

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Accident Investigation (Assistance)	Analyzes accident data to assist in identifying trends and conditions surrounding the initiation or occurrence of accidents.	DOE O 225.1A, 5.a. (5) (d)	HS-30	HS-31
Accident Investigation (Assistance)	Charters limited scope investigations for occurrences, incidents, or accidents based on recommendations from the Office of Independent Oversight.	DOE O 225.1A, 5.a. (4)	HS-1	HS-30 HS-60
Accident Investigation (Assistance)	Develops and disseminates information on uniform DOE accident investigation techniques and ensures training is provided to DOE Accident Investigation Board Chairpersons and DOE Accident Investigators.	DOE O 225.1A, 5.a. (5) (g)	HS-30	HS-31 HS-52
Accident Investigation (Assistance)	Develops and disseminates lessons learned from all Type A and limited scope accident investigations.	DOE O 225.1A, 5.a. (5) (f)	HS-30	HS-31
Accident Investigation (Policy)	Develops and maintains DOE accident investigation policies, procedures, standards, and guidelines, and oversees their implementation.	DOE O 225.1A, 5.a. (5) (a)	HS-30	HS-31
Accident Investigation (Policy)	Grants waivers of the requirement to conduct Type A or Type B accident investigations for accidents that meet the criteria for such investigations in the Categorization Algorithm provided in the Order.	DOE O 225.1A, 5.a. (3)	HS-1	HS-30
Accident Investigation (Assistance)	Maintains a list of prospective DOE Accident Investigation Board Chairpersons, DOE Accident Investigators, and technical subject matter experts.	DOE O 225.1A, 5.a. (5) (h)	HS-30	HS-31
Accident Investigation (Assistance)	Performs complex-wide analyses of accidents to guide and focus oversight efforts based on analyzed safety impact and Department-wide significance.	DOE O 225.1A, 5.a. (5) (e)	HS-30	HS-31

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Accident Investigation (Assistance)	Provides investigative and technical subject matter expertise to Appointing Officials, Board Chairpersons, and points of contact, as requested.	DOE O 225.1A, 5.a. (5) (i)	HS-30	HS-31 HS-52
Accident Investigation (Policy)	Recommends to the Chief Health, Safety and Security Officer approval or disapproval of requests for waivers of the requirement to conduct Type A and Type B accident investigations.	DOE O 225.1A, 5.a. (5) (c)	HS-30	HS-31
Accident Investigation (Assistance)	Recommends to the Chief Health, Safety and Security Officer whether or not an occurrence, incident, or accident warrants a limited scope, Type B, or Type A accident investigation based on an assessment of the significance of the occurrence, incident, or accident.	DOE O 225.1A, 5.a. (5) (b)	HS-30	HS-31
Accident Investigation (Assistance)	Reviews all delegated Type A accident investigation reports before acceptance by the Appointing Official and provides comments to the Appointing Official.	DOE O 225.1A, 5.a. (2)	HS-30	HS-31
Accident Investigation (Assistance)	Reviews and provides comments to Appointing Officials on corrective action plans resulting from Type A and Type B investigations.	DOE O 225.1A, 5.a. (5) (j)	HS-30	HS-31
Accident Investigation (Assistance)	Reviews Type B accident investigation reports and provides comments to the Appointing Official.	DOE O 225.1A, 5.a. (5) (l)	HS-30	HS-31
Accident Investigation (Assistance)	Serves as Appointing Official of Type A Accident Investigation Boards, subject to conditions specified in the memorandum of delegation and Board appointment.	DOE O 225.1A, 5.a. (1)	HS-1	HS-30
Accident Investigation (Assistance)	Verifies completion of approved corrective actions and satisfaction of judgments of need.	DOE O 225.1A, 5.a. (5) (k)	HS-30	HS-31

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Analytical Services Program (Assistance)	DOE Consolidated Audit Program (DOECAP).	DOE Management Transfer of Responsibility from EM to EH per memorandum from Beverly Cook dated January 13, 2004.	HS-30	HS-31
Analytical Services Program (Assistance)	Mixed Analyte Performance Evaluation Program (MAPEP).	DOE Management Transfer of Responsibility from EM to EH per memorandum from Beverly Cook dated January 13, 2004.	HS-30	HS-31
Analytical Services Program (Assistance)	Systematic Planning and Data Assessment Tools and Training (SPADAT) Program.	DOE Management Transfer of Responsibility from EM to EH per memorandum from Beverly Cook dated January 13, 2004.	HS-30	HS-31
Analytical Studies (Assistance)	Conducts analyses of operating experience and root cause analysis to support continuous improvement in ES&H performance across the entire DOE complex.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Conducts safety monitoring and analyses and trending and include results in Quarterly Safety Report and DOE Annual Report for external stakeholders and the public.	DOE O 210.2, 5.c	HS-30	HS-32
Analytical Studies (Assistance)	Develops and improves ES&H accountability processes by linking performance analyses with enhanced accountability mechanisms for contractor ES&H performance in contracts.	DOE O 210.2, CRD	HS-30	HS-32

