup>17</sup>In a memorandum dated June 25, 2003, the Under Secretary for Nuclear Security/Administrator for the National Nuclear Security Administration (NNSA) delegated the authority to serve as the Secretarial Officer for environment, safety, and health matters at the eight NNSA-owned facilities to the Deputy Administrator for Defense Programs. This delegation does not apply to facilities being designed and constructed by the Deputy Administrator for Defense Nuclear Nonproliferation.

<sup>18</sup>Memorandum from Deputy Secretary, Kyle McSlarrow, *Responsibilities for Increased Performance in Meeting DOE Commitments to DNFSB*, March 31, 2003.



**Figure 1. Department of Energy Organization. The shaded boxes indicate the Cognizant Secretarial Officers with responsibilities listed in Table 6.**

Executive Order 13101, “Greening the Government through Waste Prevention, Recycling, and Federal Acquisition,” requires the Secretary of Energy to assign an individual as Agency environmental executive. The Secretary has assigned that responsibility to the Assistant Secretary for Environment, Safety, and Health.<sup>19</sup> The Assistant Secretary for Environment, Safety and Health also serves as the Designated Agency Safety and Health Officer (DASHO), responsible for establishing the Agency occupational safety and health policy and program to carry out the provisions of Section 19 of the Occupational Safety and Health Act, E.O. 12196 *Occupational Safety And Health Programs For Federal Employees*, and 29 CFR 1960, *Basic Program Elements For Federal Employee Occupational Safety and Health Programs and Related Matters*.<sup>20</sup>

<sup>19</sup>See DOE O 450.1, *Environmental Protection Program*, dated 1-15-03.

<sup>20</sup>See 29 CFR 1960.6.

Office of Environment, Safety and Health safety management functions include the development and maintenance of DOE ES&H policies, regulations, technical standards, and other directives (Orders, Notices, Manuals, and Guides), including this Manual. These documents address the safety of DOE nuclear and non-nuclear operations and activities at DOE facilities and sites, including the safety regulations necessary to meet the provisions of the AEA, as amended by the Price-Anderson Amendments Act (PAAA) of 1988. The Office of Environment, Safety and Health provides corporate support to DOE program and field offices to assist them in meeting safety requirements. The Office of Environment, Safety and Health is also responsible for the DOE enforcement program that subjects contractors to civil penalties for violations of DOE safety regulations that are promulgated under PAAA authority.

Although the NNSA Act found in the National Defense Authorization Act for 2000, Public Law 106-65, 113 Stat.966; 50 USC 2453 et seq. states “Each officer or employee of the Administration, in carrying out any function of the Administration ...shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy,” the *Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health* delineates special provisions regarding enforcement at NNSA facilities.<sup>21</sup>

The Office of Environment, Safety and Health analyzes ES&H performance, maintains safety data systems for the Department, advises the Secretary on all issues relevant to ES&H, and provides subject matter expertise on various topics. The Office of Environment, Safety and Health operates programs for the routine collection, analysis, and communication of ES&H performance information. The Office of Environment, Safety and Health is also responsible for a number of crosscutting or corporate programs that support the DOE complex.

Table 7 lists the Assistant Secretary for Environment, Safety and Health’s safety management functions, responsibilities, and authorities for support functions.

Like Table 6, Table 7 does not provide an exhaustive list, but a summary of the generic functions and responsibilities for the Assistant Secretary for Environment, Safety and Health and the authorities for those responsibilities. Additional detail regarding these functions and responsibilities is provided in the authorities that are listed and their associated guides, as well as the Office of Environment, Safety and Health functions, responsibilities, and authorities document (see <http://www.eh.doe.gov/nsps/ehfra011403.pdf>).

The Office of Environment, Safety and Health is also a program office with responsibilities for facilities and programs. Consequently, the Assistant Secretary for the Office of Environment, Safety and Health must also meet the CSO requirements listed in Table 6 for those facilities and programs.

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<sup>21</sup> See Memorandum of Understanding for special provisions regarding enforcement at <http://tis.eh.doe.gov/enforce/handbks/20010108mou.pdf>.

## 6.2 Office of Independent Oversight and Performance Assurance<sup>22</sup>

Office of Independent Oversight and Performance Assurance is the independent oversight organization for the Secretary of Energy and the NNSA Administrator in the areas of safeguards and security, cyber security, emergency management, and environment, safety and health. As a corporate resource, they conduct evaluations to verify that the Department's safeguards and security interests are protected; the Department can effectively respond to emergencies; and site workers, the public, and the environment are protected from hazardous operations and materials.

The Director of the Office of Independent Oversight and Performance Assurance reports to the Secretary of Energy through the Deputy Secretary. The authority for the Office of Independent Oversight and Performance Assurance to conduct independent oversight was formally established through DOE O 470.2B, *Independent Oversight and Performance Assurance Program*, dated 10-31-02. 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 independent oversight responsibility for environment, safety and health be incorporated into the Office of Independent Oversight and Performance Assurance.

The safety responsibilities and authorities of the Office of Independent Oversight and Performance Assurance are listed in Table 8. Once again, Table 8 does not provide an exhaustive list, but a summary of the generic functions and responsibilities for the director of the office and the authorities for those areas. Additional detail regarding these functions and responsibilities is provided in the listed authorities and their associated guides and the office's functions, responsibilities, and authorities document.

## 6.3 Office of Departmental Representative

The Departmental Representative represents the Secretary in regular and continuing interactions between the Department and the Defense Nuclear Facilities Safety Board (DNFSB) and advises the Secretary and other senior managers regarding the DNFSB's priorities, concerns, actions, and plans. The functions, responsibilities, and authorities of the Office of the Departmental Representative are defined in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*, as modified and supplemented by the Memorandum from Deputy Secretary Kyle McSlarrow, *Responsibilities for Increased Performance in Meeting DOE Commitments to DNFSB*, March 31, 2003. They include:

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<sup>22</sup>In a memorandum dated December 2, 2003, James T. Campbell, Acting Director of the Office of Management, Budget and Evaluation/Acting CFO requested the establishment of the Office of Security and Safety Performance Assessment (SSA). That office will combine the functions of the Office of Independent Oversight and Performance Assessment with some of the functions of the Office of Security. Those changes when finalized will be addressed in a future revision to this Manual.

- Represent the Secretary in regular and continuing interactions with the Board.
- Advise the Secretary, Deputy Secretary, Secretarial Officers, and other Departmental officials on Board priorities, concerns, actions, and plans.
- Facilitate communication and cooperation between Departmental elements and the Board and its staff.
- Manage the Department's Safety Issues Management System for DNFSB-related issues, commitments, and actions.
- Coordinate Departmental correspondence with the DNFSB.
- Serve as the initial point of contact for receipt and management of DNFSB recommendations and other correspondence.
- Route correspondence related to cross-cutting safety concerns, recommendations, and other correspondence to the Assistant Secretary for Environment, Safety and Health (ASEH).
- Route correspondence related to a specific site or facility the affected program office with a copy to the ASEH.

## **7. LINE OF SUCCESSION AND DELEGATION OF AUTHORITY**

### **7.1 Line of Succession**

The Department of Energy Organization Act requires the Secretary to designate the order in which the Under Secretary and other officials will act for and perform the functions of the Secretary during the absence or disability of both the Secretary and the Deputy Secretary or in the event of vacancies in both of those offices. DOE O 100.1A, *Secretarial Succession*, dated 2-14-03, or its successor, defines the officials and order of succession in the event of absence or disability of the Secretary.

### **7.2 Delegation of Authority**

This Manual documents the responsibilities and authorities for specific safety functions for DOE senior management. As stated in Chapter 4 and the DOE Organization Act, except as otherwise prohibited by law, the Secretary may delegate the functions of the Secretary to officers and employees of the Department and may authorize successive redelegations. DOE directives and memoranda delegate many of the authorities listed in this Manual. A list of Secretarial delegations and their links can be found at <http://www.directives.doe.gov/delegations/currentsdoa.html>.

Some authorities within the Department are assigned directly to specific offices or positions within the Department through laws. For example, the NNSA Act assigns authorities directly to the Under Secretary for Nuclear Security/Administrator for NNSA and 10 CFR Part 820 assigns certain responsibilities and authorities to the director of the Office of Enforcement and the Office of the Docketing Clerk within the Office of Price-Anderson Enforcement. In addition, some



authorities specifically limit or prohibit delegations. An example of an authorizing document that limits delegation is the NNSA Act, which limits the delegation of the authority, direction, and control of the Under Secretary for Nuclear Security/Administrator for NNSA only to the Deputy Secretary, without further delegation. An example of an authorizing document that prohibits delegation is 10 CFR 820.61, which assigns the authority for granting exemptions to nuclear safety requirements to specified Secretarial Officers, but prohibits delegation.

DOE officials may delegate the authority to perform certain actions to other officials where it is not prohibited. However, the delegating officials remain accountable for the outcome of the action, even if the function and authority is delegated to an individual or an organization that is not subordinate to the delegating official. Functions can be delegated but never the responsibility for the outcome of that function. In addition, delegations are to persons, not functions.

DOE managers must clearly define the expectations for the managers and staff under them. For example, if a Secretarial Officer expects a subordinate manager or supervisor to review and approve an annual report on environmental consequences that is assigned to the Secretarial Officer, that action (including any delegated authorities) should be clearly delineated in the Secretarial Officer's functions, responsibilities, and authorities document under the responsibilities of that manager or supervisor. If the delegation of authority is not listed, the Secretarial Officer is expected to perform the action.

Delegation of approval authority or other assignment of responsibility does not preclude program offices from issuing requirements, expectations, and guidance affecting that authority or from participating in field element interactions with the operating or management contractor. Program offices must coordinate interactions with a contractor through the DOE contracting officer.

The following provisions apply to the delegation of authority:

- a. The delegator (individual delegating the authority) must document all delegations of authority in writing and provide them to the delegate (official or office to whom the authority is delegated). The document delegating the authority must clearly define—
  - the authority that is delegated,
  - the delegate, and
  - all circumstances under which the authority may be exercised, including any restrictions or prohibitions related to further delegation and conditions or qualifications that relate to the delegation.
- b. Unless otherwise stated, the delegation remains in effect until rescinded or modified or there is a personnel change. The delegator may rescind or modify the delegation at any time, provided it is done in writing. A copy of the rescission/modification must be provided to the delegate who previously had the delegated authority so the delegate is

aware of the rescission and can document the revised delegation in the appropriate functions, responsibilities, and authorities documents.

