

DOE Assessment Drivers

(NOTE: Includes Environment, Safety, and Health; Security; and Emergency Management Drivers)

Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 150.1	Continuity Programs	Ch. I, para 4a(5)(b)	An annual formally documented continuity exercise must be conducted. The exercise may be part of a larger emergency management exercise.	Frequency is annual as specified in DOE O 150.1.
DOE O 150.1	Continuity Programs	Ch. III, para 13c	<u>Field Element Managers</u> - Conduct annual field element Continuity Operations Program self-assessments.	Frequency is annual as specified in DOE O 150.1.
DOE O 151.1C	Comprehensive Emergency Management System	Ch. I, para 9c(3)	<u>Cognizant Field Element Managers</u> - Assess the Cognizant Field Element emergency management program annually and record the results of the self-assessment in the Cognizant Field Element portion to the ERAP.	Frequency is annual as specified in DOE O 151.1C.
DOE O 151.1C	Comprehensive Emergency Management System	Ch. I, para 9m	<u>Cognizant Field Element Managers</u> - Conduct assessments of facility emergency management programs at least once every three years . . . ; provide the results/conclusions to the Program Secretarial Officer(s) and the Director, Office of Emergency Operations.	Frequency is triennial as specified in DOE O 151.1C.
DOE O 151.1C	Comprehensive Emergency Management System	Ch. I, para 9m	Cognizant Field Element Managers - Review contractor self-assessment programs annually to ensure compliance with DOE directives and policy; provide the results/conclusions to the Program Secretarial Officer(s) and the Director, Office of Emergency Operations.	Frequency is annual as specified in DOE O 151.1C.
DOE O 205.1B	Department of Energy Cyber Security Management Program	5(1)(4)	<u>Heads of Departmental Elements</u> - Monitor the effectiveness of RMA implementation.	Note: For information...this is a responsibility rather than a specific assessment driver.
DOE O 210.2A	DOE Corporate Operating Experience Program	5d(6)	<u>Heads of Field Elements and Contracting Activities</u> - As part of self-assessments conducted to evaluate organizational performance in ISM, includes an assessment of the effectiveness of the organization's operating experience program.	Frequency is not specified in DOE O 210.2A.

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SCMS QA and Oversight: Subject Area: Corporate Operating Experience/ Lessons Learned	Procedure 2. Rev. 1.4. Oversight of Federal and Contractor Operating Experience/ Lessons Learned (OPEX/LL) Programs	Step 2	<u>Field Office Managers</u> - Ensure that management and independent assessments of OPEX/LL programs for their office and contractors are conducted, as appropriate.	Note: For information... this is a responsibility rather than a specific assessment driver. It is covered by other requirements such as DOE O 414.1D and DOE O 210.2A.
DOE O 210.2A	DOE Corporate Operating Experience Program	5d(7)	<u>Heads of Field Elements and Contracting Activities</u> - Perform appropriate contractor oversight, and performance trending analysis.	Note: For information...this is a responsibility rather than a specific assessment driver.
DOE O 224.2A	Auditing of Programs and Operations	5c(1)	<u>Heads of All Field Elements</u> - Maintain a management review program and make evaluations of programs and projects under their cognizance to determine their status, improve operations, and determine the adequacy of the management of DOE resources.	Note: For information...this is a responsibility rather than a specific assessment driver.
DOE O 224.3	Audit Resolution and Follow-Up Program	5d(6)(a)	<u>Heads of Primary Organizations and Cognizant Field Activities and the Associate Administrator for Management and Administration, NNSA</u> - Conduct audit follow-up assessments or reviews and provide an <i>Assurance of Effectiveness of Corrective Actions Taken</i> (assurance certification) to OMBE/CFO to close out audit report recommendations.	Frequency is not specified in DOE O 224.3.

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DOE O 226.1B	Implementation of Department of Energy Oversight Policy	4b(1), 4b(2), 4b(5), 5e(1)	<p><u>DOE Line Management</u> - Oversight processes implemented by applicable DOE line management organizations must: (1) Evaluate contractor and DOE programs and management systems, including site assurance systems, for effectiveness of performance (including compliance with requirements). Such evaluations must be based on the results of operational awareness activities; assessments of facilities, operations, and programs; and assessments of the contractor's assurance system. The level and/or mix (i.e., rigor or frequency in a particular area) of oversight may be tailored based on considerations of hazards, the maturity and operational performance of the contractor's programs and management systems.</p> <p>(2) Include written plans and schedules for planned assessments, focus areas for operational oversight, and reviews of the contractor's self-assessment of processes and systems.</p> <p>(5) Be tailored according to the effectiveness of contractor assurance systems, the hazards at the site/activity, and the degree of risk, giving additional emphasis to potentially high consequence activities.</p> <p>Establish oversight programs and implement the requirements in this Order.</p>	Frequency is dependent on type and magnitude of hazards and the maturity and operational performance of the contractor's programs and management systems, as specified in DOE O 226.1B.
DOE O 226.1B	Implementation of Department of Energy Oversight Policy	4b(3), 5b(1)	<p><u>DOE Headquarters</u> - Oversight processes implemented by applicable DOE line management organizations must: Include DOE Headquarters line organizations' conduct of oversight processes that are focused primarily on their DOE Field Elements, including reviewing contractor activities to the extent necessary to evaluate the implementation and effectiveness of the Field Element's oversight of its contractors.</p> <p>Establish oversight programs and implement the requirements in this Order at Headquarters and Field Elements.</p>	Frequency is not specified in DOE O 226.1B.
DOE O 226.1B	Implementation of Department of Energy Oversight Policy	4e	<p><u>DOE Line Management (both Field Element and Headquarters)</u> - For activities and programs at Government-owned and Government-operated facilities and sites that are not under the cognizance of a DOE Field Element, DOE Headquarters program offices must establish and implement comparably effective oversight processes consistent with requirements for the contractor assurance system (see attachment 1) and DOE line management oversight processes.</p>	Frequency is not specified in DOE O 226.1B.

