

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 5482.1B

9-23-86

SUBJECT: ENVIRONMENT, SAFETY, AND HEALTH APPRAISAL PROGRAM

1. PURPOSE. To establish the Environment, Safety, and Health (ES&H) Appraisal Program for the Department of Energy (DOE).
2. CANCELLATION. DOE 5482.1A, ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION APPRAISAL PROGRAM, of 8-13-81.
3. SCOPE. The provisions of this Order apply to all Departmental Elements and contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officer.
4. EXCLUSIONS. This Order does not apply to:
 - a. The existing nuclear weapons safety program administered by the Assistant Secretary for Defense Programs (DP-1); and
 - b. Appraisals conducted or required as part of the Federal employee occupational safety and health program as described in DOE 3790.1A.
5. REFERENCES.
 - a. DOE 1324.2, RECORDS DISPOSITION, of 5-28-80, which contains procedures for the retention of records and documents.
 - b. DOE 3790.1A, FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAM, of 10-22-84, which sets forth policy for the implementation and administration of the program.
 - c. DOE 5480.1B, ENVIRONMENT, SAFETY, AND HEALTH PROGRAM FOR DOE OPERATIONS, of 9-23-86, which sets forth responsibilities and requirements for the program.
 - d. DOE 5480.5, SAFETY OF NUCLEAR FACILITIES, of 9-23-86, which establishes the Department's nonreactor nuclear facility safety requirements.
 - e. DOE 5400.6, SAFETY OF DEPARTMENT OF ENERGY-OWNED NUCLEAR REACTORS, of 9-23-86, which establishes the Department's reactor safety program.
 - f. DOE 5700.6B, QUALITY ASSURANCE, of 9-23-86, which describes DOE's quality assurance program.

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Environment, Safety, and Health

- g. Executive Order 12196, "Occupational Safety and Health Program for Federal Employees," which establishes the requirement for Federal agencies to provide occupational safety and health programs for their employees.
- h. Title 29 CFR 1960, "Safety and Health Provisions for Federal Employees," which provides the regulations and guidelines for the implementation of Executive Order 12196.
- i. Title 48 CFR 970.23 and Title 48 CFR 923.70, Department of Energy Acquisition Regulation, which together provide the clauses to be used in contracts where DOE is either required to, or elects to, enforce ES&R requirements.

6. DEFINITIONS.

- a. Criteria are rules or tests against which the quality of performance measured. They are most effective when expressed quantitatively. Fundamental criteria are contained in policies and objectives, as well as codes, standards, regulations, and recognized professional practices that DOE and DOE contractors are required to observe.
- b. DOE Contractor includes any prime contractor or subcontractor subject to the contractual provisions of 48 CFR 923.70, 48 CFR 970.23, or other contractual provisions where DOE has elected to enforce ES&H requirements by specific negotiated contract provisions.
- c. Environment, Safety, and Health (ES&H) Program encompasses those DOE requirements, activities, and functions in the conduct of all DOE and DOE-controlled operations that are concerned with: controlling air, water, and soil pollution; limiting the risks to the well being of both operating personnel and the general public to acceptable low levels; and protecting property adequately against accidental loss and damage. Typical activities and functions related to this program include, but are not limited to, the following: environmental protection, occupational safety, fire protection, industrial hygiene, health physics, occupational medicine, process and facilities safety, nuclear safety, emergency preparedness, quality assurance, and radioactive and hazardous waste management.
- d. Environmental Survey is a documented, multidiscipline assessment (with sampling and analysis) of a facility to determine environmental conditions and to identify environmental problem areas of environmental risk requiring corrective action.