- c. Under Secretaries; Secretarial Officers; field offices; the Office of Environment, Safety and Health; and the Office of Independent Oversight and Performance Assurance must list delegations of authorities that apply to their organizations in their functions, responsibilities, and authorities documents. If any authority listed in this Manual or such functions, responsibilities, and authorities is delegated, that delegation must be identified in the functions, responsibilities, and authorities document.
- d. Under Secretaries; Secretarial Officers; field offices; the Office of Environment, Safety and Health; and the Office of Independent Oversight and Performance Assurance must update their functions, responsibilities, and authorities documents at least annually to document the current delegations of authority.
- e. If the delegator delegates the authority for a function listed in the functions, responsibilities, and authorities document to another office, the delegator must ask the delegate to review and comment on that aspect of the delegator's functions, responsibilities, and authorities document and resolve the delegate's comments. In addition, the delegate's functions, responsibilities, and authorities document, if applicable, must also document the delegation.

## **8. ORGANIZATIONAL FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES DOCUMENTS**

In accordance with DOE P 411.1, line, support, oversight, and enforcement organizations within DOE must develop and issue documents that define how their assigned functions and responsibilities are properly discharged. These documents are referred to as functions, responsibilities, and authorities documents (FRAs). As stated in DOE P 411.1, the functions, responsibilities, and authorities documents must clearly define how the organization's functions and responsibilities related to safety are to be carried out. The functions, responsibilities, and authorities documents must clearly define the functions, responsibilities and authorities related to safety. Under Secretaries; CSOs; the Assistant Secretary for Environment, Safety and Health; and the Director of the Office of Independent Oversight and Performance Assurance must develop, issue, and maintain organizational functions, responsibilities, and authorities documents. The functions, responsibilities, and authorities documents should clearly define "who is expected to do what" in an organization, including any delegations of authority. If the functions, responsibilities, and authorities documents fail to document or clearly communicate an expectation, an important safety or environmental protection function might be missed. Consequently, DOE management is responsible for clearly communicating delegated actions and assignments to their subordinate managers, supervisors, and staff.

This Manual documents the flowdown of responsibilities from the Secretary through the Deputy Secretary and the Under Secretaries to the CSOs and support organizations. Similarly, the functions, responsibilities, and authorities documents must document the flowdown of responsibilities from the Under Secretaries; Secretarial Officers; the Assistant Secretary for Environment, Safety and Health; and the director of the Office of Independent Oversight and Performance Assurance to subordinate managers and organizations, including field organizations, where appropriate.

Each organizational functions, responsibilities, and authorities document must define the safety management functions for the organization and clearly identify who within the organization has the responsibility and authority to perform those functions. Delegations of authority to subordinate managers and staff must be clearly listed and complete. Field office organizations with missions that affect the safety of work performed at DOE facilities are also required to develop and implement functions, responsibilities, and authorities documents.

Functions, responsibilities, and authorities documents must document the safety management functions and responsibilities necessary to accomplish the intent of DOE P 111.1, *Departmental Organization Management System*, as well as other DOE directives, other applicable Government agency regulations, and appropriate programs related to safety. They must also describe the respective organizations and their line management. The format of these functions, responsibilities, and authorities documents is not prescribed, so that each organization can develop a format that is most suitable and effective for its specific needs. However, functions, responsibilities, and authorities documents must provide a breakdown of applicable functions contained in this Manual and other applicable directives related to safety. In addition, the functions, responsibilities, and authorities documents must clearly identify any authority that has been transferred to or from another organization. Delegations of any authorities listed in either this Manual or in an organizational functions, responsibilities, and authorities document must be clearly delineated in the applicable functions, responsibilities, and authorities document. The functions, responsibilities, and authorities document must be updated to reflect any changes to delegations of the authority and must generally describe the process for control and revision of the document.

The functions, responsibilities, and authorities document should be easily accessible to all employees by web page or assigned copies. Copies of current documents of delegation or rescission of delegation that have not yet been incorporated in the functions, responsibilities, and authorities document should be provided with the copy of the functions, responsibilities, and authorities document (electronic or hardcopy).

Although this Manual is part of the DOE Directives System, the associated lower-tier functions, responsibilities, and authorities documents, which describe further delegations of safety authority within each of the Secretarial Offices, are not.

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Succession Planning	Establish a plan for succession of authority.	Atomic Energy Act of 1954 (AEA), Sec. 161		See DOE O 100.1A, <i>Secretarial Succession</i>
Environment, Safety, and Health	Advance the goals of restoring, protecting, and enhancing environmental quality and ensuring public health and safety.	Department of Energy (DOE) Organization Act, Sec. 102	Delegation Order 00-002.00A delegates the authority to the Under Secretary for Energy, Science and Environment to— <ul style="list-style-type: none"> <li>• assert the Federal Government’s deliberative process privilege with respect to any environmental management matters arising under the Under Secretary’s cognizance and</li> <li>• nominate, appoint, review the term of, and terminate the service of, members of the Environmental Management Site Specific Advisory Board.</li> </ul>	This delegation is made to protect internal predecisional DOE documents in judicial or administrative proceedings in situations where the court may require the claim to be formally asserted by an affidavit from an Agency official.

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities and DOE Directives</b>	<b>Delegation</b>	<b>Notes</b>
Federal Employee Occupational Safety and Health (FEOSH)	Establish and maintain an effective and comprehensive FEOSH program.	Occupational Safety and Health Act E.O. 12196, <i>Occupational Safety and Health Programs for Federal Employees</i> 29 CFR Part 1960, <i>Basic Program Elements For Federal Employee Occupational Safety and Health Programs and Related Matters</i> DOE O 440.1A HQ O 442.1		The Assistant Secretary for Environment, Safety and Health is the Designated Agency Safety and Health Officer, responsible for defining requirements and guidance for the DOE FEOSH program. The Office of Management, Budget and Evaluation is responsible for implementing FEOSH requirements at DOE headquarters facilities. All DOE organizations are responsible for implementing FEOSH.
Rules, Regulations, and Orders for Safety	Prescribe such procedural and administrative rules, regulations, and orders as necessary or appropriate to administer and manage DOE functions.	AEA, Sec. 161 DOE Organization Act, Sec. 644	Delegation Order No. 00-015.00 delegates responsibility to the Office of General Council to notify Congress of the issuance of a rule.	

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Nuclear Safety Policy	Responsible for the safe operation of DOE nuclear facilities.	Secretarial Notice- (SEN-) 35-91	Delegation Order 00-002.00A delegates the following authority to the Under Secretary for Energy, Science and Environment: direct the head of a field organization to curtail or suspend operations of nuclear reactors/nuclear facilities, or related activities when continuing operations might result in an undue risk to the environment and/or to the safety and health of workers or the public. This delegation order does not apply to the National Nuclear Security Administration.	
Special Nuclear Material (SNM)	Authority to authorize delivery of SNM to the Department of Defense at such times as necessary for cores for new military reactors and replacement cores for existing military reactors and for miscellaneous purposes (other than use in atomic weapons) for which material, fabrication, and new reactors the Congress shall have authorized funds.	National Security Decision Directive 282	Delegation Order 00-002.00A delegates the authority to authorize transfer of SNM to the Departments of the Army, Air Force, and Navy (Navy Facilities Engineering Command only) to the Under Secretary for Energy, Science and Environment. Delegation Order 00-003.00 delegates the authority to (1) authorize transfer of SNM to the Department of the Navy and (2) distribute SNM under Section 54 of the AEA.	

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Utilization Facilities	Authority to authorize the Department of Defense to manufacture, produce, or acquire utilization facilities for military purposes for which facilities the Congress shall have authorized funds.	National Security Decision Directive 282	Delegation Order 00-002.00A delegates the authority to authorize the Departments of the Army, Air Force, and Navy to manufacture, produce, or acquire utilization facilities, other than nuclear powered ships, for which Congress has authorized funds to the Under Secretary for Energy, Science and Environment.	
Management of Byproduct Material	Issue rules, regulations, or orders to require— <ul style="list-style-type: none"> <li>• monitoring,</li> <li>• remedial work,</li> <li>• studies,</li> <li>• inspections, and</li> <li>• any other measures needed to protect health or minimize danger to life or property.</li> </ul>	AEA, Sec. 84 (42 USC 2014, 6901, and 2112)	Delegation Order 00-003.00 delegates the Under Secretary for Nuclear Security/ Administration for the NNSA to distribute byproduct material under sections 64 and 82 of the AEA.  Delegation Order 00-002.00A delegates the authority to authorize the Departments of the Army, Air Force, and Navy to manufacture, produce, or acquire utilization facilities, other than nuclear powered ships, for which Congress has authorized funds to the Under Secretary for Energy, Science and Environment.	
Civil Penalties/Enforcement	<ul style="list-style-type: none"> <li>• Impose civil penalties for violations of Department rules, regulations, or Orders.</li> <li>• Compromise, modify, or remit civil penalties.</li> </ul>	AEA, Sec. 84 (42 USC 2014, 6901, and 2112) and Sec. 234A  10 CFR Part 820 42 USC 7274d	Delegation Order 00-002.00A delegates the following authority to the Under Secretary for Energy, Science and Environment:	

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Civil Penalties/Enforcement (continued)	<ul style="list-style-type: none"> <li>• Determine by rule whether nonprofit educational institutions should receive automatic remission of civil penalties.</li> <li>• Appoint an administrative law judge as a presiding officer in enforcement adjudication (10 CFR 820.26).</li> <li>• File final orders that modify initial decisions (10CFR 820.32).</li> <li>• Issue notices of review (10 CFR 820.32).</li> <li>• Issue compliance orders (10 CFR 820.40).</li> <li>• Issue stays of effectiveness for compliance orders (10 CFR 820.43 and 820.67).</li> <li>• Assess civil penalties against any DOE contractor who:               <ul style="list-style-type: none"> <li>(a) employs individuals who are engaged in hazardous substance response or emergency response at DOE nuclear weapons facilities; and</li> <li>(b) fails (i) to provide for the training of such individuals to carry out such hazardous substance response or emergency response, or (ii) to certify to the DOE that</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>• formulate and establish enforcement policy;</li> <li>• initiate and conduct investigations;</li> <li>• conduct conferences, administrative hearings, and public hearings;</li> <li>• prepare required reports; and</li> <li>• issue orders.</li> </ul> <p>10 CFR Part 820 assigns the following authority to the director of enforcement:</p> <ul style="list-style-type: none"> <li>• issue preliminary notices of violation (820.24) and</li> <li>• issue final notices of violation (820.25).</li> </ul> <p>The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ...shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.” See the <i>Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for</i></p>	