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SCMS ES&H: Subject Area: Managing SC Functions, Responsibilities, and Authorities Documents	Procedure 3. Rev. 2 Maintaining a Field Office Functions, Responsibilities, and Authorities Document	Step 1	<u>Field Office Manager</u> - At least annually, the Field Office Manager appoints a Lead to review the approved Field Office FRA document. If needed, the Field Office Manager directs the Lead to form a Team.	Note: For Information...this is a responsibility rather than a specific assessment driver.
DOE O 231.1B	Environment, Safety and Health Reporting	Attachment 3, 1.f	Documented quality checks of injury and illness information reported to DOE through CAIRS must be conducted at least quarterly to ensure information is thorough, accurate, and consistent with information contained in local records.	Quarterly
DOE O 232.2	Occurrence Reporting and Processing of Operations Information	5a(2), 5a(4)	<u>Secretarial Officer</u> - (2) Review activities related to reportable occurrences, including reporting and the development of programs and procedures. (4)Review occurrence reporting data and identify potential performance gaps that are indicative of the need for further study and evaluation.	Frequency is not specified in DOE O 232.2.
DOE O 232.2	Occurrence Reporting and Processing of Operations Information	5d(1)	<u>Heads of Field Elements</u> - Assess performance of the facility personnel in carrying out the requirements of this Order, in accordance with established agreements with the responsible Secretarial Officers or Deputy Administrators (NNSA).	Frequency is not specified in DOE O 232.2.
DOE O 232.2	Occurrence Reporting and Processing of Operations Information	5e(1), 5e(2)	<u>Program Managers</u> - (1) Review activities related to reportable occurrences, including reporting and the development of programs and procedures. (b) Ensure that a system for prompt notification and categorization of reportable occurrences has been established for their DOE programs and for facilities under their cognizance.	Frequency is not specified in DOE O 232.2.

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 232.2	Occurrence Reporting and Processing of Operations Information	5f(1), 5f(3)	<u>Facility Representatives</u> - (1) Evaluate facility implementation of the notification and reporting process to ensure it is compatible with and meets the requirements of this Order. (3) Review and assess reportable occurrence information from facilities under their cognizance to determine the acceptability of the Facility Manager's evaluation of the significance, causes, generic implications, and corrective action implementation and closeout, and to ensure that facility personnel involved in these operations perform the related functions.	Frequency is not specified in DOE O 232.2.
DOE O 232.2	Occurrence Reporting and Processing of Operations Information	5g(1)	<u>Facility Manager</u> - Ensure procedures are implemented for notification and reporting that meet the requirements of this Order.	Frequency is not specified in DOE O 232.2.
DOE O 410.2	Management of Nuclear Materials		<u>Head of Field Organization</u> - Provide the Headquarters programs and the Office of Nuclear Weapons Management with an accurate and complete assessment of the nuclear materials for which the field office has programmatic responsibility.	Frequency as specified in DOE O 410.2.
DOE O 410.2	Management of Nuclear Materials	8i(5) and Ch. V, para 2a(4)	<u>Head of Field Organization</u> - Verify that contractor-prepared nuclear materials inventory assessment reports are accurate and valid.	Frequency is annual, as specified in DOE O 410.2.
DOE O 410.2	Management of Nuclear Materials	8i(9)	<u>Head of Field Organization</u> - Periodically review materials management activities at contractor operations for which the field office has responsibility.	Frequency is periodic, as specified in DOE O 410.2.
DOE O 413.1B	Management Control Program	Ch. III, para 1. Ch. IV, para 1a	<u>Summary Management Review</u> . <u>Summary Financial Management System Review</u> . <u>General</u> - Each departmental element is responsible for evaluating the adequacy of its management controls.....This evaluation is accomplished by performing annual summary management reviews..... <u>Summary Financial Management System Reviews</u> Summary financial management system reviews must be conducted annually by each Departmental element responsible for a financial management system and/or system component.	Frequency is annual as, specified in DOE O 413.1B.

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 413.1B	Management Control Program	Ch. III, para 5g	Employees must critically assess their efforts and determine if they have accomplished what they set out to do. In addition, a system of assessments must be established and implemented by management. In carrying out these assessments, work performance should be measured against defined standards and must be conducted by competent individuals with expertise in the subject area involved. Management should also track major agency achievements and compare these to the plans, goals, and objectives established under the Government Performance and Results Act.	Frequency is not specified in DOE O 413.1B.
DOE O 413.2B, Admin Change 1	Laboratory Directed Research and Development	5c(4)	<u>Site Office Managers</u> - Annually concur on each laboratory LDRD project before the project is started or continued.	Frequency is annual, as specified in DOE O 413.2B.
DOE O 414.1D	Quality Assurance	5b(1), 5b(8), 5b(9)	<u>Secretarial Officer</u> - Ensures appropriate quality requirements are implemented by the contractor. Ensures review of safety documentation for the facility or activity to validate that safety software has been properly identified. Ensures review of grading levels of safety software for approval by the QAP approval authority.	Frequency is not specified in DOE O 414.1D.
DOE O 414.1D	Quality Assurance	5c(1), 5c(6), 5c(7)	<u>Field Element Managers</u> -Ensure appropriate quality requirements are implemented by the contractor. Ensures review of safety documentation for the facility or activity to validate that safety software has been properly identified. Ensures review of grading levels of safety software for approval by the QAP approval authority.	Frequency is not specified in DOE O 414.1D.
DOE O 414.1D Attachment 2 Suspect/ Counterfeit Items Prevention	Quality Assurance	2d(4)	<u>DOE Organizations</u> - Inspect inventory and storage areas to identify, control, and disposition Suspect/Counterfeit Items.	Frequency is not specified in DOE O 414.1D.

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
ANSI/ISO/ASQ 9001-2008	Quality Management Systems -- Requirements	Section 5.6.1	<u>Top management</u> - Shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.	Frequency is not specified.
ANSI/ISO/ASQ 9001-2008	Quality Management Systems -- Requirements	Section 8.2.2	<u>The organization</u> shall conduct internal audits at planned intervals to determine whether the quality management system (a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization, and (b) is effectively implemented and maintained.	Frequency is not specified.
DOE O 420.1B Chg. 1	Facility Safety	Ch. II, para 3b(8)	<u>Emergency Services Capability</u> - A baseline needs assessment (BNA) of the fire protection emergency response organization that: (a) establishes the site fire fighting capabilities to provide: (1) effective response to suppress all fires; (2) emergency medical and hazardous materials response capabilities; and (3) staffing, apparatus, facilities, equipment, training, pre-plans, offsite assistance, and procedures; (b) reflects applicable NFPA codes and standards; and (c) is updated at least every 3 years and in accordance with applicable NFPA code provisions and whenever a significant new hazard is introduced that is not covered by the current BNA.	Frequency is triennial, as specified in DOE O 420.1B, Chg 1.
DOE O 420.1B Chg. 1	Facility Safety	5c(6)(a) Ch. II, para 3b(13)	<u>Heads of Field Elements</u> - Conduct comprehensive self-assessments and assessments of contractor fire protection programs and criticality safety programs (CSPs). <u>Fire Protection</u> . A documented comprehensive fire protection . . . assessment of contractors programs performed by DOE every 3 years.	Frequency is triennial, as specified in DOE O 420.1B, Chg 1.
DOE O 420.1B Chg. 1	Facility Safety	Ch. III, paras 3a(4)(d) & (e)	<u>Nuclear Criticality Safety. General</u> - Criticality safety programs must include (d) Periodic reviews of operations and conditions to ensure that - <u>1</u> limits and controls are effectively implemented and, <u>2</u> process conditions have not been altered resulting in compromise of safety limits and controls; and (e) Assessment of the need for and installation of criticality accident alarm and detection systems where appropriate to conform with paragraphs 3b(2) and 3b(3) of this chapter.	Frequency is periodic, as specified in DOE O 420.1B, Chg 1.