- e. Environmental Audit is a documented assessment of a facility to monitor the progress of necessary corrective actions, to assure compliance with environmental laws and regulations, and to evaluate field organization practices and procedures.
- f. Federal Employee Occupational Safety and Health Program is that program mandated by Executive Order 12196 and implemented by 29 CFR 1960 and DOE 3790.1A.
- g. Finding is a statement of fact Concerning a condition in the ES&H program that was investigated during an appraisal. It maybe a simple statement of proficiency, or a description of a deficiency (i.e., a variance from procedures or criteria). Both severity and potential consequences should be addressed in describing a deficient condition.
- h. Functional Appraisal is a documented review of an ES&H specialty discipline performed in accordance with written guidance and criteria to verify, by examination and evaluation of objective evidence at the facility and/or operation, that applicable elements of the program have been developed, documented, and effectively implemented in accordance with specific EMH requirements and needs.
- i. Internal Appraisal is an examination and evaluation by the operating level (Either Federal or contractor) of those portions of its internal ES&H program, program plan implementation, and operations retained under its direct control.
- j. Line Organization is that unbroken chain of command which extends from the Secretary through the Under Secretary, to the Program Senior Officials (PSO) who set program policy and Plans and develop assigned programs, to the field organization managers who are responsible to the PSO for execution of these program, and to the contractor who conduct the programs. Environment, safety, and health are integral parts of each program. Accordingly, line management responsibility for ES&H functions flows from the secretary through the Under Secretary, to the PSO, to the field organization managers, to the contractors.
- k. Management Appraisal is a documented determination of managerial effectiveness in establishing and Implementing ES&H program plans which conform to DOE policy requirements. It is based on an analysis of functional appraisals, internal appraisals, and other information, and on the application of appropriate criteria. The appraisal is a review and evaluation of management performance covering all ES&H disciplines and management responsibilities to assure proper program balance.

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- l. Operating Level is the organization performing the actual work or job related tasks. It may be a contractor performing work for DOE or it may be a particular DOE element, such as an energy technology center or a power administration.
 - m. Program Senior Official (PSO) is a senior outlay program manager, and includes the Assistant Secretaries for Conservation and Renewable Energy; Fossil Energy; Nuclear Energy; Defense Programs; and the Directors of Energy Research and Civilian Radioactive Waste Management. for purposes of this Order, this definition includes the Administrators of the Bonneville and Western Area Power Administrations.
 - n. Second Line Organization Level is the DOE element that is contractually or organizationally responsible for the work or job tasks being performed by an operating level. It may be an operations Office, or an Assistant Secretary directly responsible for an energy technology center or a power administration.
 - o. Technical Safety Appraisal is a documented, multidiscipline appraisal of selected Department reactors and nuclear facilities conducted by a team selected by the Deputy Assistant Secretary for Safety, Health, and Quality Assurance (EH-30). They assure proper Departmentwide application of particular safety elements of the ES&H program, nuclear industry lessons learned, and appropriate licensed facility requirements as described in paragraph 9b.
7. POLICY.
- a. It is Departmental policy to:
 - (1) Assure the protection of the environment and the health and safety of the public.
 - (2) Provide safe and healthful workplaces and conditions of employment for all employees of DOE and DOE contractors.
 - (3) protect Government property against accidental loss and damage.
 - (4) Assure compliance with applicable statutory requirements affecting Federal facilities and operations and where possible, Consistent with the Department's mission and supported by an appropriate cost/benefit analysis, reduce identified environment, safety, and health risks, even though not mandated by specific requirements.
 - (5) Assure that quality assurance is pursued (i.e. that research, development, demonstration, and production activities are

performed in a controlled manner; that components, systems, and processes are designed, developed, constructed, tested, operated, and maintained according to industry accepted engineering standards, quality practices, and Technical Specifications/Operational Safety Requirements; and that resulting technology data are valid and retrievable).

(5) Require line management to be responsible for effective Environment, Safety, and Health (ES&H) performance in their program. Through overview, the Assistant Secretary for Environment, Safety, and Health (EH-1) is responsible to assure acceptable ES&H performance for the Secretary and for Program Senior Officials.

b. These assurances are provided, in part, by the ES&H appraisal program consisting of internal appraisals by the operating level, functional and management appraisals by a second line organizational level, and independent reviews and appraisals by EH-1.

c. The objectives of the ES&H appraisal program are to:

(1) Determine that ES&H Policies and requirements are appropriately interpreted and implemented by DOE and DOE contractor programs and organizations.

(2) Evaluate the effectiveness of ES&H policies, requirements, and standards and their implementation.

(3) Provide Management with objective, timely, and reliable information on ES&H performance, including significant achievements and deficiencies.

(4) Provide management with recommendations, where appropriate, for improvement of ES&H program performance.

(5) Determine the adequacy of DOE requirements for achieving DOE policy and federal statutory ES&H requirements.

8. RESPONSIBILITIES AND AUTHORITIES.

a. Program Senior Officials (PSO).