**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Civil Penalties/Enforcement (continued)	such employees are adequately trained for such response pursuant to orders issued by the DOE relating to employee safety training (including orders numbered 5480.4 and 5480.11).		<i>Environment, Safety and Health</i> for special provisions regarding enforcement at NNSA facilities.	
Radiation Protection	<ul style="list-style-type: none"> <li>• Ultimate authority on actions necessary to comply with the requirements of DOE 5400.5.</li> <li>• Authority to suspend any or all requirements in DOE 5400.5.</li> </ul>	DOE O 5400.5	<p>“Relevant DOE authority” (individual or office with assigned responsibility) makes initial determination.</p> <p>Secretary may delegate authority to suspend requirements.</p>	
Radioactive Waste Management	Approve any imposition of more stringent requirements on radioactive waste programs than those imposed by the Nuclear Regulatory Commission.	DOE HQ 250.1	<p>Secretary has sole jurisdiction.</p> <p>Delegation Order 00-002.00A delegates the authority to the Under Secretary for Energy, Science and Environment to sign all documents and take such other actions as may be necessary and appropriate for the submission for publication to the <i>Federal Register</i> of notices concerning actions undertaken to implement the authorities and functions provided in the Nuclear Waste Policy Act of 1982 (P.L. 97-425).</p>	The authority delegated does not include rulemaking authority.

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Transuranic Waste	<ul style="list-style-type: none"> <li>• Manage and store spent nuclear fuel or high-level or transuranic radioactive wastes at facilities regulated by the Nuclear Regulatory Commission.</li> <li>• Determine what waste does not need the degree of isolation required by 40 CFR Part 191 (such waste will be excluded from the definition of transuranic waste).</li> </ul>	40 CFR Part 191 DOE M 435.1-1		Determination must be made in consultation with the Administrator of the Environmental Protection Agency.
Nuclear Explosives and Weapons Safety	<ul style="list-style-type: none"> <li>• Final decisions on nuclear weapon and nuclear weapon system safety, security, and control issues.</li> <li>• Establish policy to ensure surety of all nuclear explosive operations (NEOs) conducted by DOE, including the National Nuclear Security Administration (NNSA), and DOE contractors.</li> <li>• Responsible for surety of all NEOs conducted by DOE, including NNSA, and DOE contractors.</li> <li>• Establish explicit documented agreements with the Secretary of Defense for any overriding reasons for not incorporating modern surety features in the design of nuclear weapons.</li> </ul>	DOE O 5610.13 DOE O 452.1B		

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities and DOE Directives</b>	<b>Delegation</b>	<b>Notes</b>
Nuclear Reactor Safety Design Criteria	<ul style="list-style-type: none"> <li>• Ultimate authority on actions necessary to comply with the requirements of DOE 5480.30.</li> <li>• Approve permanent exemptions from DOE 5480.30.</li> </ul>	DOE O 5480.30	Authority may be delegated by the Secretary.	Copy of recommendations for exemptions should be sent to the Assistant Secretary for Environment, Safety and Health so the Assistant Secretary may provide advice to the Secretary.
Facility Safety	<ul style="list-style-type: none"> <li>• Ultimate authority on actions necessary to comply with the requirements of DOE O 420.1A.</li> <li>• Authority to suspend any or all requirements in DOE O 420.1A.</li> </ul>	DOE O 420.1A	Authority may be delegated by the Secretary.	
Startup and Restart of Nuclear Facilities	Approve initial startup of new hazard category 1 and 2 nuclear facilities.	DOE O 425.1C	Authority may be delegated by the Secretary. <sup>23</sup>	
Substance Abuse	<ul style="list-style-type: none"> <li>• Provide general policy direction for DOE drug testing program.</li> <li>• Determine designated testing positions.</li> <li>• Determine whether to include or exempt certain positions or groups of positions from the drug testing program.</li> <li>• Determine the percentage of employees to be tested.</li> </ul>	DOE O 3792.3 E.O. 12564		
DOE Directives System	Approve all DOE Policy documents issued as part of the DOE Directives System.	DOE M 251.1-1A		

<sup>23</sup>In a memorandum dated April 3, 2002, Spencer Abraham delegated the Secretary authorities in DOE O 425.1B to Under Secretary Card for the facilities under his cognizance.

**TABLE 1  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY**

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Aviation Safety	<p>Appoint the Director of the Office of Aviation Management (OAM).</p> <p>Establish an Aviation Board of Directors.</p> <p>Resolve differences between the Under Secretary for Nuclear Security/ Administrator for NNSA and the director of OAM with respect to approval of—</p> <ul style="list-style-type: none"> <li>• aviation implementation plans and</li> <li>• remotely operated aircraft policies.</li> </ul>	DOE O 440.2B		
Defense Nuclear Facilities Safety Board (DNFSB) Interface	<ul style="list-style-type: none"> <li>• Provide full cooperation with DNFSB, including ready access to Departmental facilities, personnel, and information.</li> <li>• Respond to DNFSB recommendations in accordance with the board's enabling statute.<sup>2</sup></li> <li>• Provide the DNFSB with implementation plans for each accepted recommendation, and approve any subsequent plan changes.</li> <li>• Provide annual reports to Congress concerning board-related activities of the Department.</li> </ul>	AEA Sections 314 and 316 DOE M 140.1-1B		

<sup>2</sup>Atomic Energy Act of 1954 as amended, Sections 311–321 ([42 USC § 2286](#) et. Sec.), *Defense Nuclear Facilities Safety Board*.

**TABLE 2  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE DEPUTY SECRETARY**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Chief Operating Officer	<ul style="list-style-type: none"> <li>• Integrate corporate programs.</li> <li>• Integrate support activities with line programs.</li> <li>• Review all staff and support office policy and guidance that affects the field.</li> </ul>	Delegation Order 00-001.00A	No.	
National Nuclear Security Administration (NNSA)	Exercise authority, direction, and control including, but not limited to issuance of regulations, directives, and policy that apply to the NNSA and the authority of the Secretary mentioned in sections 3203, 3213, 3242, 3243, and 3292 of the NNSA Act.	Delegation Order 00-001.00A	No.	
Duties of the Secretary	In the event of the absence of the Secretary, perform the duties of the Secretary.	DOE O 100.1A		
Federal Technical Capability Panel (FTCP)	<ul style="list-style-type: none"> <li>• Advise and support the FTCP.</li> <li>• Resolve issues where the FTCP cannot reach agreement.</li> <li>• Approve exceptions to the senior technical safety manager qualifications.</li> </ul>	DOE M 426.1-1		
Relief from Section 501(b) of the DOE Organization Act	Determine where strict compliance with section 501(b) of the DOE Organization Act would be likely to cause serious harm or injury to the public health, safety, or welfare.	Delegation Order 00-001.00A	No.	
DOE Directives	Chair the Directives Management Board (DMB).	DOE M 251.1-1A		
Defense Nuclear Facilities Safety Board (DNFSB) Interface	<ul style="list-style-type: none"> <li>• Ensure Department of Energy (DOE) properly addresses DNFSB issues.</li> <li>• Resolve disagreements within DOE on priorities and approaches to DNFSB issues.</li> <li>• Resolve disagreements on which Cognizant Secretarial Officer is responsible for response to DNFSB recommendations, correspondence, or other issues.</li> <li>• Chair the Senior Management Team.</li> <li>• Provide guidance to DOE management on resolution of DNFSB issues.</li> <li>• Brief the Secretary in cases where a unified Departmental position cannot be achieved to respond to a DNFSB issue.</li> </ul>	DOE M 140.1-1B		

**TABLE 2**  
**FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE DEPUTY SECRETARY**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Aviation Safety	Resolve differences between the director of the Office of Aviation Safety and the Administrator for Nuclear Security regarding aviation implementation plans and other aviation issues.	DOE O 440.2B		
Environmental Impact Statements (EISs)	Resolve differences of opinion between the Administrator of the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health regarding EISs or EIS-related matters.	DOE O 451.1B		
Corrective Action Plans (CAPs)	Resolve comments on CAPs that cannot be agreed upon.	DOE O 470.2B		

**TABLE 3  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY  
FOR ENERGY, SCIENCE AND ENVIRONMENT**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Stop Work	Direct the heads of field organizations to curtail or suspend operations of nuclear reactors, nuclear facilities, or related activities when, in the opinion of the Under Secretary, continuing operations might result in an undue risk to the environment and/or to the safety and health of Departmental or contractor employees or to the public.	Delegation Order 00-002.00A	No.	
Environmental Issues	On a nonexclusive basis, assert the Federal Government's deliberative process privilege with respect to any environmental management matters arising under the Under Secretary's cognizance. This delegation is made to protect internal predecisional Department of Energy (DOE) documents in judicial or administrative proceedings in situations where the court may require the claim to be formally asserted by an affidavit from an Agency official.	Delegation Order 00-002.00A		
Environmental Management Site Specific Advisory Board	Under section 624 of the DOE Organization Act (42 U.S.C. 7234) and in accordance with the Federal Advisory Committee Act (5 U.S.C. App.2), nominate, appoint, renew the term of, and terminate the service of members of the Environmental Management Site Specific Advisory Board.	Delegation Order 00-002.00A		
Radioactive Waste Management	Sign all documents and take such other actions as may be necessary and appropriate for the submission for publication to the <i>Federal Register</i> of notices concerning actions undertaken to implement the authorities and functions provided in the Nuclear Waste Policy Act of 1982 (P.L. 97-425).	Delegation Order 00-002.00A	See delegations to the Director, Office of Civilian Radioactive Waste Management in Redelegation Order 00-002.06.	The authority delegated does not include rulemaking authority.