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Analytical Studies (Assistance)	Develops complex and site specific analyses to identify vulnerabilities, trends and emerging issues of interest to senior DOE and contractor management, and the public.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Develops, promotes and facilitates the implementation of a lessons-learned program.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Evaluates the effectiveness of DOE operations and management in meeting ES&H policies, goals and objectives.	DOE O 210.2, 5.c DOE O 450.1 5.a.(2)	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Improves the use of fee for ES&H performance and developing methods for spurring appropriate contractor behaviors to protect the public, workers and the environment.	DOE O 210.2, 5.c	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Prepares and disseminates operating experience information for the DOE complex on a periodic basis.	DOE O 210.2, 5.c(9)	HS-30	HS-32
Analytical Studies (Assistance)	Prepares meaningful and easily understood assessments of the Department's overall effectiveness in protecting the public, the workers and the environment.	DOE O 210.2, 5.c DOE O 450.1 5.a.(2)	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Prepares Quarterly Reports on ES&H performance for the Secretary's Office.	DOE O 210.2, 5.c(9)	HS-30	HS-20 HS-32
Analytical Studies (Assistance)	Provides corporate ES&H analyses to support top management decision-making and increase awareness of ES&H performance issues.	DOE O 210.2, 5.c(8)	HS-30	HS-32
Analytical Studies (Assistance)	Provides support for event related inquiries and other management requests, e.g., program office briefings and support to the Office of Independent Oversight assessments.	DOE O 210.2, 5.c(9)	HS-30	HS-32

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Appraisals, Assessments, and Self-Assessments (Training)	Perform appraisals and assessments that support NTC needs.	10 CFR 830, Subpart A; DOE O 414.1C DOE O 420.1A DOE O 450.1 DOE P 450.5	HS-50	HS-52
Compliance & Enforcement (Enforcement)	Conducts and participates in activities that facilitate improved contractor performance including conduct of DOE and contractor PAAA (Enforcement Coordinator training and coordination with the Energy Facility Contractors Group PAAA Work Group and EFCOG Security Working Group).	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Considers comprehensiveness and promptness of corrective actions as part of civil penalty mitigation process.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Develops and maintains DOE Enforcement Policies and coordinates with DOE field and Program elements to ensure consistent application of regulatory mechanisms and the Enforcement Policy Process across the Department.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Evaluates the effectiveness of contractor programs in meeting DOE worker safety and health, nuclear safety, and security requirements and self-regulatory criteria.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Implements the Department's congressionally mandated worker safety and health, nuclear safety, and security enforcement programs that include processes and incentives for contractors to promptly identify, report, and correct noncompliances.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43

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Compliance & Enforcement (Enforcement)	Investigates and resolves through enforcement actions and civil penalties significant contractor violations of DOE worker safety and health, nuclear safety, and security requirements that do not warrant enforcement discretion.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Presides over enforcement conferences and issues enforcement actions (for example preliminary notices of violation with or without civil penalties, enforcement letters or compliance orders, etc.).	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Processes cases and develops evidentiary support to sustain proposed enforcement sanctions	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Promotes overall improvement in the Department's worker safety and health, nuclear safety, and security programs through management and implementation of the DOE statutorily required enforcement programs.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Provides feedback and lessons learned on worker safety and health, nuclear safety, and security performance issues through the HSS Web site and promulgation of enforcement guidance.	10 CFR 820 10 CFR 824 10 CFR 851	HS-40	HS-41 HS-42 HS-43
Compliance & Enforcement (Enforcement)	Reviews and tracks noncompliance and determines need to initiate enforcement investigation process based on safety and security significance and other considerations.	10 CFR 820 10 CFR 851	HS-40	HS-41 HS-42
Corrective Action Management Program – CAMP (Assistance)	Continuously update CSO's and FEMs on the status of CAMP implementation and formally report program status to the Deputy Secretary and senior DOE managers on a quarterly basis.	DOE O 414.1C, 5.e.(3)c	HS-30	HS-31