(1) Assure the responsibilities assigned to Heads of Field Organizations (paragraph 8e) for DOE contractor activities that are not assigned to a field organization for implementation.

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- (2) Perform reviews to confirm effective implementation of DOE ES&H requirements by program and field organizations. In the execution of this responsibility, maximum use should be made of the appraisals and other reviews performed by EH, including assuring recommendations made by EH are addressed in a responsive and timely manner.
 - (3) Participate in selected field organization appraisals, as appropriate, of contractor facilities/operations. All participants shall be full active members of the appraisal team and participation shall be scheduled for the year subsequent to the annual submittal by the field organization of its proposed appraisal Schedule.
- b. Assistant Secretary for Environment, Safety, and Health (EH-1).
- (1) Conducts management appraisals, in accordance with the implementation procedures, of line Organization ES&H programs to provide management with timely and reliable information, as appropriate.
 - (2) Conducts ES&H functional appraisals, in accordance with implementation procedures (paragraph 9), of field activities with sufficient frequency to provide meaningful input to the management appraisals. These appraisals will include evaluations of contractor facilities, operations, and performance to gain confirmatory data regarding the effectiveness of the field organization programs.
 - (3) Conducts reviews of facilities and operations, including technical safety appraisals of Department reactors and nuclear facilities, environmental surveys, and environmental audits. The planning and conduct of these reviews will be Coordinated with the appropriate field organizations and Headquarters program offices to minimize duplication of efforts. Appropriate field organizations and Headquarters program offices will be requested to participate.
 - (4) Participates in selected field organization appraisals of contractor facilities/operations. All participation shall be as full active members and participation shall be scheduled for the year subsequent to the annual submittal by the field organization of its proposed appraisal schedule.
 - (5) Provides advice and interpretation regarding the policy, responsibilities, requirements, and Procedures contained in this Order.

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- (6) Provides technical assistance and support to the line organizations.
 - (7) May augment appraisal teams with experts from other DOE ' organizations or the private sector.
 - (8) Establishes policy and develops guidance for the overview program.
 - (9) In accordance with paragraph 8c below, the Deputy Assistant Secretary for Naval Reactors is responsible for conducting appraisals and the independent overview in such areas as reactor safety, criticality control, radiation protection and radiological environmental monitoring and protection in the Naval Reactors program. These areas are hereby specifically excluded from EH-1 responsibility and authority as assigned in this Order.
- c. Deputy Assistant Secretary for Naval Reactors (NE-S0).
- (1) Conducts appraisals required by paragraph 8b(1) and for conducting an independent overview in such areas as reactor safety, criticality control, radiation protection, and radiological environmental monitoring and protection as required by paragraphs 8b(2) through (4) with respect to facilities of the Pittsburgh and Schenectady Naval Reactors Offices, without forwarding documentation to EH-1 or requiring participation by appraisal team members drawn from personnel outside the program directed by the Deputy Assistant Secretary for Naval Reactors.
 - (2) Assumes, for purposes of this Order, the same responsibilities assigned Heads of Field Organizations in paragraph 8e below.
 - (3) Has the responsibilities and authorities of a program Secretarial Officer for activities under his or her cognizance.
- d. Assistant Secretary, Management and Administration (MA-1), assumes the responsibilities for headquarters operations that are assigned to Heads of Field Organizations.
- e. Heads of Field Organizations.
- (1) Conduct management appraisals, in accordance with the implementation procedures (paragraph 9), of ES&H programs of subordinate field activities (operated either by Federal employees or by contractor employees) at least once every 3 years. Reviews to establish contractor award fees are adjuncts, not a substitute for, management appraisals.