**TABLE 3  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY  
FOR ENERGY, SCIENCE AND ENVIRONMENT**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Yucca Mountain Site Characterization Progress Reports	Report and transmit site characterization progress reports for the Yucca Mountain site in the State of Nevada to the Nuclear Regulatory Commission, the governor and the legislature of the State of Nevada, and other interested parties, including the U.S. Congress. The reports are required under section 113(b)(3) of the Nuclear Waste Policy Act of 1982, as amended (P.L. 97-425, as amended by Title V, Subtitle A, of P.L. 100-203).	Delegation Order 00-002.00A		Report on a semiannual basis.  Requires the concurrence by the General Counsel and the Assistant Secretary for Congressional and Intergovernmental Affairs before transmittal.
Transfer of Special Nuclear Material (SNM)	<ul style="list-style-type: none"> <li>Authorize transfer of SNM to the Departments of the Army, Air Force, and Navy (Navy Facilities Engineering Command only) in such quantities and at such times as necessary for cores for new military reactors, for replacement cores for existing military reactors, and for miscellaneous purposes (other than use in atomic weapons) for which material, fabrication, and new reactors the Congress has authorized funds.</li> <li>Authorize the Departments of the Army, Air Force, and Navy to manufacture, produce, or acquire utilization facilities, other than nuclear powered ships, for which Congress has authorized funds.</li> </ul>	Delegation Order 00-002.00A	See redelegation to the Director for Nuclear Energy, Science, and Technology in Redelegation Order No. 00-002.05.	
Civil Penalties/Enforcement <sup>24</sup>	<ul style="list-style-type: none"> <li>Formulate and establish enforcement policy.</li> <li>Initiate and conduct investigations.</li> <li>Conduct conferences, administrative hearings, and public hearings.</li> <li>Prepare required reports.</li> <li>Issue orders.</li> </ul>	Delegation Order 00-002.00A		See AEA, Sec. 84 (42USC 2014, 6901, 2112) and Sec. 234A and 10 CFR Part 820.

<sup>24</sup>See the *Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health* for special provisions regarding enforcement at NNSA facilities.



**TABLE 4  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY  
FOR NUCLEAR SECURITY/ADMINISTRATOR FOR THE NATIONAL NUCLEAR SECURITY  
ADMINISTRATION (NNSA)**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Environment, Safety, and Health	<ul style="list-style-type: none"> <li>• Protect the environment and the safety and health of public and workers at NNSA facilities and sites.</li> <li>• Comply with applicable requirements.</li> <li>• Issue and meet procedures for meeting requirements.</li> </ul>	National Nuclear Security Administration Act, Oct. 5, 1999, (NNSA Act)	Deputy Administrator for Defense Programs by memo from Linton Brooks, dated June 25, 2003.	
Integrated Safety Management	Formal organized process for planning, organizing, assessing, and improving the safe conduct of work.	NNSA Act DOE P 450.4		
Weapons Stockpile Safety	Enhance safety, reliability, and performance.	NNSA Act		
Special Nuclear Material (SNM)	<ul style="list-style-type: none"> <li>• Authorize transfer to the Department of the Navy.</li> <li>• Distribute SNM under Section 54 of the Atomic Energy Act of 1954 (AEA).</li> </ul>	Delegation Order No. 00-003.00	Authority may be delegated to the Deputy Administrator for Naval Reactors and may not be delegated further.	
Utilization Facilities	Authorize the Department of the Navy to manufacture, produce, or acquire utilization facilities (nuclear powered ships) for which Congress has authorized funds.	Delegation Order No. 00-003.00	Authority may be delegated to the Deputy Administrator for Naval Reactors and may not be delegated further.	
Source and Byproduct Material	Distribute source and byproduct material under Sections 64 and 82 of the AEA.	Delegation Order No. 00-003.00		

<b>TABLE 5 COGNIZANT SECRETARIAL OFFICER (CSO) ASSIGNMENTS</b>		
<b>Symbol</b>	<b>CSO</b>	<b>Site/Laboratory</b>
NA-1	Under Secretary for Nuclear Security/Administrator for the National Nuclear Security Administration (Deputy Administrator for Defense Programs and Deputy Administrator for Defense Nuclear Nonproliferation <sup>25</sup> )	Los Alamos National Laboratory
		Sandia National Laboratories
		Pantex Plant
		Kansas City Plant
		Fissile Material Disposition Facilities
		Savannah River Tritium Facilities
		Lawrence Livermore National Laboratory
		Y-12
		Nevada Test Site
		EM-1
Mound Environmental Management Project		
Grand Junction Project Office		
Waste Isolation Pilot Project		
Fernald Environmental Management Project		
West Valley Demonstration Project		
Ashtabula Environmental Management Project		
Columbus Environmental Management Project		
Hanford Site		
Pacific Northwest National Laboratory		
Fast Flux Test Facility		
Rocky Flats Environmental Technology Site (RFETS)		
Savannah River Site		
Idaho Nuclear Technology and Engineering Center at INL		
Paducah/Portsmouth		
ETTP, K-25, Weldon Spring, etc		
Energy Technology Engineering Center		
SC-1	Director of the Office of Science	Argonne National Laboratory—East
		Brookhaven National Laboratory
		Ames Laboratory
		Princeton Plasma Physics Laboratory
		Fermi National Accelerator Laboratory
		Environmental Measurements Laboratory
		Oak Ridge National Laboratory
		Thomas Jefferson National Accelerator Facility
		Lawrence Berkeley National Laboratory
Stanford Linear Accelerator Center		
EE-1	Assistant Secretary for Energy Efficiency and Renewable Energy	National Renewable Energy Laboratory
EH-1	Assistant Secretary for Environment, Safety and Health	Radiological and Environmental Sciences Laboratory
NE-1	Director of the Office of Nuclear	Idaho National Laboratory (INL)

<sup>25</sup> In a memorandum dated June 25, 2003, the Under Secretary for Nuclear Security/Administrator for the National Nuclear Security Administration (NNSA) delegated the authority to serve as the Secretarial Officer for environment, safety, and health matters at the eight NNSA-owned facilities to the Deputy Administrator for Defense Programs. This delegation does not apply to facilities being designed and constructed by the Deputy Administrator for Defense Nuclear Nonproliferation. The division of Program Secretarial Officer responsibility for NNSA facilities is addressed in the NNSA FRA document.

<b>TABLE 5</b>		
<b>COGNIZANT SECRETARIAL OFFICER (CSO) ASSIGNMENTS</b>		
<b>Symbol</b>	<b>CSO</b>	<b>Site/Laboratory</b>
	Energy, Science and Technology	Test Reactor Area
		Argonne National Laboratory—West
SO-1	Director of the Office of Security,	New Brunswick Laboratory <sup>26</sup>
FE-1	Assistant Secretary for Fossil Energy	National Energy Technology Laboratory - Morgantown
		National Energy Technology Laboratory - Pittsburgh
		Arctic Energy Office
		Albany Research Center
		National Petroleum Technology Office
		Naval Petroleum Reserve - California
		Rocky Mountain Oil Field Testing Center
		Strategic Petroleum Reserve - Bryan Mound
		Strategic Petroleum Reserve - Bill Hill
		Strategic Petroleum Reserve - Bayou Choctow
		Strategic Petroleum Reserve Project Office
Strategic Petroleum Reserve - West Hackberry		
RW-1	Director of the Office of Civilian Radioactive Waste Management	Yucca Mountain Site
ME-1	Director of the Office of Management, Budget, and Evaluation	DOE Headquarters Buildings

<sup>26</sup>Reports through the Chicago Operations Office.

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Integrated Safety Management (ISM)	<p>ISM safety system descriptions (including the Environmental Management System or EMS) that addresses the five core functions:</p> <ul style="list-style-type: none"> <li>• Define the scope of work.</li> <li>• Analyze the hazards.</li> <li>• Develop and implement hazard controls.</li> <li>• Perform work within controls.</li> <li>• Provide feedback and continuous improvement.</li> </ul>	<p>DOE P 450.4 DOE O 450.1 48 CFR 970.5204-2 48 CFR 970.5215-3</p>	Yes.	<p>Annual review.</p> <p>EMS to be implemented by 12-05.</p>
Safety Basis	<ul style="list-style-type: none"> <li>• Safety Evaluation Report.</li> <li>• Safety Basis Information System (SBIS).</li> <li>• Documented Safety Analysis (DSA).</li> <li>• Technical Safety Requirements (TSRs) and other hazard controls.</li> <li>• Preliminary DSA.</li> <li>• Unreviewed safety questions (USQs).</li> <li>• Alternate methodologies for DSAs.</li> <li>• Hazard Categorization.</li> </ul>	<p>10 CFR Part 830, Subpart B DOE O 420.1A 48 CFR 970.5223-1</p>	Yes.	<p>Annual update for DSA and TSRs.</p> <p>Annual submittal for USQs.</p> <p>Quarterly reports to SBIS.</p> <p>Concurrence from the Office of Environment, Safety and Health is required for DSA/TSR methodology other than safe harbor methodologies in Table 2 of Appendix A to 10 CFR Part 830.</p>
Radiation Protection	<ul style="list-style-type: none"> <li>• Radiation protection program (RPP).</li> <li>• Monitoring programs.</li> <li>• As low as reasonably achievable (ALARA) process.</li> <li>• Notification to the public.</li> </ul>	<p>10 CFR Part 835 DOE P 441.1 DOE O 5400.5</p>	Yes.	Update RPP when changes are made to program.
Accident Investigation	<ul style="list-style-type: none"> <li>• Type A and B investigations.</li> <li>• Investigation reports.</li> <li>• Corrective action plans (CAPs).</li> </ul>	DOE O 225.1A	Yes.	