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DOE O 420.1B Chg. 1	Facility Safety	Ch. II, para 3b(13)	<u>Fire Protection Program</u> - A documented fire protection self-assessment and an assessment of contractors' programs performed by DOE every 3 years.	Frequency is triennial as specified in DOE O 420.1B, Chg 1.
DOE O 420.1B Chg. 1	Facility Safety	Ch. IV, para 3c	<u>Natural Phenomena Hazards (NPH) Assessment</u> (1) Both facility design and evaluation criteria must address the potential types of NPH occurrences. The NPH assessment must use a graded approach commensurate with the potential hazard of the facility. (2) NPH assessment for new facilities must use a graded approach that considers the consequences of all types of NPHs. Site-wide information may be considered when appropriate. (3) NPH assessments must be reviewed and upgraded as necessary for existing sites/facilities following significant changes in NPH assessment methodology or site-specific information. (4) An NPH assessment review must be conducted at least every 10 years and must include recommendations to DOE for updating the existing assessments based on significant changes found in methods or data. If no change is warranted from the earlier assessment, then this only needs to be documented.	Frequency is at least every 10 years, as specified in DOE O 420.1B, Chg 1.
DOE O 420.1B Chg. 1	Facility Safety	Ch. V, para 3c(5)	<u>Configuration Management</u> : Safety System Oversight assessments must include periodic review of system operability, reliability, and material condition. Reviews must assess the system for: (a) ability to perform design and safety functions, (b) physical configuration as compared to system documentation, and (c) system and component performance in comparison to established performance criteria. (Category 1, 2, or 3 nuclear facilities)	Frequency is periodic, as specified in DOE O 420.1B, Chg 1.
SCMS ES&H: Subject Area: Facility Safety Authorization	Procedure 1, Rev, 3.0 <i>Reviewing and Approving Nuclear Facility Safety Basis Authorization</i>	2.0, Step 14	<u>Site Office Manager or designee</u> - Ensures the contractor has properly implemented the safety basis document requirements.	Frequency is not specified.

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
SCMS ES&H: Subject Area: Facility Safety Authorization	Procedure 2, Rev. 3.0 <i>Reviewing and Approving Safety Documents for Nuclear Facilities Downgraded Below Hazard Category 3 Threshold Quantities by Analysis</i>	2.0, Step 13	<u>Site Office Manager or designee</u> - Ensures the contractor has properly implemented the safety document requirements. The SC Site Office Manager or designee ensures that the conditions, parameters, and assumptions that form the bases for the downgrades are protected and linked to an overall inventory control process. The SC Site Office Manager or designee also ensures that the contractor periodically revisits the safety documents to ensure the hazard categorizations remain valid (recommended to be annual).	Frequency is annual as specified in Procedure 2.
SCMS ES&H: Subject Area: Facility Safety Authorization	Procedure 3, Rev. 3.0 <i>Reviewing and Approving Contractor's Unreviewed Safety Question (USQ) Process and Processing Potential Inadequacies of the Document Safety Analysis (PISA)</i>	2.0, Step 13	<u>Site Office Manager or designee</u> - Evaluates the contractor's actions to place or maintain the facility in a safe condition for appropriateness and directs the contractor to take additional actions if necessary.	Frequency is not specified in Procedure 3.
SCMS ES&H: Subject Area: Facility Safety Authorization	Procedure 4, Rev. 3.0 <i>Reviewing and Approving Transportation Safety Documents for Greater than Hazard Category 3 Threshold Quantities</i>	2.0, Step 13	<u>Site Office Manager or designee</u> - Ensures the contractor has properly implemented the safety basis document requirements.	Frequency is not specified in Procedure 4.

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SCMS ES&H: Subject Area: Facility Safety Authorization	Procedure 10, Rev. 3.0 <i>Reviewing and Approving Accelerator Safety Documentation</i>	2.0, Step 9	<u>Site Office Manager or designee</u> - Ensures the contractor has properly implemented the safety document requirements.	Frequency is not specified in Procedure 7.
SCMS ES&H: Subject Area: Facility Safety Authorization Rev. 3.0	Section 3 Exhibit: "Facility Safety Authorization Roles and Responsibilities"	SC Site Office Manager, Item m	<u>Site Office Manager</u> - Assess contractor safety basis processes and activities.	Frequency is not specified in Section 3 Exhibit.
SCMS ES&H: Subject Area: ES&H Oversight of Contractors	Procedure 2, Rev. 3.1 <i>Facility Representative Oversight</i>	2.0, Step 6	<u>SC Field Office Managers</u> - Shall periodically (not to exceed three years) evaluate and adjust their SC Facility Representative Program as necessary to ensure a high and continuously improving level of performance.	Frequency is periodic (not to exceed three years), as specified in the SCMS procedure.
SCMS ES&H: Subject Area: Facility Safety Authorization	Procedure 9, Rev.3.0 <i>Verifying and Maintaining Authorization Agreements</i>	2.0, Steps 1 and 2	<u>SC Site Office Manager</u> - Step 1. The SC Site Office Manager or designee determines and documents which SC facilities shall have Authorization Agreements based upon the definition, knowledge, and understanding of the facility's risks and hazards. Step 2. The SC Site Office Manager or designee determines a frequency for re-evaluation of this determination (recommended to be every three years).	Frequency is every three years, as specified in the SCMS procedure, Step 2.
DOE O 425.1D	Startup and Restart of Nuclear Facilities	4a(1) & (2)	<u>Determining the Level of Readiness Review</u> - DOE line management must evaluate the need to perform a Readiness Review prior to startup and restart of Hazard Category 1, 2, and 3 nuclear facilities, activities, or operations. A DOE ORR must be conducted for any of the following: . . .	Frequency is not specified in DOE O 425.1D.
DOE O 426.1, Change 1	Federal Technical Capability	4(b)(7)	<u>Headquarters and Field Elements</u> - Conduct self-assessment of TQP and FTCP implementation within their organization at least every four years. These assessments must be conducted in accordance with the requirements of DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i> , dated 04-25-11, and the current objectives and criteria approved by the FTCP Chair and posted on the FTCP website.	Frequency is at least every four years as specified in DOE O 426.1, Change 1, 4(b)(7).