- (2) Conduct functional appraisals, in accordance with the implementation procedures (paragraph 9), of DOE and contractor activities with sufficient scope and frequency to ensure effectiveness of the ES&H activities. Reviews to establish contractor award fees are adjuncts to, not a substitute for, functional appraisals.
 - (3) Provide copies of all appraisal reports to the cognizant PSO and EM-1 when they are sent to the contractor.
 - (4) May enter into agreement with other DOE field organizations to conduct appraisals where each office agrees it is in the best interest of DOE.
 - (5) May request EH-1 support and assistance when special expertise is needed.
 - (6) Assure that internal appraisals are performed by the operating level.
 - (7) Prepare an annual schedule showing the functional and management appraisals planned for the following fiscal year and provide a copy to the cognizant PSO and EH-1 not later than 8-1 of each year.
 - (8) Submit to the cognizant PSO and EH-1, not later than 11-1 of each year for the preceding fiscal year, a list of all contractors under their jurisdiction (paragraph 6b) and the dates on which ES&H functional and management appraisals of these contractors were made.
 - (9) Assure that DOE contractors, to whom this Order is made applicable, implement the requirements in paragraph 9d.
 - (10) Implements all requirements of paragraph 9, which are applicable to the field organization.
- f. Operating Levels conduct internal appraisals, in accordance with the implementation procedures (paragraph 9), of their ES&H activities.
9. IMPLEMENTATION PROCEDURES. The quality, frequency, and depth of appraisals shall be commensurate with the hazard attendant with the respective operating activities; consistent with both the DOE policy of comparability and equivalence with similar regulatory programs; and consistent with DOE policy of protection of personnel, property, and the environment. Reviews and appraisals of DOE facilities and line organizations will be conducted, as appropriate, by the line organizations as part of line management's ES&H responsibility. EH-1 will conduct periodic overview appraisals, audits, and surveys, to confirm the adequacy of line management's reviews and appraisals.

a. Management Appraisals.

- (1) Management appraisals shall be a formal activity conducted, usually, by a team of senior staff. Management representatives of the appraising organization should be present during opening and closing appraisal meetings with the head and senior staff of the organization being appraised.
- (2) The appraisal process will include the use of guidance, criteria, and performance measures to assure appropriate depth and continuity of appraisals. Objective evidence shall be examined for implementation and compliance with ES&H program requirements. Functional appraisals of ES&H activities shall be a source of input. Positive findings shall be emphasized as well as program deficiencies.
- (3) A meeting shall be held with the management of the appraised organization at the conclusion of the appraisal to present findings and recommendations.
- (4) A report shall be prepared at the completion of each appraisal and transmitted within 45 days of the appraisal visit to the head of the appraised organization, with copies to other appropriate organizations. Findings will be identified in sufficient detail to insure understanding and that appropriate corrective action, if needed, can be effectively carried out.
- (5) The appraised organization shall respond to appraisal reports within 30 days of receipt and indicate what corrective action will be taken.
- (6) Status reports should be provided on a quarterly basis to inform the appraising organization of the status of the corrective actions unless requested more frequently by the appraising organization.
- (7) Followup visits by a management representative may be required for the purpose of discussing the adequacy of corrective action and whether additional actions are necessary. These discussions shall be confirmed in writing and, where no additional action is necessary, shall constitute formal closeout of the appraisal.

b. Technical Safety Appraisals.

- (1) Technical safety appraisals shall be conducted by a team of qualified specialists and led by a member of EH-1 management. These technical safety appraisals will be conducted on selected Department reactors and nuclear facilities. After fulfillment of this requirement, the Secretary will determine if additional appraisals should be performed.

- (2) The appraisal Process will include the use of written guidance and criteria to assure relevance, depth, and continuity of appraisals. The majority of the appraisal activity will take place at the facility being appraised. Objective evidence will be examined and evaluated for compliance with ES&H requirements. ES&H program activities at the selected reactor or nuclear facility shall be appraised to the depth necessary to determine whether or not they are being implemented effectively. Additionally, the technical appraisal of the facility/operation will utilize nuclear Industry lessons learned, and comparability to licensed facility requirements, as appropriate.
- (3) Meetings shall be held with field and contractor management at the conclusion of the appraisal to present findings.
- (4) A report will be prepared within 45 days of the conclusion of the appraisal and transmitted by EH-1 to the Head of the Field Organization with copies to the appropriate PSO.
- (5) The Head of Field Organization shall respond to the appraisal report within 60 days of receipt and indicate what corrective action will be taken.
- (6) The responsible field organization shall track the corrective actions to completion, and inform EH-1 when the corrective actions have been completed.
- (7) Status reports should be provided on a quarterly basis to inform the appraising organization of the status of the corrective actions unless requested more frequently by the appraising organizations.
- (8) Any followup visit by technical appraisal team members shall be documented.

c. Functional Appraisals.