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Corrective Action Management Program – CAMP (Assistance)	Coordinates status and maintenance of CAMP with SOs, FEMs, and assessing organizations, including periodic reports on program status.	DOE O 225.1A, 5.c.(12)(d) DOE O 414.1C, 5.e.(3)c DOE O 470.2B, 5.e.(1 & 2)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Enter all findings and Judgments of Need into the Corrective Action Tracking System (CATS).	DOE O 470.2B 5.a.(7)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Maintain direction and daily monitoring of the Corrective Action Management Program (CAMP) in coordination with CSO's and FEMs.	DOE O 414.1C, 5.e.(3)c	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Maintain timeliness and quality control of the DOE Corrective Action Tracking System (CATS) used to track and report the status of the CAMP.	DOE O 414.1C, 5.e.(3)c DOE O 470.2B, 5.g	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Maintains CATS and assists FEMs in accessing and editing CAP data. Maintains a CAMP Web site that provides background and information on the program.	DOE O 414.1C,5.E.(3)(b) DOE O 470.2B, 5.g.(3)	HS-30	HS-31
Corrective Action Management Program – CAMP (Policy)	Manages CAMP and develops and maintains CAMP policies, procedures, and guidelines.	DOE O 414.1C, 5.e.(3)(a) DOE O 470.2B, 5.g.(1)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Manages crosscutting issues as directed by the Secretary or Deputy Secretary.	DOE O 225.1A, 5.c.(12)(c & d) DOE O 414.1C, 5.e.(3)(e) DOE O 470.2B, 5.g.(6)	HS-30	HS-31
Corrective Action Management Program – CAMP (Assistance)	Sponsors and co-chairs the DOE Corrective Action Management (CAM) Team members on specific organizational and DOE-wide CAMP activities and issues.	DOE O 225.1A, 5.c.(12)(c & d) DOE O 470.2B, 5.g.(3)	HS-30	HS-31

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Corrective Action Plans – CAPs (Oversight)	Review CAPs and provide comments within prescribed time frames.	DOE O 470.2B 5.a.(8)	HS-60	HS-63 HS-64
Corrective Action Tracking System – CATS (Assistance)	Ensures appropriate findings (and related information) are entered into the CATS.	DOE O 470.2B 5.a.(7)	HS-60	HS-63 HS-64
DNFSB Interface (Assistance)	Advises the Secretary, Deputy Secretary, Under Secretaries, Chief Health, Safety and Security Officer, Secretarial Officers, and other Department executives of Board priorities, concerns, actions, and plans.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Cooperate with the DNFSB and respond to DNFSB recommendations as applicable.	DOE M 140.1-1B	HS-1	
DNFSB Interface (Assistance)	Coordinates Board review and comments resolution for DOE Directives of interest to the Board.	DOE M 140.1-1B, Ch. I, 3.e DOE M 251.1B DOE-TSPP-6	HS-1.1	
DNFSB Interface (Assistance)	Coordinates with affected Secretarial Officers and designates a Cognizant Secretarial Officer to respond to a Board recommendation, Board correspondence, and other Board issues.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Facilitates communication and cooperation between Departmental elements and the external entities including the DNFSB and its staff.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Facilitates implementation of the Department’s corporate issues management process for analysis and resolution of crosscutting issues from DNFSB recommendations and concerns.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Maintains and distributes a listing of key Department personnel for DNFSB-related activities.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	

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DNFSB Interface (Assistance)	Maintains and provides guidance on the Department's Interface Manual to Departmental Points of Contact and support personnel.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Maintains the Department's central repository of official DNFSB communications and makes this information available to Department and contractor personnel.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Manages the Department's interface activities and provides direction and advice to the line on Board-related matters.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Manages the Department's Safety Issues Management System for DNFSB-related issues, commitments, and actions.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Prepares reports on DNFSB-related activities for senior Department management, Congress, and the President.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Represents the Secretary in regular and continuing interactions with the Defense Nuclear Facilities Safety Board.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Reviews written communications (with the exception of responses to information requests and routine distribution of evaluations/assessments) from the Department to the DNFSB, for consistency and responsiveness.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DNFSB Interface (Assistance)	Serves as the initial Departmental lead for each incoming DNFSB recommendation until a Responsible Manager is identified.	DOE M 140.1-1B, Ch. I, 3.e	HS-1.1	
DOE Dam Safety Inspection Program (Assistance)	Participate on the Interagency Committee on Dam Safety (ICODS). Coordinate technical and training information provided through the ICODS with DOE site engineers.	Dam Safety and Security Act of 2002 (Public Law 107-310)	HS-30	HS-31