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DOE O 430.1B, Chg 2	Real Property Asset Management	4d(1)	<u>Maintenance and Recapitalization</u> - Each site must have a maintenance program to maintain each real property asset, including plant, property, and equipment, in a condition suitable for its intended use. The maintenance program will include condition assessments of real property assets, a work control system, management of deferred maintenance, a method to prioritize maintenance projects, and cost accounting systems to budget and track maintenance expenditures. . .	Frequency is not specified in DOE O 430.1B, Chg 2.
DOE O 430.1B, Chg 2	Real Property Asset Management	4d(2)	<u>Maintenance and Recapitalization</u> - Condition assessments must be performed on all real property assets at least once during any 5-year period using inspection methods in accordance with industry standards. Some real property assets, such as those that are mission critical or safety related, may require a more frequent inspection cycle as determined by the LPSO/CSOs or the site/field manager. [See Attachment 5 to this Order and the DOE Condition Assessment Survey (CAS) (reference e) for amplifying information.]	Frequency is at least once during any 5-year period, as specified in DOE O 430.1B, Chg 2.
DOE O 430.1B, Chg 2	Real Property Asset Management	5h(9)(c) & 5(i)	<u>Site/Field Manager</u> - Monitors Order implementation through the establishment, by contract or financial assistance agreement, of a site-specific performance measurement system. (c) Performs assessments of contractor performance in accordance with the performance measurement system. (Note: paragraph 5(i) covers multiprogram sites.)	Frequency is not specified in DOE O 430.1B, Chg 2.
DOE O 433.1B	Maintenance Management Program for DOE Nuclear Facilities	4d, Attachment 2 (1g)	<u>Requirements</u> - Assessments of NMMP implementation must be conducted, at least every three years or less frequent if directed by the SO in accordance with DOE O 226.1A, <i>Implementation of Department of Energy Oversight Policy</i> , to evaluate whether all CRD requirements are appropriately implemented.	Frequency is at least every three years or less if directed by SO, as specified in DOE O 433.1B.
DOE O 433.1B	Maintenance Management Program for DOE Nuclear Facilities	4e	<u>Requirements</u> - Periodic self assessments in accordance with DOE O 226.1A must be conducted to evaluate the effectiveness of oversight of NMMPs.	Frequency is periodic, as specified in DOE O 433.1B.
DOE O 433.1B	Maintenance Management Program for DOE Nuclear Facilities	5d(7)	<u>Field Office Managers</u> - Conduct comprehensive self-assessments and assessments of contractor maintenance management programs as specified in paragraph 4 above and in accordance with DOE O 226.1A.	Frequency is periodic, as specified in DOE O 433.1B.

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DOE O 435.1, Chg 1	Radioactive Waste Management	4a	<u>DOE Elements</u> - DOE radioactive waste management activities shall be systematically planned, documented, executed, and evaluated.	Frequency is not specified in DOE O 435.1, Chg 1.
DOE M 435.1-1, Chg 2	Radioactive Waste Management Manual	Ch I, 2.F(4)(a)	<u>Field Element Managers</u> . Approval of Exemptions for Use of Non-DOE Facilities. DOE radioactive waste shall be treated, stored, and in the case of low-level waste, disposed of at the site where the waste is generated, if practical; or at another DOE facility. If DOE capabilities are not practical or cost effective, exemptions may be approved to allow use of non-DOE facilities for the storage, treatment, or disposal of DOE radioactive waste based on the following requirements: (a) Such non-DOE facilities shall: 1. Comply with applicable Federal, State, and local requirements; 2. Have the necessary permit(s), license(s), and approval(s) for the specific waste(s); and 3. Be determined by the Field Element Manager to be acceptable based on a review conducted annually by DOE.	Frequency is annual as specified in DOE M 435.1-1 Chg 2.
DOE M 435.1-1, Chg 2	Radioactive Waste Management Manual	Ch I, 2.F(10)	<u>Line Management - Oversight</u> : The responsibility and authority assigned to line management to assess the adequacy of DOE and contractor performance. Ensure oversight of radioactive waste management facilities, operations, and activities is conducted. Oversight shall ensure radioactive waste management program activities are conducted in accordance with a radioactive waste management basis and meet the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual.	Frequency is not specified in DOE M 435.1-1 Chg 2.
DOE M 435.1-1, Chg 2	Radioactive Waste Management Manual	Ch II, G High-Level Waste Requirements	<u>Audits and Assessments</u> - The evaluation and assessment requirements of RW-0333P, <i>Quality Assurance Requirements Document and Description</i> , and associated implementing procedures shall be met for high-level waste acceptance and product quality activities, in addition to the assessment requirements of other DOE directives and requirements identified in Chapter I of this Manual.	Frequency is not specified in DOE M 435.1-1 Chg 2.

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DOE O 440.1B 29 CFR 1960	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	4i(1), (2), (3), & (4)	<u>Requirements.</u> DOE Elements - Identify existing and potential workplace hazards and evaluate the risk of associated worker injury or illness. (1) Analyze or review: (a) Designs for new facilities and modifications to existing facilities and equipment; (b) Operations and procedures; and (c) Equipment, product, and service needs. (2) Perform routine job activity-level hazard analyses, if appropriate for the particular work environment or task. (3) Assess worker exposure to chemical, physical, biological, or ergonomic hazards through appropriate workplace monitoring (including personal, area, wipe, and bulk sampling), biological monitoring, and observation. Monitoring results must be recorded. Documentation must describe the tasks and locations where monitoring occurred, identify workers monitored or represented by the monitoring, and identify the sampling methods and durations, control measures in place during monitoring. (4) Evaluate workplaces and activities accomplished routinely by workers, supervisors, and managers and periodically by qualified worker protection professionals.	Frequency is not specified in DOE O 440.1B.
DOE O 440.1B 29 CFR 1960	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	5c(1) 1960.25c	<u>Operations Office Managers (and Heads of Field Elements, where applicable)</u> - Ensure that unannounced worker protection inspections of federal workplaces are conducted at least annually.	Frequency is annual, as specified in DOE O 440.1B & 29 CFR 1960.
DOE O 440.1B 29 CFR 1910, 1926, & 1960	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 1a(4)	<u>Construction Safety. Heads of Field Elements</u> - Review safety and health programs developed for site maintenance and operational activities to determine their applicability and cost effectiveness on construction projects.	Frequency is not specified in DOE O 440.1B.