- (1) Functional appraisals shall be conducted by qualified specialists and involve the head as well as the staff of the organization being appraised.
- (2) The appraisal process will include the use of written guidance and criteria to assure relevance, depth, and continuity of appraisals. Specific emphasis should be given to needed corrective action identified during previous appraisals.
- (3) A meeting shall be held with the management of the appraised organization at the conclusion of the appraisal to present findings and recommendations.

- (4) A report will be prepared at the completion of each appraisal and transmitted within 30 days of the appraisal to the head of the organization appraised, with copies to other appropriate organizations. Findings will be in sufficient detail to ensure understanding and that appropriate corrective action, if needed, can be effectively carried out by the appraised organization.
 - (5) The appraised organization shall respond to appraisal reports within 30 days of receipt and indicate what corrective action will be taken.
 - (6) Status reports should be provided on a quarterly basis to inform the appraising organization of the status of the corrective actions unless requested more frequently by the appraising organizations.
 - (7) Followup of the appraised organization's response will be made in writing at the next earliest opportunity, but in no case later than the next similar appraisal in order that outstanding issues may be closed out expeditiously.
- d. Internal Appraisals.
- (1) Internal appraisals shall be conducted at the operating level by persons not directly responsible for performance of the activities being appraised.
 - (2) The internal appraisal system shall :
 - (a) Function primarily in an advisory capacity to a designated position or management authority so that corrective actions can be taken.
 - (t) Be clearly defined in writing.
 - (c) Be auditable.
 - (d) Be reviewed by management for adequacy of performance every 3 years, or more often, as required.
 - (c) Review the overall operation of each facility with sufficient frequency to assure adequate ES&H coverage.
 - (f) Provide multidisciplinary reviews with in-depth technical competence in the areas being reviewed.

- (9) Provide for objective and independent review of ES&H functions to determine that they are conducting reviews of:
- 1 Proposed modifications to plant and equipment having safety significance.
 - 2 Proposed experiments and results thereof having safety significance.
 - 3 Procedures and significant changes thereto: administrative, operating (normal and abnormal), maintenance, quality assurance (as it applies to the policy and objectives stated in paragraph 7), and emergency.
 - 4 Organization and staffing of each facility.
 - 5 Operating limits, changes thereto, and violations thereof.
 - 6 Operator and supervisor training programs, certification, and recertification standards and procedures.
 - 7 Accidents, incidents, and unusual occurrences.

e. Environmental Survey.

- (1) The independent environmental survey will be conducted by a team of qualified specialists led by a team leader and assistant team leader from the Office of Environmental Audit and Compliance (EH-24). The teams will include a member from the field organization that manages the site.
- (2) A Pre-survey site visit will be conducted by the team leader and/or the assistant team leader and the involved field organization team member. After the pre-survey site visit, a detailed site survey plan will be developed for onsite survey activities. The pre-survey site visit will usually take place 4 to 5 weeks prior to beginning the actual survey.
- (3) The onsite environmental survey will include observations of operations, collection and review of records, and documents, personnel interviews, a study of the site's overall environmental status, and sampling activities. In addition, limited offsite surveys will be performed as needed. Sampling and related testing and analysis will be conducted in accordance with appropriate methodologies and procedures.
- (4) Field organization management will be briefed on preliminary findings and results at the conclusion of survey activities.

- (5) After receipt Of the results of the sampling and analysis, an interim report will be prepared. The interim report will be circulated for review for factual accuracy to relevant program offices and to the head of the involved field organization.
- (6) A final summary report will be prepared by EH-24 after interim reports of all DOE sites have been completed. The summary report will be the basis for the DW-wide prioritization of corrective measures.

f. Environmental Audit.

- (1) Independent environmental audits will be conducted by a team of qualified specialists lead by a team leader from EH-24.
- (2) The onsite environmental audit will include a review of management practices, observations of operations, collection and review of records and documents, personnel interviews, and a study of a facility's environmental performance, particularly with respect to implementation of corrective/remedial actions identified in the environmental survey.
- (3) Field organization management will be briefed on preliminary findings and results at the conclusion of an audit.
- (4) An audit report will be prepared within 30 days after completion of an environmental audit and transmitted to the cognizant program office and to the head of the involved field organization.
- (5) Field organizations are to respond to audit reports within 30 days find indicate the corrective actions to be taken and the schedules for implementing those actions.
- (6) Status reports on the Implementation of corrective measures should be provided to EH-24 on a quarterly basis.