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Beryllium Disease Prevention	<ul style="list-style-type: none"> <li>• Record keeping.</li> <li>• Chronic Beryllium Disease Prevention Program.</li> <li>• Baseline beryllium inventory.</li> <li>• Formal exposure reduction and minimization program.</li> <li>• Respiratory protection program.</li> <li>• Medical surveillance program.</li> <li>• Beryllium training program.</li> <li>• Postings.</li> <li>• Reporting beryllium sensitization.</li> </ul>	10 CFR Part 850 29 CFR 1910	Yes.	
Quality Assurance (QA)	<ul style="list-style-type: none"> <li>• QA Program</li> <li>• Management and independent assessments</li> <li>• Software QA (SQA)</li> <li>• Suspect/counterfeit parts</li> </ul>	10 CFR Part 830, Subpart A DOE O 414.1A DOE N 411.1 DOE O 440.1A	Yes.	SQA requirements must be updated when DOE directive on SQA replaces DOE N 411.1.
Startup and Restart of Nuclear Facilities	<ul style="list-style-type: none"> <li>• DOE operational readiness reviews or readiness assessments.</li> <li>• Startup notification reports.</li> </ul>	DOE O 425.1C	Yes.	
Radioactive Waste Management	<ul style="list-style-type: none"> <li>• Implement the requirements of DOE O 435.1.</li> <li>• Ensure field element managers meet the requirements of DOE M 435.1-1.</li> </ul>	DOE O 435.1 DOE M 435.1-1	Yes (see DOE M 435.1-1).	
ES&H reporting	<ul style="list-style-type: none"> <li>• Log of occupational fatalities, injuries, and illnesses.</li> <li>• Log of work-related injuries.</li> <li>• Summary of work-related injuries.</li> <li>• Individual accident/incident reports.</li> <li>• Injury and illness reports.</li> <li>• Radiological exposure data.</li> <li>• ES&amp;H assessment reports.</li> <li>• Summary report of ES&amp;H self-assessments.</li> </ul>	DOE N 231.1 DOE M 231.1-1 DOE M 231.1-2 DOE O 231.1A 10 CFR Part 820 40 CFR Part 61 DOE O 450.1 E.O. 13101 E.O. 13148 10 CFR Part 835	Yes.	<p><i>Annual reports:</i></p> <ul style="list-style-type: none"> <li>• ES&amp;H assessment reports and the summary report of ES&amp;H self-assessments.</li> <li>• NESHAP reports.</li> <li>• Report on the Department's progress in implementing E.O. 13101.</li> </ul> <p><i>Quarterly reports:</i></p> <ul style="list-style-type: none"> <li>• Individual accident/incident reports and injury and illness reports.</li> <li>• Reports on periodic performance</li> </ul>

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
ES&H Reporting (continued)	<ul style="list-style-type: none"> <li>• Report of fatalities or multiple hospitalizations.</li> <li>• Occurrence reports.</li> <li>• Implementation procedures.</li> <li>• Event categorization and notification of significant occurrences.</li> <li>• Reports of noncompliance with nuclear safety regulations (recommended reports).</li> <li>• DOE annual site environmental reports.</li> <li>• National emission standards for hazardous air pollutants (NESHAP) reports.</li> <li>• DOE data for annual reporting to Office of Management and Budget (OMB) under E.O.s 13101 and 13148.</li> <li>• Performance analysis reports and identification and reporting of recurring events.</li> </ul>			<p style="text-align: right;">analysis and identification and reporting of recurring events.</p> <p><i>45 day reports:</i> Submit Occurrence Reporting and Processing System final reports within 45 days or provide an update report (note: occurrence reports are normally contractor reports, but DOE has responsibilities with respect to the reports as defined in DOE M 231.1-2).</p>
Civil Penalties/ Enforcement	Referrals to the Office of Price-Anderson Enforcement and support throughout the enforcement process.	10 CFR Part 820 Price-Anderson Amendments Act Atomic Energy Act of 1954	No.	
Lessons Learned Program	Development and dissemination of lessons learned.	DOE M 140.1-1B DOE O 225.1A DOE N 231.1 DOE O 231.1A DOE M 231.1-2 DOE O 425.1C DOE O 440.1A DOE O 451.1B DOE O 460.1B DOE O 5480.19	Yes.	

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Corrective Action Plans (CAPs)	CAPs. CAP verification.	DOE O 225.1A DOE O 414.1A DOE O 470.2B	Yes.	
Nuclear and Explosives and Weapon Safety (Facility Safety)	<ul style="list-style-type: none"> <li>• Authorization agreements.</li> <li>• Nuclear Explosives Weapons Surety Program.</li> <li>• Nuclear Weapons Surveillance Program.</li> <li>• Nuclear explosive safety study reports.</li> <li>• Certification that nuclear explosive surety standards have been met.</li> <li>• Nuclear explosive safety study reports.</li> <li>• Nuclear explosive rules.</li> <li>• Authorizations for nuclear explosive operations (NEOs).</li> <li>• Comprehensive safety program for NEOs.</li> <li>• Nuclear Explosives Safety Program.</li> <li>• Safety basis.</li> <li>• Operation hazard analysis reports.</li> <li>• Facility safety analyses.</li> <li>• Hazard controls.</li> <li>• Implementation plans for nuclear and explosive safety design criteria.</li> </ul>	DOE O 420.1A (paragraph 4.1) DOE O 452.1B DOE O 452.2B	Yes.	
Fire Protection (Facility Safety)	Fire protection program.	DOE O 420.1A (paragraph 4.2)	Yes.	
Criticality Safety (Facility Safety)	Nuclear criticality safety program.	DOE O 420.1A (paragraph 4.3)	Yes.	
Natural Phenomena Hazards (NPHs) (Facility Safety)	<ul style="list-style-type: none"> <li>• NPH assessments.</li> <li>• Seismic reports.</li> <li>• Dam safety reports.</li> </ul>	DOE O 420.1A (paragraph 4.4) E.O.s 12699 and 12941 P.L. 104-303 DOE O 5480.4	Yes.	Update as necessary, at least every 10 years.

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Safety System Engineer Program (Facility Safety)	Cognizant system engineer.	DOE O 420.1A (paragraph 4.5)	Yes.	
Configuration Management (Facility Safety)	Configuration management plans.	DOE O 420.1A (paragraph 4.5) DOE O 452.2B	Yes.	
Maintenance	Maintenance implementation plans (MIPs)	DOE O 433.1	Yes.	Update MIPs every 2 years.
Worker Protection	<ul style="list-style-type: none"> <li>• Notification of excesses of illnesses or injuries that require epidemiological analyses.</li> <li>• Records of occupational fatalities, injuries, and illnesses.</li> <li>• Reports of subcontractor accident information.</li> <li>• Worker Protection Program.</li> <li>• Postings.</li> <li>• Accident investigations.</li> <li>• Hazard prevention/abatement program.</li> <li>• Workplace inspections.</li> <li>• Safety and health plans.</li> <li>• Fire Protection Program (life safety).</li> <li>• Industrial hygiene programs.</li> <li>• Pressure safety policies.</li> <li>• Motor vehicle safety programs.</li> <li>• Suspect and counterfeit part controls.</li> <li>• Construction hazards analyses.</li> <li>• Occupational Medical Program.</li> <li>• Employee job tasks and hazards analysis information.</li> <li>• Summaries of workplace exposures.</li> <li>• Health examinations.</li> <li>• Employee counseling and health</li> </ul>	DOE M 231.1-1 DOE O 440.1A	Yes, except for exemptions related to Occupational Safety and Health Administration (OSHA) standards.	



**TABLE 6**  
**FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR**  
**COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
	promotion.			
Firearm Safety (Facility Safety)	Firearms safety policies and procedures.	DOE O 440.1A	Yes, except for exemptions related to OSHA standards.	
Explosives Safety (other than nuclear weapons)	<ul style="list-style-type: none"> <li>• Process hazards analyses.</li> <li>• List of explosive and hazardous materials.</li> <li>• Process hazards analyses.</li> <li>• Safety analysis of explosives facilities.</li> <li>• Classification of hazards contents.</li> <li>• Access control procedures.</li> <li>• Storage review programs.</li> <li>• Placards.</li> <li>• Explosives emergency control plans.</li> </ul>	DOE M 440.1-1	Yes, except for exemptions related to OSHA standards.	
Aviation Safety	<ul style="list-style-type: none"> <li>• Aviation implementation plans.</li> <li>• Maintenance and inspection programs.</li> <li>• Aviation safety programs.</li> </ul>	DOE O 440.2B	Yes, except for site General Counsel authority to approve certain travel.	

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
National Environmental Policy Act (NEPA) Compliance	<ul style="list-style-type: none"> <li>• Annual mitigation reports.</li> <li>• Annual NEPA planning summaries.</li> <li>• NEPA Compliance Program.</li> <li>• NEPA QA plans.</li> <li>• Environmental impact statements and associated notices.</li> <li>• Environmental assessments.</li> <li>• Records of Decision.</li> <li>• Public participation plans.</li> <li>• Mitigation action plans.</li> <li>• Independent reviews of proposed actions under NEPA.</li> <li>• Review of DOE NEPA compliance.</li> <li>• EMS.</li> </ul>	DOE O 450.1 DOE O 451.1B DOE M 231.1-1 NEPA DOE P 141.2 10 CFR Part 1021	DOE O 451.1B contains specific provisions on delegation.	
Conduct of Operations	Ensure conduct of operations provisions are incorporated into contractor programs and procedures.	DOE O 5480.19	Yes.	
Biological Agents	Program for biological agents.	DOE N 450.7	Yes.	

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Packaging and Transportation Safety	<ul style="list-style-type: none"> <li>• Packaging approval.</li> <li>• Transportation Safety Analysis Report (TSAR).</li> <li>• Transportation plan.</li> <li>• Onsite packaging and transfer procedures.</li> <li>• Carrier evaluations.</li> <li>• Reports to Tracking and Communications System.</li> <li>• Packaging and transportation plans</li> <li>• Transportation system risk assessments.</li> <li>• Implementation Plan for DOE O 461.1.</li> <li>• Packaging and transportation procedures.</li> <li>• Letter to governor or tribal leader for offsite.</li> <li>• Transportation Safety Document.</li> <li>• Safety Analysis Report for Packaging.</li> </ul>	DOE O 460.1B DOE O 460.2 DOE O 461.1 DOE M 460.2-1	Yes.	Update TSAR every 5 years.
Federal Employee Occupational Safety and Health (FEOSH)	<ul style="list-style-type: none"> <li>• FEOSH program.</li> <li>• Federal Employee Industrial Health Program.</li> <li>• Federal Employee Occupational Medical Program.</li> <li>• Designated Cognizant Secretarial Officer Occupational Safety and Health Manager.</li> </ul>	DOE O 3790.1B, Chapter VIII (medical) DOE HQ O 442.1 DOE O 440.1A	Yes.	

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Appraisals, Assessments, and Self-Assessments	Perform various appraisals and assessments as required by DOE directives.	10 CFR Part 830, Subpart A DOE O 414.1A DOE O 420.1A DOE P 450.5 DOE O 450.1 Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-2, <i>Configuration of Vital Safety Systems</i>	Yes.	
Line management environment, health and safety (ES&H) oversight	<ul style="list-style-type: none"> <li>• Monitor field element and contractor performance</li> <li>• When appropriate, participate in field element appraisals, assessments, surveillances and walkthroughs of contractor facilities and activities</li> <li>• Conduct onsite reviews of field element's performance, including verifications of their appraisals of the contractor, as necessary</li> </ul>	DOE P 450.5	Yes	
Substance Abuse	Workplace substance abuse program.	10 CFR Part 707 DOE N 471.3 DOE O 350.1 DOE O 440.1A DOE O 3792.3 48 CFR 970.2305 48 CFR 970.5223 48 CFR 923.570	Yes.	
Employee Protection	Posted regulations.	10 CFR Part 708 DOE O 442.1A 48 CFR 970.0309	Yes.	Quarterly reports.

