

Appendix B

Rules and Directives Applicable to Nuclear Facilities Line Management Oversight

June 11, 2012

<p>DOE O 151.1C DOE G 151.1-1A DOE G 151.1-2 thru -5</p>	<p><i>Comprehensive Emergency Management System</i></p>	<p>Assesses contractor emergency management programs</p>
<p>DOE O 210.2A</p>	<p><i>DOE Corporate Operating Experience Program</i></p>	<p>Assessments are conducted to evaluate organizational performance in Integrated Safety Management (ISM). This includes an assessment of the effectiveness of the organization's operating experience program, and should be consistent with DOE O 226.1B, <i>Implementation of DOE Oversight Policy</i>, in performing appropriate contractor oversight and performing trending analysis.</p>
<p>DOE O 225.1B</p>	<p><i>Accident Investigations</i></p>	<p>As appropriate, require the submittal of contractor corrective action plans to address the Judgments of Need, approve the implementation of those plans, and track the effective implementation of those plans to closure. As directed, conduct extent-of-condition reviews for specific issues resulting from AIs that might be applicable to work locations or activities under the Head of Field Element's authority, and address applicable lessons learned from investigations conducted at other DOE sites.</p>
<p>DOE P 226.1B DOE O 226.1B</p>	<p><i>Department of Energy Oversight Policy</i> <i>Implementation of Department of Energy Oversight Policy</i></p>	<p>DOE Order 226.1B contains the basic DOE oversight program process elements to be implemented by DOE line management organizations, and contains the requirements applicable to both DOE headquarters and in the field that are related to the performance of oversight for evaluating contractor assurance system effectiveness.</p>

DOE O 227.1	<i>Independent Oversight Program</i>	DOE Order 227.1 describes the DOE independent oversight program.
DOE M 231.1-2	<i>Occurrence Reporting and Processing of Operations Information</i>	Facility Representatives and line management staff respond to reportable occurrences in accordance with established agreements. Facility Representatives fulfill the responsibilities required by this Manual. This includes ensuring the requirements in the CRD for DOE M 231.1-2 are applied.
DOE G 231.1-1	<i>ORPS Performance Analysis Guide</i>	
DOE G 231.1-2	<i>ORPS Causal Analysis Guide</i>	
DOE O 414.1D	<i>Quality Assurance</i>	The Field Element of sites where approval authority is delegated to the FEM, review and approve any new or revised Quality Assurance Plans for work under the FEM's purview. Where authorities are not delegated to the FEM, review and comment on, and submit the QAPs to the Secretarial Officer for approval. These guides provides information on principles, requirements, and practices used to establish and implement an effective Quality Assurance Program for nuclear facilities consistent with the requirements of DOE O 414.1D and 10 C.F.R. Part 830 Subpart A. Recommended actions include it's use when reviewing new and existing Quality Assurance Plans, and when planning/implementing field office quality assurance assessments.
DOE G 414.1-1B	<i>Management and Independent Assessments Guide for Use with 10 CFR 830 Subpart A</i>	
DOE G 414.1-2B	<i>Quality Assurance Program Guide for Use with 10 CFR 830 Subpart A, Quality Assurance Requirements and DOE O 414.1D, Quality Assurance</i>	

DOE O 420.1B	<i>Facility Safety</i>	This order establishes facility programmatic safety requirements related to: nuclear and explosives safety design criteria; fire protection; criticality safety; natural phenomena hazards (NPH) mitigation; and, the System Engineer Program. Specific DOE oversight activities prescribed include conducting assessments of contractor fire protection and criticality safety programs.
DOE G 420.1-1	<i>Nonreactor Nuclear Safety Design Criteria and Explosive Safety Criteria Guide for Use with DOE O 420.1 Facility Safety</i>	
DOE G 420.1-2	<i>Guide for the Mitigation of Natural Phenomena Hazards for DOE Nuclear Facility and Non-Nuclear Facilities</i>	
DOE G 420.1-3	<i>Implementation Guide for DOE Fire Protection and Emergency Services Programs for Use with DOE O 420.1B, Facility Safety</i>	

DOE O 422.1	<i>Conduct of Operations</i>	This order implements one of the safety management programs recognized in the Nuclear Safety Rule (10 CFR Part 830 Subpart B, <i>Nuclear Safety Management</i>), but it also supports safety and mission success for a wide range of hazardous, complex, or mission-critical operations, and some conduct of operations attributes can enhance even routine operations. It supports ISMS by providing concrete techniques and practices to implement the ISM Core Functions of Develop and Implement Hazard Controls and Perform Work within Controls. It may be implemented through facility policies, directives, plans, and safety management systems and need not be a stand-alone program. DOE line management provides appropriate oversight of Conduct of Operations. This is accomplished by field organizations assigning DOE Facility Representatives to oversee Conduct of Operations in accordance with DOE-STD-1063-2006, <i>Facility Representatives</i> .
DOE G 423.1-1A	<i>Implementation Guide for Use in Developing Technical Safety Requirements</i>	Provides guidance for the conduct of Implementation Verification Reviews (IVRs) performed by DOE.
DOE O 425.1D	<i>Verification of Readiness to Start Up or Restart Nuclear Facilities</i>	DOE Order 425.1D includes requirements for DOE to verify readiness to startup operations. Startup validation requirements include checks on hazard controls to provide assurance that the contractor processes establish controls that are appropriate and have been appropriately implemented.