10. FACTORS FOR ENVIRONMENT, SAFETY, AND HEALTH APPRAISALS. In addition to the detailed ES&H requirements and appraisal elements contained in specific ES&H discipline Orders of the DOE 5480 series, the following generic factors are to be considered and applied as appropriate for use in all levels of the ES&H appraisal program:

- a. Management Directives. Extent to which contract safety clauses, ES&H program plans, codes, regulations, and directives are complied with and the degree of interest, initiative, and participation of management in their enforcement. Determination of the effectiveness of the system used to keep management informed, and the degree that management is active in the decisions and operations.

- b. Policies, Standards, Permits and Licenses. Extent to which, and how adequately, DOE and contractor ES&H policies and standards are written, published, transmitted, kept current, and carried out. Determination of the effectiveness of local organizations in implementing Federal, State, and local requirements.
- c. Organization and Administration. Structure and effectiveness of the organization for achievement of its mission, including ensuring comprehensive, continuous, preventive, and protective ES&H programs in all activities. Assignment of ES&H line and staff responsibilities to the various organizational components. Determination of the effectiveness of liaison, coordination, and communications between the various organizational components with regard to ES&H program continuity.
- d. Staffing. Adequacy in technical skill and numbers of staff assigned to carry out the ES&H program. In determining adequacy of staff, consideration should be given to:
 - (1) Acceptable norm in terms of quality and quantity of staff and consultants, for each major action and level of operation; and
 - (2) Principal changes effected or anticipated in organization programs (i.e., major new construction or transfer of programs into or out of the organization).
- e. Training. Extent and adequacy of training, promotion, and education in the areas of ES&H for both ES&H staff and operating personnel. Determination of the degree to which training records are complete and auditable.
- f. Communication. Extent to which experience and accumulated knowledge in DOE preventive techniques are disseminated. The audibility of information flow on ES&H matters up, down, and horizontally in the organization to the decision level.
- g. Documentation. Extent and adequacy of documentation covering ES&H activities, including Internal Instruction, procedures, management guidance and policy, appraisal and corrective action files, and all other documentation enhancing audibility of ES&H assurance.
- h. Incident and Accident Reporting. Extent and adequacy of a system established to implement requirements. Determination of the adequacy of trend and risk analyses, including followup on accidents, incidents, and occurrences.

- i. Planning, Budgeting, and Spending. Extent to which long-range planning includes ES&H goals. Determination of the adequacy of ES&H input to the budget formulation and review processes. Adequacy of expenditures of available funding provided to meet ES&H needs.
- j. Environment, Safety, and Health Appraisal Programs. Frequency, adequacy, and records of formal appraisals, including timely notification of findings with an effective followup system
- k. Environment, Safety, and Health Evaluation of Current and Planned Facilities and Programs. Extent and adequacy of measures established to ensure that applicable requirements are correctly translated into specifications, drawings, procedures, and instructions. Determination of effectiveness of identification and evaluation of risks and the reduction of known risks to acceptable low levels.
- l. Performance. Comparison of overall experience in ES&H areas and results of the individual programs with related general experience of similar DOE operations. Significant aspects of the ES&H program performance will be reviewed, taking into consideration the management support of the program and the extent to which sound technical and professional judgment is exercised in implementing the programs.



JOHN S. HERRINGTON
Secretary

U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 5482.1B Chg 1

11-18-91

SUBJECT: ENVIRONMENT, SAFETY, AND HEALTH APPRAISAL PROGRAM

1. PURPOSE. To transmit revised pages to DOE 5482.1B, ENVIRONMENT, SAFETY, AND HEALTH APPRAISAL PROGRAM, of 9-23-86

2. EXPLANATION OF CHANGE.

a. This change removes the Naval Nuclear propulsion program from the scope of this Order by specifically excluding the program in paragraph 4, "Exclusions." In consonance with this exclusion, paragraph 8c of this Order is changed to a statement of the statutory basis of the responsibilities and authorities of the Deputy Assistant Secretary for Naval Reactors (NE-60), who is the Director of Naval Nuclear propulsion Program.

b. This change is made in response to NE-60 memorandum dated 9-27-91, explaining that Executive Order 12344, statutorily prescribed by public Law 98-525 (42 U.S.C. 7158, Note), establishes the responsibilities and authority of the Director of the Naval Nuclear Propulsion program, including responsibility for the safety and health aspects of Program operations.

c. Editorial changes specific to the revised pages.