**TABLE 6  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR  
COGNIZANT SECRETARIAL OFFICERS**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Organizational Staffing and Competency	<ul style="list-style-type: none"> <li>• Employee training and qualification.</li> <li>• DOE staffing plans.</li> <li>• Oversight of contractor training and qualification plans.</li> <li>• Facilities representatives program.</li> </ul>	10 CFR 830.122 DOE 5480.20A DOE M 426.1-1 DOE O 360.1B	Yes.	
DOE Technical Standards Program	Assign technical standards managers for DOE offices and contractors.	DOE O 252.1 P.L. 104-113 OMB Circular A-119	Yes.	
Organization Functions, Responsibilities, and Authorities Documents	Functions, responsibilities, and authorities document for organizations.	DOE P 411.1 DOE M 411.1-1C	No.	Update organizational Functions, Responsibilities, and Authorities documents annually.
DNFSB Interface	<ul style="list-style-type: none"> <li>• Assign responsible manager for assigned issue.</li> <li>• Implement DOE policy with respect to the DNFSB.</li> <li>• Support other DOE managers in responding to DNFSB.</li> <li>• Designate Point of Contact.</li> </ul>	DOE M 140.1-1B	Yes	

**TABLE 7  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT,  
SAFETY AND HEALTH**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Environmental Issues	<p>As the Agency environmental executive, monitor environmental programs related to—</p> <ul style="list-style-type: none"> <li>• procurement and acquisition,</li> <li>• waste prevention and recycling, and</li> <li>• reports on progress.</li> </ul> <p>Advise the Secretary with respect to conformance of the Department’s activities to environmental protection laws and principles, and conduct a comprehensive program of research and development on the environmental effects of energy technologies and programs.</p>	<p>DOE O 450.1 The Department of Energy (DOE) Organization Act (P.L. 95-91, as amended), Sec. 203 (a)(3)</p>	Yes.	
National Environmental Policy Act (NEPA) <sup>27</sup>	<ul style="list-style-type: none"> <li>• Issue notices of intent for environmental impact statements (EISs).</li> <li>• Approve EISs.</li> <li>• Independent review of proposed actions under NEPA.</li> <li>• Review of DOE NEPA compliance.</li> <li>• Notices of intent for EISs.</li> <li>• Policy, guidance, and oversight for NEPA compliance.</li> </ul>	<p>DOE O 451.1B 10 CFR Part 1021</p>	Yes.	

<sup>27</sup>The Administrator for the National Nuclear Security Administration (NNSA) will approve or adopt the environmental impact statement and related documents for specific NNSA proposals that the Administrator determines (after consultation with the Assistant Secretary for Environment, Safety and Health) do not warrant Secretarial attention.

**TABLE 7**  
**FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Environment, Safety, and Health (ES&H) Policies, Regulations, Directives, and Guidance (Rules, Regulations, and Orders for Safety)	<ul style="list-style-type: none"> <li>• Policies.</li> <li>• Regulations/rules.</li> <li>• Orders.</li> <li>• Notices.</li> <li>• Manuals.</li> <li>• Guides.</li> </ul>	Administrative Procedure Act (APA) DOE O 231.1A DOE M 231.1-1 DOE M 231.1-2 DOE O 251.1A DOE M 251.1-1A DOE P 410.1A AEA Price-Anderson Amendments Act (PAAA) E.O. 13148 DOE O 450.1 DOE P 411.1	Some authorities cannot be delegated.	The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ... shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Federal Employee Occupational Safety and Health (FEOSH)	Requirements and guidance for the Department of Energy (DOE) FEOSH program.	DOE O 440.1A	No.	The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ... shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Budget	<ul style="list-style-type: none"> <li>• Office of Environment, Safety and Health budget.</li> <li>• Review of operating contract budgets to ensure ES&amp;H is adequately addressed.</li> </ul>	DOE O 130.1 DOE O 135.1 Office of Management and Budget (OMB) Circular A-11	No.	

<b>TABLE 7 FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH</b>				
<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Safety Analysis, Hazard Controls, and Hazard Categorization	<ul style="list-style-type: none"> <li>• Requirements and guidance.</li> <li>• Concurrence on alternate methodologies other than safe harbor methodologies in Table 2 to Appendix A of 10 CFR Part 830.</li> <li>• Concurrence on other documents when requested.</li> <li>• Safety Basis Information System (SBIS).</li> </ul>	10 CFR Part 830, Subpart B 29 CFR 1910.1450 29 CFR 1910.120 DOE O 420.1A DOE O 420.2A	Yes.	Annual update for Documented Safety Analyses and Technical Safety Requirements.  Annual submittal for unreviewed safety questions.  Quarterly reports to SBIS.  The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ... shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Radiation Protection	Approve— <ul style="list-style-type: none"> <li>• planned special exposures,</li> <li>• alternate dosimetry, and</li> <li>• exemptions.</li> </ul> Issue policies and guidance.	10 CFR Part 835 DOE P 441.1 DOE O 5400.5	Yes, except for exemptions.	
Startup and Restart of Nuclear Facilities	<ul style="list-style-type: none"> <li>• Conduct independent reviews of startups in coordination with the Program Secretarial Officer.</li> <li>• Review and comment on startup and restart procedures, implementation plans, plans of action, and final reports.</li> </ul>	DOE O 425.1C DOE O 420.2A	Yes.	
Corrective Action Plans (CAPs)	<ul style="list-style-type: none"> <li>• Monitor and report on the Corrective Action Management Program (CAMP).</li> <li>• Review CAPs from Type A &amp; B investigations.</li> <li>• Enter all findings and Judgments of Need into the Corrective Action Tracking System (CATS).</li> <li>• Maintain the CATS database.</li> </ul>	DOE O 225.1A DOE O 414.1A DOE O 470.2B	Yes.	



**TABLE 7  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT,  
SAFETY AND HEALTH**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
ES&H Reporting	<p>Maintain the following reporting systems:</p> <ul style="list-style-type: none"> <li>• Computerized Accident/Incident Reporting System (CAIRS),</li> <li>• Occurrence Reporting and Processing System, and</li> <li>• Noncompliance Tracking System.</li> </ul> <p>Annual corporate reports to OMB on Department's progress on E.O. 13101 and 13148.</p>	<p>DOE N 231.1 DOE O 231.1A DOE M 231.1-1 DOE M 231.1-2 E.O. 13101 E.O. 13148</p>	Yes.	<p>Annual ES&amp;H assessment reports and annual summary report of ES&amp;H self-assessment.</p> <p>Annual report on the Department's progress in implementing E.O. 13101 and 13148.</p>
Accident Investigation	<ul style="list-style-type: none"> <li>• Type A and B investigations.</li> <li>• Notifications.</li> <li>• Lessons learned.</li> <li>• CAPs.</li> <li>• Investigation reports.</li> <li>• Appoint officials for Type A Boards.</li> </ul>	DOE O 225.1A	Yes.	
Reporting to External Organizations	<p>Reports to external agencies for which the Office of Environment, Safety and Health is responsible include—</p> <ul style="list-style-type: none"> <li>• seismic reports,</li> <li>• dam safety reports,</li> <li>• pollution prevention and abatement plans,</li> <li>• annual summary of occupational illnesses and injuries,</li> <li>• annual reports to the Environmental Protection Agency,</li> <li>• historical/cultural reporting, and</li> <li>• Interagency Nuclear Safety Review Panel reports of nuclear space applications to the President's Science Advisor.</li> </ul>	<p>OMB A-119 E.O. 13148 E.O. 12941</p> <p>P.L. 104-303, the Water Resources Development Act of 1996</p> <p>Presidential Directive PD/NSC/25</p>		

<b>TABLE 7 FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH</b>				
<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
DOE Technical Standards	<ul style="list-style-type: none"> <li>• Technical Standards Program.</li> <li>• DOE standards executive to represent DOE's interests on consensus standards-setting organizations and the Interagency Committee on Standards Policy.</li> <li>• Report to meet OMB Circular A-119.</li> </ul>	DOE O 252.1 DOE P 251.1 DOE M 251.1-1A P.L. 104-113 OMB A-119	Yes.	Annual report to meet OMB-119.
Exemptions	Grant or concur as authorized in regulations or Orders.	10 CFR Part 820, Subpart E DOE M 251.1-1A  Exemption processes as specified in individual DOE Orders  Exemption processes as authorized for external regulations	See authorities.	
Quality Assurance (QA)	<ul style="list-style-type: none"> <li>• DOE directives and regulation for QA</li> <li>• Office of Environment, Safety, and Health QA Program</li> <li>• Software QA</li> <li>• Suspect/Counterfeit Parts</li> </ul>	10 CFR Part 830, Subpart A DOE O 414.1A DOE N 411.1 DOE O 440.1A	Yes, however promulgation of regulations must follow APA and DOE rulemaking procedures.	SQA requirements must be updated when DOE directive on SQA replaces DOE N 411.1.
Fire Protection (facility safety)	Authority having jurisdiction (in the Office of Environment, Safety and Health).	DOE O 420.1A (sec. 4.2)	Yes.	
Lessons Learned, Feedback, and Improvement	Develop and disseminate lessons learned.	DOE M 140.1-1B DOE O 225.1A DOE N 231.1 DOE O 231.1A DOE M 231.1-2 DOE O 414.1A DOE O 425.1C DOE O 440.1A DOE O 451.1B DOE O 460.1B DOE O 5480.19		

**TABLE 7  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT,  
SAFETY AND HEALTH**

<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
DOE Laboratory Accreditation Program (DOELAP)	Develop and implement the DOELAP in coordination with Cognizant Secretarial Officers, contractors, and industry.	10 CFR 835		
DNFSB Interface	<ul style="list-style-type: none"> <li>• Act as the Deputy Secretary's agent on crosscutting issues.</li> <li>• Work with line management and program offices to identify and address obstacles that arise in the course of implementing corrective actions in response to issues that require action by multiple organizations.</li> <li>• Evaluate planned actions to ensure that collectively they are responsive to the DNFSB concerns and underlying causes.</li> </ul>	<p>Memorandum from Deputy Secretary McSparrow, March 31, 2003</p> <p>Letter from Deputy Secretary McSparrow to DNFSB Chairman Conway, March 18, 2003</p> <p>DOE M 140.1-1B</p>	Yes.	Monthly reports to Deputy Secretary on status and problems.