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DOE O 440.1B	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 1b(6)	<u>Construction Safety. Construction Project Managers</u> - Through personal on-site involvement and/or formal delegation to support staff and/or the construction manager, perform frequent and regular documented on-site reviews of construction contractor safety and health program effectiveness.	Frequency is not specified in DOE O 440.1B.
DOE O 440.1B	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 3d	<u>Firearms Safety</u> - Conduct formal appraisals assessing implementation of procedures, personnel responsibilities, and duty assignments to ensure overall policy objectives.	Frequency is not specified in DOE O 440.1B.
DOE O 440.1B 29 CFR 1910, 1926, & 1960	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 5b(1), (6), & (7)	<u>Industrial Hygiene</u> - (1) Initial or baseline surveys of all work areas or operations to identify and evaluate potential worker health risks. (6) Periodic resurveys and/or exposure monitoring as appropriate. (7) Documented exposure assessment for chemical, physical and biological agents and ergonomic stressors using recognized exposure assessment methodologies and use of accredited industrial hygiene laboratories.	Frequency is not specified in DOE O 440.1B.
DOE O 440.1B 29 CFR 1910, 1926, & 1960	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 6b		Frequency is not specified in DOE O 440.1B.

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 440.1B	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 7c(2) & e	<u>Pressure Safety</u> - c(2) Qualified personnel shall be used to perform examinations and inspections of materials, in-process fabrications, nondestructive tests, and acceptance tests. e. All components in the pressure system, especially components of pressure relief devices and control valves, must be inspected, tested, and maintained as required by the above applicable standards. Inspections, testing, and maintenance may be done according to competently developed and peer-reviewed engineering and maintenance specifications, provided that they ensure safety equal to or superior to the intent of any applicable standard. This process must be documented.	Frequency is not specified in DOE O 440.1B.
DOE O 440.1B DOE O 414.1D DOE P 226.1B	Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees	Attachment 1, 5b(1), (6), & (7)	<u>Industrial Hygiene</u> - 5b(1) Initial or baseline surveys of all work areas or operations to identify and evaluate potential worker health risks. (6) Periodic resurveys and/or exposure monitoring as appropriate. (7) Documented exposure assessment for chemical, physical, and biological agents and ergonomic stressors using recognized exposure assessment methodologies and use of accredited industrial hygiene laboratories.	Frequency is baseline, then periodic, as specified in DOE O 440.1B.
DOE O 440.2C, Admin Change 1	Aviation Management and Safety	4e	<u>Federal Aviation Manager</u> - Reviews, evaluates, and monitors cost, performance, and technical competency of aviation contractors as authorized by the contracting officer or his designated representative.	Frequency is not specified in DOE O 440.2C, Admin Change 1.
DOE O 440.2C, Admin Change 1	Aviation Management and Safety	4l	<u>Federal Aviation Manager</u> - Has authority to perform assessments of CAS providers and/or aviation support services to ensure the safety of aircraft operations. Assessment reports of CAS operations will be forwarded to OAM for inclusion to, or removal from, the Accepted Operator List.	Frequency is not specified in DOE O 440.2C, Admin Change 1.
DOE O 440.2C, Admin Change 1	Aviation Management and Safety	5b	<u>Federal Aviation Safety Officer</u> - Conducts periodic assessments of aviation activities to ensure that requirements, policies, and procedures are implemented and followed and prepares reports documenting assessment findings, concerns, and recommendations and tracks corrective actions to help prevent similar occurrences.	Frequency is periodic, as specified in DOE O 440.2C, Admin Change 1.
DOE O 440.2C, Admin Change 1	Aviation Management and Safety	5c	<u>Federal Aviation Safety Officer</u> - Participates as directed in aviation accident and incident investigations and provides assistance to accident investigation boards during their investigation.	Frequency is not specified in DOE O 440.2C, Admin Change 1.
DOE O 442.1A	Department of Energy Employee Concerns Program	4f	<u>Management Assessment</u> - The Employee Concerns Program (ECP) manager must assess, at least annually, the effectiveness of the ECP and processes used to implement this Order.	Frequency is annual, as specified in DOE O 442.1A.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 442.1A	Department of Energy Employee Concerns Program	5c(10)	<u>Employee Concerns Program Managers</u> - Use self-assessment or outside review to conduct management assessments of their ECPs. Assess the results with the Headquarters or field element manager, and take any necessary actions to improve program operations.	Frequency is not specified in DOE O 442.1A.
DOE O 436.1	Departmental Sustainability	5e(2)	<u>Field Managers</u> - Ensure that EMSs covering all site activities are certified to or conform with the International Organization for Standardization's (ISO) 14001:2004 (E) in accordance with the accredited registrar provisions of the International Standard or the self-declaration instructions found in References 7.o and 7.p, respectively, are maintained at sites under their purview.	Frequency is not specified in DOE O 436.1; however, the instructions for Executive Order 13423 specifies an audit every three years.
DOE O 450.2	Integrated Safety Management	4f	<u>DOE Line Managers</u> - Ensure that appropriate requirements are incorporated into contracts, oversee compliance, assess contractor performance against established performance measures, analyze relevant trends, and obtain relevant operational information for use as feedback to improve safety.	Frequency is not specified in DOE O 450.2.
DOE O 450.2	Integrated Safety Management	5b(2)	<u>Secretarial Officers</u> - Monitor the status of Field Element and Field Element contractors' ISM systems; monitor Field Elements' establishment and implementation of safety goals and objectives.	Frequency is not specified in DOE O 450.2.
DOE O 450.2	Integrated Safety Management	5c(2)	<u>Heads of DOE Field Elements</u> - Monitor the status of their contractors' facilities and activities and provide feedback to their contractors to support continuous improvement.	Frequency is not specified in DOE O 450.2.
DOE O 450.2 Appendix A	Nuclear Facility Safety Delegation Requirements	2, 2b(8)	<u>Delegator</u> - Self-assessment of this delegation process must comply with the process criteria and attributes specified below. Periodic reviews must be documented with the same criteria and rigor as the original delegation.	Frequency is periodic as specified in DOE O 450.2.
DOE O 450.2 Appendix A	Nuclear Facility Safety Delegation Requirements	2c, 2c(1)	<u>Secretarial Officer</u> - With safety responsibilities related to nuclear facilities must periodically review (at intervals no greater than 2 years) assigned safety responsibilities and delegated safety authorities and verify that the necessary capability and capacity to perform the responsibilities and authorities still exist. A documented comprehensive self-assessment must be performed periodically (at intervals no greater than 2 years) based on the criteria presented in this Appendix.	Frequency is periodic but not to exceed 2 years as specified in DOE O 450.2.