DOE O 435.1 Chg 1	<i>Radioactive Waste Management</i>	Field Element Managers are responsible for Site-Wide Radioactive Waste Management Programs. This includes development, documentation, implementation, and maintaining a Site-Wide Radioactive Waste Management Program. The Program use a systematic approach for planning, executing, and evaluating the site-wide management of radioactive waste in a manner that supports the Complex-Wide Radioactive Waste Management Programs and ensures that the requirements of DOE O 435.1 are met.
DOE M 435.1-1 Chg 2	<i>Radioactive Waste Management Manual</i>	
DOE G 435.1-1 Series	<i>Implementation Guide for Use with DOE M 435.1-1 Chapters 1 thru 4</i>	
DOE M 441.1-1	<i>Nuclear Material Packaging Manual</i>	Section 2, Responsibilities, (d)(2) Field Element Managers... “Ensure oversight of contractor’s implementation of the requirements of this Manual.”
DOE G 441.1-1C	<i>Radiation Protection Programs Guide</i>	DOE conducts oversight to ensure departmental requirements are being complied with and appropriate radiological work practices are being implemented.

<p>DOE P 450.4A</p> <p>DOE O 450.2</p>	<p><i>Integrated Safety Management Policy</i></p> <p><i>Integrated Safety Management</i></p>	<p>The ultimate responsibility and accountability for ensuring adequate protection of the workers, the public, and the environment from the operation of DOE facilities rests with DOE line management. One of the ways the Department meets this responsibility is by: measuring safety management performance, with special emphasis on work related to high consequence activities by evaluating incident reports; using environment, safety, and health performance measures; and, assessing performance.</p> <p>Selectively applies and amplifies the generic management system requirements defined in DOE Order 414.1D by the ten criteria to ensure that DOE work is performed safely. This order is consistent with the quality assurance requirements in 10 CFR Part 830 Subpart A and applies to both DOE and contractors. It requires the development of a quality assurance program that addresses the ten criteria.</p>
<p>DOE O 458.1</p>	<p><i>Radiation Protection of the Public and the Environment</i></p>	<p>DOE Field Element Managers responsible for oversight of clearance processes implement oversight duties to verify that the contractor assurance program is ensuring that the applicable radiological clearance requirements have been met. DOE determines the type and scope of oversight activities necessary to independently verify compliance. Such oversight uses a graded approach commensurate with the Department's requirements to implement DOE oversight functions (See DOE O 226.1A).</p>
<p>DOE O 460.1C</p>	<p><i>Packaging and Transportation Safety</i></p>	<p>Implement the requirements of this Order and ensure that contractors under their purview fully implement and comply with the requirements of this Order.</p>

DOE O 460.2A	<i>Departmental Materials Transportation and Packaging Management</i>	Ensure that field organizations and contractors under their purview involved in performing or managing transportation and packaging fully implement and comply with the requirements of this Order.
DOE O 461.1B	<i>Packaging and Transportation for Offsite Shipment of Materials of National Security Interest</i>	Implement oversight program of packaging and transfer operations according to DOE O 226.1A. Ensure that the site has DOE personnel assigned and trained to oversee compliance with the requirements of this Order.
DOE O 461.2	<i>Onsite Packaging and Transfer of Materials of National Security Interest</i>	Implement oversight program of packaging and transfer operations according to DOE O 226.1A. Ensure that the site has DOE personnel assigned and trained to oversee compliance with the requirements of this Order.
DOE M 441.1-1,	Nuclear Material Packaging Manual	
DOE O 470.4B	<i>Safeguards and Security Program</i>	Oversee the development of S&S plans that describe S&S policy implementation in accordance with the requirements in this Order and its appendices and attachments and include detailed information on the assignment of roles, responsibilities, delegations, authorities, and development of budgets and allocation of resources. Oversee the development of S&S implementation procedures and guidance for programs described in this Order and its appendices and 10 DOE O 470.4B.

DOE O 5480.30 Chg 1	<i>Nuclear Reactor Safety Design Criteria</i>	Oversee contractor/operator preparation and review of safety analyses and evaluations of design features including establishing pertinent design criteria as directed by the PSO. Conduct appraisals to assure contractor compliance with this Order. Keep appropriate Headquarters program organizations, the Assistant Secretary for Environment, Safety and Health (EH-1), and the field and area offices advised of safety issues, deficiencies, and actions under this Order.
10 CFR 830, Subpart A	<i>Quality Assurance Requirements</i>	The ten criteria of DOE Order 414.1D and this subpart define the elements of a management system applicable to DOE work to be implemented using a graded approach based on an evaluation of the risks associated with the work to be performed.
DOE-STD-1063-2011	<i>Facility Representatives</i>	DOE O 422.1, <i>Conduct of Operations</i> , states that field organizations assign DOE FRs to oversee conduct of operations in accordance with DOE-STD-1063, <i>Facility Representatives</i> . Furthermore, DOE O 426.1, <i>Federal Technical Capability</i> , requires that the selection, staffing, training, qualification, and maintenance of qualification of FRs be consistent with DOE-STD-1063, <i>Facility Representatives</i> .
DOE O 410.1	Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements	
DOE O 452.2D DOE M 452.2-1A	Nuclear Explosive Safety Nuclear Explosive Safety Manual	

DOE O 442.2	Differing Professional Opinions for Technical Issues Involving Environment, Safety and Health	
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