<b>TABLE 7 FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH</b>				
<b>Functions</b>	<b>Responsibilities</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Civil Penalties/ Enforcement	Enforcement program.	10 CFR Part 820  Price-Anderson Amendments Act  Atomic Energy Act of 1954, Section 234a  Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health, January 12, 2001	Most enforcement activities are assigned directly to the Office of Enforcement by 10 CFR Part 820. These cannot be delegated. In addition, 10 CFR Part 820 prohibits delegation of exemption authority.	The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ...shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Safety Management Functions, Responsibilities and Authorities Manual (DOE M 411.1-1) and Organizational Functions, Responsibilities and Authorities document	<ul style="list-style-type: none"> <li>• Update DOE M 411.1-1 every six months.</li> <li>• Post DOE M 411.1-1 and any overriding Secretarial Memoranda on web page.</li> <li>• Update EH Functions, Responsibilities, and Authorities document annually.</li> </ul>	DOE M 411.1-1C		

**TABLE 8  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE DIRECTOR OF THE OFFICE OF  
INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE**

<b>Responsibility Topic</b>	<b>Subtopics/Deliverables</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Independent oversight of Environment, Safety, and Health (ES&H)	<ul style="list-style-type: none"> <li>• Develop and maintain DOE ES&amp;H independent oversight and performance assurance policies, procedures, standards, and guidelines.</li> <li>• Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites.</li> <li>• Direct, manage, and conduct ES&amp;H independent oversight programs.</li> <li>• Provide DOE managers with independent evaluations of environment, safety, and health policies, programs, and implementation.</li> </ul>	DOE O 470.2B	No.	
Appraisals, Assessments, and Self-Assessments	<ul style="list-style-type: none"> <li>• Coordinate the scheduling, notification, and planning of appraisals with appropriate cognizant secretarial officers and heads of field elements.</li> <li>• Ensure environment, safety, and health On a selected basis, conduct appraisals to verify and validate the effectiveness of corrective actions and to confirm closure of findings.</li> <li>• Coordinate with the applicable DOE policy organizations to resolve environment, safety, and health policy findings or deficiencies and to ensure accurate interpretation of requirements.</li> <li>• Maintain awareness of the status of findings and ratings identified during appraisals.</li> <li>• Brief senior DOE officials, including the Under Secretaries, cognizant secretarial officers, the Office of</li> </ul>	DOE O 470.2B	No.	

**TABLE 8  
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE DIRECTOR OF THE OFFICE OF  
INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE**

<b>Responsibility Topic</b>	<b>Subtopics/Deliverables</b>	<b>Authorities</b>	<b>Can authority be delegated?</b>	<b>Notes</b>
Appraisals, Assessments, and Self-Assessments (continued)	Security, DOE policy organizations, and the managers of DOE sites, on the results of appraisal activities. <ul style="list-style-type: none"> <li>• Ensure comments are resolved or elevate comments until resolution is obtained. If needed, elevate comments to the Deputy Secretary and/or the Secretary for resolution.</li> </ul>			
Corrective Action Plans (CAPs)	Review CAPs and provide comments, when necessary, within prescribed time frames.	DOE O 470.2B	No.	
Corrective Action Tracking System (CATS)	Ensure ES&H findings (and related information) are entered into the CATS.	DOE O 470.2B	No.	
Civil Penalties/ Enforcement	Coordinate with the Office of Price-Anderson Enforcement when appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act.	DOE O 470.2B	No.	
Organizational Staffing and Competency	Implement a Technical Qualification Program for all DOE employees whose duties and responsibilities require them to provide oversight that could impact the safe operation of a defense nuclear facility.	DOE M 426.1-1	Yes.	
Organization Functions, Responsibilities, and Authorities Documents	Maintain the OA Functions, Responsibilities, and Authorities Document.	DOE P 411.1 DOE M 411.1-1C	No.	Update annually
Defense Nuclear Facilities Safety Board (DNFSB) Interface	Cooperate with the DNFSB, including ready access to OA inspection results, and respond to DNFSB recommendations, as applicable.	DOE M 140.1-1B	Yes.	

## APPENDIX A. ACRONYMS AND ABBREVIATIONS

AEA	Atomic Energy Act of 1954
APA	Administrative Procedures Act
CAP	Corrective Action Plan
CATS	Corrective Action Tracking System
CFR	Code of Federal Regulations
CSO	Cognizant Secretarial Officer
DASHO	Designated Agency Safety and Health Officer
Department	Department of Energy
DMB	Directives Management Board
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DOELAP	DOE Laboratory Accreditation Program
DSA	Documented Safety Analysis
EIS	environmental impact statement
EMS	Environmental Management System
E.O.	Executive order
ES&H	environment, safety, and health
FEM	field element manager
FEOSH	Federal employee occupational safety and health
FTCP	Federal Technical Capability Panel
HQ	(DOE) Headquarters
ISM	Integrated Safety Management
NEO	nuclear explosive operation
NEPA	National Environmental Policy Act
NESHAP	National Emission Standards for Hazardous Air Pollutants
NNSA	National Nuclear Security Administration
NPH	natural phenomenon hazard
OAM	Office of Aviation Management

OMB	Office of Management and Budget
OPI	Office of Primary Interest
PAAA	Price-Anderson Amendments Act
QA	quality assurance
RPP	radiation protection program
SBIS	Safety Basis Information System
Secretary	Secretary of Energy
SNM	Special Nuclear Material
SQA	Software Quality Assurance
TSR	Technical Safety Requirements
TSAR	Transportation Safety Analysis Report
USQ	unreviewed safety question



**APPENDIX B. CITATIONS AND AUTHORITIES**

Federal Statutes, Acts, Executive Orders and other Authorities

<b>Federal Statutes, Acts, Executive Orders and other Authorities</b>		
<b>Reference Number</b>	<b>Title</b>	<b>Manual Section</b>
<a href="#">Title 5, United States Code (5 U.S.C.)</a>	<i>Administrative Procedure Act (APA)</i>	Table 7
<a href="#">42 U.S.C.</a>	<i>Atomic Energy Act of 1954 (AEA)</i>	Chapter 3, 4, & 6, Tables 1, 2, 4, 6, & 7
Public Law (P.L.) 93-438	<i>Energy Reorganization Act of 1974</i>	Chapter 3, 4
P. L. 95-91	<i>DOE Organization Act</i>	Chapter 4 & 7 Tables 1,2,3,& 7
<a href="#">42 U.S.C.</a> (P.L. 91-190)	<i>National Environmental Policy Act (NEPA)</i>	Table 6 & 7
<a href="#">42 USC 7274d</a>	<i>National Defense Authorization Act for fiscal years 1992 and 1993</i>	
P. L. 106-377	<i>National Nuclear Security Administration Act (NNSA) Act in the National Defense Authorization Act for 2000</i>	Chapter 4 & 7 Tables 1, 2, 4, & 7
P. L. 104-113	<i>National Technology Transfer and Advancement Act of 1995</i>	Table 6, 7
P. L...97-425 as amended by Title V, Subtitle A of P. L. 100-203	<i>Nuclear Waste Policy Act of 1982 (NWPA)</i>	Table 1 & 3
<a href="#">42 U.S.C. 2011</a> (P.L. 100-408)	<i>Price Anderson Amendments Act of 1988 (PAAA)</i>	Chapter 5 Table 7
P. L. 104-303	<i>Water Resources Development Act of 1996</i>	Table 7
<a href="#">Executive Order (E.O.) 12196</a>	<i>Occupational Safety and Health Programs for Federal Employees</i>	Chapter 6 Table 1
<a href="#">E.O. 12564</a>	<i>Drug-Free Federal Workplace</i>	Table 1
<a href="#">E.O. 12699</a>	<i>Seismic Safety Of Federal and Federally Assisted or Regulated New Building Construction</i>	Table 6
<a href="#">E.O. 12941</a>	<i>Seismic Safety of Existing Federally Owned or Leased Building</i>	Tables 6 & 7
<a href="#">E.O. 13101</a>	<i>Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition</i>	Chapter 6 Tables 6 & 7
<a href="#">E.O. 13148</a>	<i>Greening the Government Through Leadership in Environmental Management</i>	Tables 6, & 7
Presidential Directive PD/NSC/25	<i>Scientific or Technological Experiments with Possible Large-Scale Adverse Environmental Affects and Launch of Nuclear systems into space</i>	Chapter 7
National Security Decision Directive 282	<i>Continuing Authority to Deliver Nuclear Materials and to Acquire Utilization Facilities</i>	Table 1
<a href="#">OMB Circular A-119</a>	<i>Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities</i>	Table 6 & 7
OMB Circular A-11	<i>Preparation, Submission and Execution of the Budget</i>	Table 7

<b><u>Code of Federal Regulations</u></b>		
<b>Reference Number</b>	<b>Title</b>	<b>Manual Section</b>
<a href="#">10 CFR Part 707</a>	<i>Workplace Substance Abuse Programs at DOE Sites</i>	Table 6
<a href="#">10 CFR Part 708</a>	<i>DOE Contractor Employee Protection Program</i>	Table 6
<a href="#">10 CFR Part 820</a>	<i>Procedural Rules for DOE Nuclear Activities</i>	Tables 1, 3, 6, 7
<a href="#">10 CFR Part 830</a>	<i>Nuclear Safety Management</i>	Table 6, 7
<a href="#">10 CFR Part 835</a>	<i>Occupational Radiation Protection</i>	Table 6, 7