DOE Assessment Drivers

(NOTE: Includes Environment, Safety, and Health; Security; and Emergency Management Drivers)

Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
SCMS ES&H: Subject Area: Managing the Integrated Safety Management System	Procedure 3, Rev. 1.6 Developing, Approving, and Maintaining the Field Office Integrated Safety Management System Description	Step 3	<u>Field Office</u> - Annually, the Field Office reviews the completeness and accuracy of the ISMS Description and makes revisions, as needed.	Frequency is annual, as specified in the SCMS procedure.
DOE P 450.4A	Integrated Safety Management Policy	Page 2	<u>Policy</u> - The Department will meet this responsibility 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.	Frequency is not specified in DOE P 450.4A.
DOE O 460.1C	Packaging and Transportation Safety	5c(12)	Conduct oversight of hazardous materials packaging and transportation activities, including contractor/subcontractor procurement, use and maintenance of IP, Type A and Type B packagings of radioactive and fissile material for compliance with appropriate regulatory requirements and DOE Orders pursuant to DOE O 226.1A.	Frequency is periodic as specified in DOE O 226.1A.
DOE O 460.2A	Departmental Materials Transportation and Packaging Management	4f(1) and (2), 5f(8)	<u>Compliance Evaluations.</u> (1) DOE organizations evaluate contractor/subcontractor transportation and packaging operations at each facility at least every 3 years. (2) Evaluations may be conducted using existing site/facility processes (e.g., facility representatives program reviews, operational readiness reviews, contractor self-assessments, and other safety reviews) or an established transportation and compliance review program. Copies of evaluation reports must be provided to the lead program Secretarial Offices within 45 days of the evaluation. DOE organizations evaluate contractor/subcontractor transportation and packaging operations at each facility at least every 3 years. 5f(8) <u>DOE/NNSA Field, Service Center, Site, Regional Office, and Facility Managers</u> - Conduct contractor/subcontractor evaluations of compliance with transportation and packaging requirements at least every 3 years.	Frequency is triennial, as specified in DOE O 460.2A.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 461.1B	Packaging and Transportation for Offsite Shipment of Materials of National Security Interest	4h	<u>Field Organization Managers</u> - Ensure that the Quality Assurance Plans comply with the applicable DOE orders and follow the regulations identified below:	Frequency is not specified in DOE O 461.1B.
DOE O 461.1B	Packaging and Transportation for Offsite Shipment of Materials of National Security Interest	5k(3), 5k(5), 5k(6)	<u>Field Organization Managers</u> - (3) Provide support, as requested, to external organizations conducting oversight at DOE field organizations, and contractor sites/facilities. (5) Conduct oversight of packaging and transportation safety programs under their cognizance in accordance with DOE O 226.1A. (6) Ensure that oversight is performed and documented.	Frequency is not specified in DOE O 461.1B.
DOE O 470.4B	Safeguards and Security Program	Appendix A, Section 1, Chapter III, 1	<u>General</u> - Performance assurance program must establish monitoring and testing activities with sufficient rigor to ensure that the program elements are at all times operational, functioning as intended, and interacting in such a way as to identify and preclude the occurrence of adverse activity before security is irreversibly compromised. Evaluate operational continuity of all S&S essential elements. Performance assurance programs must be evaluated as part of the DOE survey and the facility self-assessment programs as described in Section G of this Manual.	Frequency is not specified in DOE O 470.4B.
DOE O 470.4B	Safeguards and Security Program	Appendix A, Section 2, 2	<u>General</u> - Surveys, self-assessments, and review programs are conducted to ensure that S&S systems and processes at facilities/sites are operating in compliance with Departmental and national-level policies, requirements, and standards for the protection of security assets and interests.	Frequency is not specified in DOE O 470.4B.
DOE O 473.3	Protection Program Operations	5a(1)	<u>DOE Line Management</u> - Provide guidance and oversight to site and facility management and operations offices that oversee the physical security, DOE PF, PF firearms programs for the purposes of protecting S&S interests.	Frequency is not specified in DOE O 473.3.
DOE O 473.3	Protection Program Operations	Appendix A, Section G, para 1a	<u>Appraisals/Self-Assessments</u> - These types of security oversight practices can be used to support the oversight responsibilities of DOE O 226.1A, <i>Implementation of Department of Energy Oversight Policy</i> . (a) Formal appraisals or self-assessments of the safety and health aspects of the safeguards and security (S&S) program must include firearms safety and must be performed by line management annually (at least every 12 months).	Frequency is annual, as specified in DOE O 473.3.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 473.3	Protection Program Operations	Appendix A, Section G, para 1b	<u>Appraisals/Self-Assessments</u> - (b) Department of Energy (DOE) line management must conduct and document formal self-assessments, which include annual program reviews and appraisals of selected worksites.	Frequency is annual, as specified in DOE O 473.3.
DOE O 473.3	Protection Program Operations	Appendix A, Section G, para 1c	<u>Appraisals/Self-Assessments</u> - (c) Firearms safety assessments must be conducted by safety personnel or by a joint safety and FPF evaluation team.	Frequency is not specified in DOE O 473.3.
DOE O 471.6	Information Security	4f(3)	<u>Operations Security</u> - OPSEC assessments must be conducted at a frequency not to exceed 36 months at facilities that possess Category I special nuclear material (SNM) (or credible roll-up to a Category I quantity), Top Secret or SAP information within their boundaries.	Frequency is not to exceed 36 months as specified in DOE O 471.6.
SCMS Safeguards, Security, and Emergency Management: Subject Area: Facility Operations	Procedure 3, Rev. 2.0, Managing An Operations Security (OPSEC) Plan	Step 15	<u>OPSEC Manager or Designee</u> - Annually selects site-specific Indicators of the OPSEC Plan to review at the SC ISC or facility.	Frequency is annual as specified in the SCMS procedure.
DOE O 474.2	Nuclear Material Control and Accountability	4a(2)	<u>DOE Line Management</u> - Line management must assure and assess the performance of DOE MC&A programs in providing accurate nuclear material inventory information; controlling nuclear materials to deter and detect loss or misuse; providing timely and localized detection of unauthorized removals within specified limits; providing assurance that all nuclear materials are accounted for and that theft/diversion has not occurred; and assisting in the detection and deterrence of radiological and/or toxicological sabotage involving nuclear materials that could adversely impact national security, the health and safety of employees, the public, or the environment. Programs must assess performance using the metrics identified in Attachment 3 unless alternative metrics have been documented in program or site office procedures and in the MC&A Plan.	Frequency is not specified in DOE O 474.2.
DOE O 474.2	Nuclear Material Control and Accountability	4a(3)	<u>DOE Oversight Personnel</u> - Oversight personnel must review and verify the validity of operator reports of nuclear material storage, processing, and use to the national system of accounting (NMMSS), and must ensure the effective regulatory control of nuclear materials as required by Public Law 83-703, the Atomic Energy Act of 1954, as amended.	Frequency is not specified in DOE O 474.2.