3. FILING INSTRUCTIONS.

<u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
1	9-23-86	1	11-18-91
2	9-23-86	2	9-23-86
7	9-23-86	7	11-18-91
8	9 - 2 3 - 8 6	8	9-23-86

b. After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration
and Human Resource Management

U.S. Department of Energy
Washington, D.C.

ORDER

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 - b. Appraisals conducted or required as part of the Federal employee occupational safety and health program as described in DOE 3790.1A; and
 - c. Facilities and activities conducted pursuant to Executive Order 12344 and statutorily prescribed by P.L. 98-525 (42 U.S.C. 7158, Note).
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11-18-91

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 - (7) May augment appraisal teams with experts from other DOE organizations or the private sector.
 - (8) Establishes policy and develops guidance for the overview program.
 - (9) In accordance with paragraph 8c below, the Deputy Assistant Secretary for Naval Reactors is responsible for conducting appraisals and the independent overview in such areas as reactor safety, criticality control, radiation protection and radiological environmental monitoring and protection in the Naval Reactors program. These areas are hereby specifically excluded from EH-1 responsibility and authority as assigned in this Order.
- c. Director of Naval Nuclear Propulsion Program. Executive Order 12344, statutorily prescribed by P.L. 98-525 (42 U.S.C. 7158, Note) establishes the responsibilities and authorities of the Director of the Naval Nuclear Propulsion Program (who is also the Deputy Assistant Secretary for Naval Reactors (NE-60) within the Department) for all facilities and activities that comprise the Program, a joint Navy-DOE organization. These executive and legislative actions establish that the Director is responsible for all matters pertaining to naval nuclear propulsion, including direction and oversight of environment, safety, and health matters for all program facilities and activities. Accordingly, the provisions of this Order do not apply to the Naval Nuclear Propulsion Program.
- d. Director of Administration and Human Resource Management (AD-1) assumes the same responsibilities for Headquarters operations that are assigned to Heads of Field Organizations.
- e. Heads of Field Organizations.
- (1) Conduct management appraisals, in accordance with the implementation procedures (paragraph 9), of ES&H programs of subordinate field activities (operated either by Federal employees or by contractor employees) at least once every 3 years. Reviews to establish contractor award fees are adjuncts to, not a substitute for, management appraisals.

Vertical line denotes change.

- (2) Conduct functional appraisals, in accordance with the implementation procedures (paragraph 9), of DOE and contractor activities with sufficient scope and frequency to ensure effectiveness of the ES&H activities. Reviews to establish contractor award fees are adjuncts to, not a substitute for, functional appraisals.
- (3) Provide copies of all appraisal reports to the cognizant PSO and EH-1 when they are sent to the contractor.
- (4) May enter into agreement with other DOE field organizations to conduct appraisals where each office agrees it is in the best interest of DOE.
- (5) May request EH-1 support and assistance when special expertise is needed.
- (6) Assure that internal appraisals are performed by the operating level.
- (7) Prepare an annual schedule showing the functional and management appraisals planned for the following fiscal year and provide a copy to the cognizant PSO and EH-1 not later than 8-1 of each year.
- (8) Submit to the cognizant PSO and EH-1, not later than 11-1 of each year for the preceding fiscal year, a list of all contractors under their jurisdiction (paragraph 6b) and the dates on which ES&H functional and management appraisals of these contractors were made.
- (9) Assure that DOE contractors, to whom this Order is made applicable, implement the requirements in paragraph 9d.
- (10) Implements all requirements of paragraph 9, which are applicable to the field organization.

f. Operating Levels conduct internal appraisals, in accordance with the implementation procedures (paragraph 9), of their ES&H activities.

9. IMPLEMENTATION PROCEDURES. The quality, frequency, and depth of appraisals shall be commensurate with the hazard attendant with the respective operating activities; consistent with both the DOE policy of comparability and equivalence with similar regulatory programs; and consistent with DOE policy of protection of personnel, property, and the environment. Reviews and appraisals of DOE facilities and line organizations will be conducted, as appropriate, by the line organizations as part of line management's ES&H responsibility. EH-1 will conduct periodic overview appraisals, audits, and surveys, to confirm the adequacy of line management's reviews and appraisals.