<b><u>Code of Federal Regulations</u></b>		
<b>Reference Number</b>	<b>Title</b>	<b>Manual Section</b>
<a href="#">10 CFR Part 850</a>	<i>Chronic Beryllium Disease Prevention Program</i>	Table 6
<a href="#">10 CFR Part 1021</a>	<i>National Environmental Policy Act Implementing Procedures</i>	Tables 6, 7
<a href="#">29 CFR Part 1910</a>	<i>Occupational Safety and Health Standards</i>	Table 6, 7
<a href="#">29 CFR Part 1960</a>	<i>Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters</i>	Chapter 6 Table 1
<a href="#">40 CFR Part 61</a>	<i>National Emission Standards for Hazardous Air Pollutants</i>	Table 6
<a href="#">40 CFR Part 191</a>	<i>Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High-Level and Transuranic Radioactive Wastes</i>	Table 1
<a href="#">48 CFR 923.570</a>	<i>Workplace Substance Abuse Programs at DOE Sites</i>	
<a href="#">48 CFR 970.0309</a>	<i>Whistleblower Protection Of Contractor Employees.</i>	Table 6
<a href="#">48 CFR 970.2305</a>	<i>Workplace Substance Abuse Programs -- Management and Operating Contracts</i>	Table 6
<a href="#">48 CFR 970.5204-2</a>	<i>Laws, Regulations, and DOE Directives</i>	Chapter 1 Table 6
<a href="#">48 CFR 5215-3</a>	<i>Contracting by Negotiation</i>	Table 6
<a href="#">48 CFR 970.5223-1</a>	<i>Integration of Environment, Safety and Health into Work Planning and Execution</i>	Chapter 1 Table 6
<a href="#">48 CFR 970.5223-3</a>	<i>Agreement Regarding Workplace Substance Abuse Programs at DOE Facilities.</i>	Table 6
<a href="#">48 CFR 970.5223-4</a>	<i>Workplace Substance Abuse Programs at DOE Sites.</i>	Table 6

<b><u>DOE Policies</u></b>			
<b>Policy Number</b>	<b>Titles</b>	<b>OPI</b>	<b>Manual Section</b>
DOE P 111.1	<i>Departmental Organization Management System</i>	OS	Chapter 8
DOE P 141.2	<i>Department of Energy Management of Cultural Resources</i>	EH	Table 6
DOE P 251.1	<i>Directives System Policy</i>	ME	Table 7
DOE P 410.1A	<i>Promulgating Nuclear Safety Requirements</i>	GC	Table 7
DOE P 411.1,	<i>Safety Management Functions, Responsibilities, and Authorities Policy</i>	EH	Chapter 1,5, & 8 Tables 6, 7, & 8
DOE P 450.4	<i>Safety Management System Policy</i>	EH	Chapter 1 Tables 4 & 6
DOE P 450.5	<i>Line Environment, Safety and Health Oversight</i>	NA	Table 6

<b><u>DOE Orders, Manuals, Notices</u></b>			
<b>Directive Number</b>	<b>Titles</b>	<b>OPI</b>	<b>Manual Section</b>
DOE O 100.1A	<i>Secretarial Succession</i>	OS	Chapter 1 Tables 1 & 2
DOE O 130.1	<i>Budget Formulation</i>	ME	Table 7
DOE O 135.1	<i>Budget Execution - Funds Distribution and Control</i>	ME	Table 7
DOE M 140.1-1B	<i>Interface With The Defense Nuclear Facilities Safety Board</i>	OS	Chapter 6 Tables 1, 2, 6, 7, 8
DOE O 225.1A	<i>Accident Investigations</i>	EH	Table 6, 7
DOE M 231.1-1	<i>Environment, Safety, and Health Reporting Manual</i>	EH	Table 6, 7
DOE M 231.1-2	<i>Occurrence Reporting and Processing of Operations Information</i>	EH	Table 6, 7

<b><u>DOE Orders, Manuals, Notices</u></b>			
<b>Directive Number</b>	<b>Titles</b>	<b>OPI</b>	<b>Manual Section</b>
DOE N 231.1	<i>Environment, Safety, and Health Reporting Notice</i>	EH	Table 6, 7
DOE O 231.1A	<i>Environment, Safety, and Health Reporting</i>	EH	Table 6, 7
DOE HQ 250.1	<i>Civilian Radioactive Waste Management Facilities – Exemption from Departmental Directives</i>	RW	Chapter 2 Table 1
DOE M 251.1-1A,	<i>Directives System Manual</i>	ME	Chapter 3, Tables 1, 2, 7
DOE O 251,1A	<i>Directives System</i>	ME	Chapter 3 Table 7
DOE O 252.1	<i>Technical Standards Program</i>	EH	Table 6, 7
DOE O 350.1	<i>Contractor Human Resource Management Programs</i>	ME	Table 6
DOE O 360.1B	<i>Federal Employee Training</i>	ME	Table 6
DOE M 411.1-1C (this manual)	<i>Safety Management Functions, Responsibilities, and Authorities Manual</i>	EH	Tables 6, 7, & 8
DOE N 411.1	<i>Safety Software Quality Assurance Functions, Responsibilities, and Authorities for Nuclear Facilities and Activities</i>	EH	Table 6, 7
DOE O 414.1A	<i>Quality Assurance</i>	EH	Table 6, 7
DOE O 420.1A	<i>Facility Safety</i>	EH	Tables 1, 6, 7
DOE O 420.2A	<i>Safety of Accelerator Facilities</i>	SC	Table 7
DOE O 425.1C	<i>Startup and Restart of Nuclear Facilities</i>	EH	Tables 1, 6, 7
DOE M 426.1-1	<i>Federal Technical Capability Manual</i>	ME	Tables 2, 6, 8
DOE O 433.1	<i>Maintenance Management Program for DOE Nuclear Facilities</i>	EH	Table 6
DOE M 435.1-1	<i>Radioactive Waste Management Manual</i>	EM	Tables 1 & 6
DOE O 435.1	<i>Radioactive Waste Management</i>	EM	Table 6
DOE M 440.1-1	<i>DOE Explosives Safety Manual</i>	EH	Table 6
DOE O 440.1A	<i>Worker Protection Management for DOE Federal and Contractor Employees</i>	EH	Chapter 2 Tables 1, 6, & 7
DOE O 440.2B	<i>Aviation Management and Safety</i>	ME	Tables 1, 2, 6
DOE O 442.1A	<i>Department of Energy Employee Concerns Program</i>	EH	Table 6
DOE HQ O 442.	<i>Headquarters Occupational Safety and Health Program</i>	EH	Chapter 2 Tables 1 & 6
DOE O 450.1	<i>Environmental Protection Program</i>	EH	Tables 6 & 7
DOE N 450.7	<i>The Safe Handling, Transfer, and Receipt of Biological Etiologic Agents at Department of Energy Facilities</i>	EH	Table 6
DOE O 451.1B	<i>National Environmental Policy Act Compliance Program</i>	EH	Tables 2, 6, 7
DOE O 452.1B	<i>Nuclear Explosive and Weapons Surety Program</i>	NA	Tables 1 & 6
DOE O 452.2B	<i>Safety of Nuclear Explosives Operations</i>	NA	Table 6
DOE O 460.1B	<i>Packaging and Transportation Safety</i>	EM	Table 6, 7
DOE M 460.2-1	<i>Radioactive Material Transportation Practices</i>	EM	Table 6
DOE O 460.2	<i>Departmental Materials Transportation and Packaging Management</i>	EH	Table 6
DOE O 461.1	<i>Packaging and Transfer or Transportation of Materials of National Security Interest</i>	NA	Table 6
DOE O 470.2B	<i>Independent Oversight and Performance Assurance Program</i>	OA	Chapter 6 Tables 2, 6, 7, & 8
DOE N 471.3	<i>Reporting Incidents of Security Concern</i>	SO	Table 6
DOE O 3790.1B	<i>Federal Employee Occupational Safety and Health</i>	ME	Table 6

<b><u>DOE Orders, Manuals, Notices</u></b>			
<b>Directive Number</b>	<b>Titles</b>	<b>OPI</b>	<b>Manual Section</b>
	<i>Program</i>		
DOE O 3792.3	<i>Drug-Free Federal Workplace Testing Implementation Program</i>	ME	Tables 1 & 6
DOE O 5400.5	<i>Radiation Protection of the Public and the Environment</i>	EH	Tables 1, 6, & 7
DOE O 5480.4	<i>Environmental Protection, Safety, and Health Protection Standards</i>	EH	Tables 1 & 6
DOE O 5480.19	<i>Conduct of Operations Requirements for DOE Facilities</i>	EH	Table 6 & 7
DOE O 5480.20A	<i>Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities</i>	EH	Table 6
DOE O 5480.30	<i>Nuclear Reactor Safety Design Criteria</i>	EH	Table 1
DOE O 5610.13	<i>Joint Department of Energy/Department of Defense Nuclear Weapon System Safety, Security, and Control Activities</i>	NA	Table 1
Secretarial Notice (SEN) 35-91	<i>Nuclear Safety Policy</i>	EH	Table 1

**DOE ORGANIZATIONS TO WHICH DOE M 411.1-1C IS APPLICABLE FOR  
FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH (FEOSH)  
REQUIREMENTS**

Office of the Secretary  
Chief Information Officer  
Office of Civilian Radioactive Waste Management  
Office of Congressional and Intergovernmental Affairs  
Office of Counterintelligence  
Departmental Representative to the Defense Nuclear Facilities Safety Board  
Office of Economic Impact and Diversity  
Office of Energy Efficiency and Renewable Energy  
Energy Information Administration  
Office of Environment, Safety and Health  
Office of Environmental Management  
Office of Fossil Energy  
Office of General Counsel  
Office of Hearings and Appeals  
Office of Independent Oversight and Performance Assurance  
Office of the Inspector General  
Office of Intelligence  
Office of Management, Budget and Evaluation and Chief Financial Officer  
National Nuclear Security Administration

- Office of the Deputy Administrator for Defense Programs
- Office of the Deputy Administrator for Defense Nuclear Nonproliferation
- Office of Emergency Operations
- Office of the Associate Administrator for Facilities and Operations
- Office of the Associate Administrator for Management and Administration

Office of Nuclear Energy, Science and Technology  
Office of Policy and International Affairs  
Office of Public Affairs  
Office of Science  
Secretary of Energy Advisory Board  
Office of Security  
Office of Worker and Community Transition  
Office of Energy Assurance

**DOE ORGANIZATIONS TO WHICH DOE M 411.1-1C IS APPLICABLE FOR  
REQUIREMENTS OTHER THAN FEOSH**

Office of the Secretary

Office of Civilian Radioactive Waste Management

Office of Energy Efficiency and Renewable Energy

Office of Environment, Safety and Health

Office of Environmental Management

Office of Fossil Energy

Office of Independent Oversight and Performance Assurance

National Nuclear Security Administration

- Office of the Deputy Administrator for Defense Programs
- Office of the Deputy Administrator for Defense Nuclear Nonproliferation

Office of Nuclear Energy, Science and Technology

Office of Science

Office of Security