DOE Assessment Drivers

(NOTE: Includes Environment, Safety, and Health; Security; and Emergency Management Drivers)

Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE 474.2	Nuclear Material Control and Accountability	4e	<u>DOE Line Management</u> - Line management must conduct periodic reviews and assessments of the nuclear material holdings at NRC licensees' sites to ensure that NMMSS reporting requirements are being met, unneeded materials are identified and returned to DOE, appropriate disposition paths are identified, and accurate material characterizations are made, thereby enhancing data quality and assurance.	Frequency is periodic as specified in DOE O 474.2.
DOE O 474.2	Nuclear Material Control and Accountability	5a(4), 5a(11)	<u>Secretarial Program Office</u> - (4) Ensure that MC&A programs are operating within the limits of approved MC&A plans and establish programs for periodic assessment of program effectiveness, using the program metrics in Attachment 3 or documented alternative metrics. (11) Ensure that MC&A programs exhibit the characteristics required in paragraph 4 above, by using the program metrics in Attachment 3 or by documenting alternative metrics in the MC&A Plan to evaluate the MC&A program.	Frequency is periodic as specified in DOE O 474.2.
DOE O 474.2	Nuclear Material Control and Accountability	5b(1)	<u>Site Office</u> - Confirm site compliance with the approved plans and periodically assess the effectiveness of the operators' program against the metrics in Attachment 3 or documented alternative metrics.	Frequency is periodic as specified in DOE O 474.2.
SCMS Safeguards, Security, and Emergency Management: Subject Area: Facility Operations	Procedure 4, Rev. 2.1, Reviewing and Approving Shipping/Receiver Agreements	Step 8	<u>NMC&A Subject Matter Expert</u> - Periodically, reviews the status of the S/R Agreement to ensure continued compliance with the agreed conditions, as needed.	Frequency is periodic as specified in the SCMS procedure.
SCMS Safeguards, Security, and Emergency Management: Subject Area: Facility Operations	Procedure 8, Rev. 2.0 Identifying and Facilitating Classification Documentation	Step 9	<u>Classification Officer</u> - Conducts Oversight (appraisals of contractors and self-assessments) in accordance with DOE O 475.2, <i>Identifying Classified Information</i> , and submits the Oversight information to the Director, Office of Classification. NOTE: Oversight is completed every 2 years.	Frequency is biennial as specified in the SCMS procedure.
DOE O 475.2A	Identifying Classified Information	5f(11)	<u>Heads of Headquarters Elements and Managers of Field Elements</u> - Ensure that self-assessments are conducted and that self-assessment reports are submitted to the Director, Office of Classification, through the Associate Administrator for Defense Nuclear Security for Defense Nuclear Security for NNSA elements, in accordance with Attachment 5, <i>Classification Program Evaluation</i> .	Frequency is every 2 years as specified in DOE O 475.2A, Attachment 5.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 475.2A	Identifying Classified Information	5g	<u>Program Classification Officer</u> - Ensures the satisfactory performance of field classification programs under the cognizance of the Headquarters element through self-assessments and by maintaining operational awareness of the classification issues in his or her program in accordance with Attachment 5, <i>Classification Program Evaluation</i> .	Frequency is every 2 years as specified in DOE O 475.2A, Attachment 5.
DOE O 475.2A	Identifying Classified Information	5h	<u>Field Element Classification Officer</u> - Ensures the satisfactory performance of field classification programs through self-assessments and by maintaining operational awareness of the classification issues at his or her site in accordance with Attachment 5, <i>Classification Program Evaluation</i> .	Frequency is every 2 years as specified in DOE O 475.2A, Attachment 5.
DOE O 475.2A	Identifying Classified Information	5i(2)	<u>Headquarters Classification Representative</u> - Ensures the satisfactory performance of the Headquarters element classification program through self-assessments and by maintaining operational awareness of the classification issues in his or her Headquarters element in accordance with Attachment 5, <i>Classification Program Evaluation</i> .	Frequency is every 2 years as specified in DOE O 475.2A, Attachment 5.
DOE O 481.1C, Admin Change 1	Work for Others (Non-Department of Energy Funded Work)	5.k(4)(b)	<u>Cognizant Secretarial Officers</u> - Review the WFO Program annually to ensure consistency with WFO policies and procedures.	Frequency is annual, as specified in DOE O 481.1C, Admin Change 1.
DOE O 481.1C, Admin Change 1	Work for Others (Non-Department of Energy Funded Work)	5.l(3)	<u>Heads of DOE Field Elements</u> - Conduct periodic review of contractor policies and procedures for negotiating and administering WFO projects.	Frequency is periodic, as specified in DOE O 481.1C, Admin Change 1.
DOE O 483.1	DOE Cooperative Research and Development Agreements	5h(4)	<u>Heads of Field Elements</u> - In coordination with the CSO and PSOs, conduct reviews and appraisals of CRADA activities at facilities under their cognizance.	Frequency is not specified in DOE O 483.1.
DOE O 422.1	Conduct of Operations	5c(2)	<u>Heads of Field Elements</u> - Provide direction and oversight for the development and implementation of conduct of operations applicability matrices, manuals, plans, procedures, and programs consistent with the provisions of this Order. Perform oversight of the contractor's conduct of operations performance.	Frequency is not specified in DOE O 422.1.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
DOE O 426.2	Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities	5c(2)	<u>Heads of Field Elements</u> - Perform periodic systematic evaluations of contractor training and qualification programs using DOE-STD-1070-94 and provide oversight of training program activities.	Frequency is periodic, as specified in DOE O 426.2.
DOE O 426.2	Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities	5c(7)	<u>Heads of Field Elements</u> - Review the certification and recertification of shift supervisors, senior reactor operators, reactor operators, and fissionable material handlers at Category A reactors. Review the certification and recertification of these positions at other nuclear facilities that are determined by the field element manager, based on facility hazards and operational complexity. The review must include....	Frequency is periodic, as specified in DOE O 426.2.
DOE-STD-1063-2011, Change 1	Facility Representatives	Sections 4.2.3a	<u>Cognizant Secretarial Officers</u> - Review overall effectiveness of FR programs at assigned field elements, including performance indicator information and accomplishment of program self-assessments and associated corrective actions.	Frequency is not specified in DOE-STD-1063-2011, Change 1.
DOE-STD-1063-2011, Change 1	Facility Representatives	Sections 4.2.4e, 5.7, and 5.7.2	<u>Field Element Managers</u> - Periodically evaluate the effectiveness of the field element's Facility Representative program and pursue changes to improve overall performance and effectiveness, using Appendix A, "Facility Representative Performance Indicators," and Appendix B, "Facilit Representative Program Assessment Guide." <u>Field Element Self-Assessments</u> - Field Element Managers shall ensure that their Facility Representative Programs are evaluated periodically (not to exceed three years) relative to the requirements in Sections 4 and 5 of this standard. Field Element Managers should use evaluators who have adequate knowledge and experience to conduct meaningful reviews and provide the results of these self-assessments to the responsible Program Office at DOE-Headquarters, with a copy to the DOE Facility Representative Program Manager. Guidance for the performance of these assessments is provided in Appendix B.	Frequency is triennial, as specified in DOE-STD-1063-2011, Change 1.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
OMB Circular A-123, Appendix A	Management's Responsibility for Internal Control	Section V, Management's Assurance Statement on Internal Control over Financial Reporting	<u>Management's Assurance Statement on Internal Control Over Financial Reporting</u> - An agency's management is required to include an assurance statement on the internal controls over financial reporting in its annual Performance and Accountability Report as described in Section VI. <u>Reporting on Internal Control</u> - This assurance statement is required to include the following: An assessment of the effectiveness of the agency's internal control over financial reporting as of June 30, including explicit conclusion as to whether the internal controls over financial reporting are effective.	Frequency is annual, as specified in OMB Circular A-123, Appendix A.
10 CFR 835	Occupational Radiation Protection	Part 835.201	Internal audits of the contractor's radiation protection program, including examination of program content and implementation, shall be conducted through a process that ensures that all functional elements are reviewed no less frequently than every 36 months. (Applicable to GOGO)	Frequency is not less than every 36 months, as specified in 10 CFR 835.
10 CFR 850	Chronic Beryllium Disease Prevention Program	Part 850.40(a)	The responsible employer must conduct periodic analyses and assessments of monitoring activities, hazards, medical surveillance, exposure reduction and minimization, and occurrence reporting data.	Frequency is periodic, as specified in 10 CFR 850.
OSHA 29 CFR 1910.1001(d)(3)	Asbestos	1910.1001(d)(3)	<u>Asbestos</u> - Monitoring frequency (periodic monitoring) and patterns. In no case shall sampling be at intervals greater than six months for employees whose exposures may reasonably be foreseen to exceed the TWA permissible exposure limit and/or excursion limit.	Frequency is periodic but not greater than every 6 months, as specified in 29 CFR 1910.
OSHA 29 CFR 1910.147 (c)(6)(i)	The control of hazardous energy (lockout/tagout)	1910.147(c)(6)(i)	<u>Employer</u> - The employer shall conduct a periodic inspection of the energy control procedure at least annually to ensure that the procedure and the requirements of this standard are being followed.	Frequency is annual, as specified in 29 CFR 1910.
OSHA 29 CFR 1960.79(a) &(b)	Self-evaluations of occupational safety and health programs	1960.79(a) & (b)	<u>Agency Heads</u> - shall develop and implement a program of self-evaluations to determine the effectiveness of their occupational safety and health programs. The self-evaluations are to include quality assessments of the extent to which their agency safety and health programs are: The employer shall conduct a periodic inspection of the energy control procedure at least annually to ensure that the procedure and the requirements of this standard are being followed. (a) Developed in accordance with the requirements set forth in Executive Order 12196 and this part and, (b) Implemented effectively in all agency field activities.	Frequency is annual, as specified in 29 CFR 1960.

DOE Assessment Drivers

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Driver(s)	Title	Paragraph Reference No.	Requirement Statement	Frequency & Comments
FAR 42.15 and DOE Acquisition Guide Chapter 42.15	Contractor Performance Information	FAR 42.1502 and DOE AG Chapter 42.15, Section II, Paragraph B	Past performance evaluations shall be prepared as specified in FAR 42.1502 and DOE Acquisition Guide Chapter 42.15. Interim evaluations shall be prepared as specified by the agencies to provide current information for source selection purposes, for contracts or orders with a period of performance, including options, exceeding one year. A past performance evaluation report provides a record of a contractor's performance, both positive and negative. Each evaluation should use supportable program and contract management data and should be based on objective, to the maximum extent practicable, or subjective data, when objective data is not available. The content of the evaluations should be tailored to the size, content, and complexity of the contractual requirements.	Annually
DOE Acquisition Guide Chapter 1.2, Balanced Scorecard (BSC) Performance Assessment Program	Federal Procurement Balanced Scorecard	Part 4, paragraphs 1 and 2	The BSC is a conceptual framework for translating an organization's vision into a set of performance indicators distributed among four perspectives: Financial, Customer, Internal Business Processes, and Learning and Growth. Indicators are maintained to measure the long term drivers of success. Through the BSC, an organization monitors both its current performance (finances, customer satisfaction, and business process results) and its efforts to improve processes, motivate and educate employees, and enhance information systems.	Annually
	Enforcement Coordinator Handbook, dated August 2012	Section II, DOE Enforcement Coordinator Roles and Responsibilities	DOE Enforcement Coordinator - The affected line organization's Enforcement Coordinator conducts oversight of the contractor's enforcement program implementation (ensures contractor is properly identifying, screening, trending, reporting, correcting, and closing noncompliances). Coordinating a periodic review of noncompliances tracked locally by the contractor.	Frequency is periodic.