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DOE Dam Safety Inspection Program (Assistance)	Perform periodic inspections of selected dams at various DOE sites using FERC.	Federally mandated program authorized under Public Law 104-303	HS-30	HS-31
DOE Dam Safety Inspection Program (Assistance)	Provide status of DOE dams based on the FERC periodic inspections to FEMA for federally mandated biennial reporting.	Dam Safety and Security Act of 2002 (Public Law 107-310)	HS-30	HS-31
DOE Laboratory Accreditation Program – DOELAP (Assistance)	Develop and implement the DOELAP, approve or deny applications for accreditation, requests for technical equivalency, and requests for exception.	10 CFR 835	HS-30	HS-31
DOE Laboratory Accreditation Program – DOELAP (Assistance)	Develop and implement the DOELAP in coordination with Cognizant Secretarial Officers, contractors, and industry.	10 CFR 835	HS-30	HS-31
DOE Laboratory Accreditation Program – DOELAP (Assistance)	Provide corporate management of the Radiological Environmental Science Laboratory, DOE Laboratory Accreditation Program and National Analytical Management Program.	10 CFR 835	HS-30	HS-31
DOE Technical Standards (Policy)	Assign DOE and contractor technical standard managers.	DOE O 252.1 5.a.(2) DOE-STD-1171-2003 OMB Circular A-119	HS-20	

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DOE Technical Standards (Policy)	Coordinate and manage the DOE Technical Standards Program.	DOE M 251.1-1B 1.1.(a) DOE O 251.1B 5.c & 5.h DOE O 252.1 5.a.(1) DOE P 251.1A OMB Circular A-119 P.L. 104-113	HS-20	
DOE Technical Standards (Policy)	DOE standards executive to represent DOE's interests on consensus standards-setting organizations and the Interagency Committee on Standards Policy.	DOE O 252.1 5.a.(4)	HS-20	
Emergency and Continuity of Operations – COOP (Assistance)	Interface with external agencies on health and safety matters relating to emergency operations under the National Response Plan and COOP.	National Response Plan (NRP) – Health and Safety Support Function #10	HS-30	HS-31 HS-32
Emergency and Continuity of Operations – COOP (Assistance)	Promote the development of regularly scheduled health and safety systems; testing, training, and exercising of personnel, equipment, systems, processes, procedures used to support DOE HQ during an Emergency or a COOP event.	Presidential Directive - ensure Executive Branch departments and agencies are able to continue their essential functions across a wide range of emergencies and events.	HS-30	HS-31 HS-32
Emergency and Continuity of Operations – COOP (Assistance)	Provide assistance in the safety and health vulnerability analysis of current alternate operating facilities.	National Response Plan (NRP) – Health and Safety Support Function #10	HS-30	HS-31 HS-32
Emergency and Continuity of Operations – COOP (Assistance)	Serve as staff advisors to the EOC and COOP manager for Health and Safety, including radiological protection, bio-emergencies, hazardous materials response, and general safety.	National Response Plan (NRP) – Health and Safety Support Function #10	HS-30	HS-31 HS-32

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Emergency Management (Management/Operations)	Assess incidents and communicate status/needs for additional aid and/or response personnel.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Emergency Management (Management/Operations)	Assist Emergency Responders in such areas as crowd control.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Emergency Management (Management/Operations)	Designates a representative to serve as an ex officio member of the Standing Emergency Management Coordinating Committee.	DOE O 151.1C, Chapter 1, 4., a	HS-1	HS-1.3
Emergency Management (Management/Operations)	Facilitate EMS and other responders in getting to the scene of a Headquarters incident.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Emergency Management (Management/Operations)	Provide Emergency First Aid/CPR as appropriate.	DOE O 151.1C, Chapter 1, 3	HS-1.3	HS-1.31
Environmental Management Role (Policy)	Acts as the coordinator and advocate for the Department with other Federal agencies, such as the Environmental Protection Agency, Nuclear Regulatory Commission, and the Department of the Interior, on Department of Energy policy positions and concerns in those agencies' rulemaking efforts in order to assure the Department's position is reflected in the formulation of other agencies' regulations that may affect DOE facilities, operations and activities.	DOE 5400.5 9.b.(1) DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(3) DOE P 441.1 3.A	HS-20	
Environmental Management Role (Policy and Assistance)	Advise the Secretary on Department: 1) Conformance related issues 2) Activities related to environmental protection laws and principles, and 3) Conduct of comprehensive programs of research and development on environmental effects of energy technologies and programs.	DOE M 411.1-1C DOE O 450.1 Chg 3 5.a.(2) The Department of Energy (DOE) Organization Act (P.L. 95-91, as amended), Sec.203 (a)(3)	HS-20	All HSS HS-30

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Environmental Management Role (Policy and Assistance)	Assess and develop strategies, policies and guidance for meeting DOE goals for pollution prevention, waste minimization and the acquisition of environmentally preferable products. Prepares externally required corporate reports documenting the Department's progress in these areas.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Assistance)	Assist as requested in implementation plans for elements of DOE 5400.5, Environmental Radiation Protection Program, including ALARA, monitoring and surveillance, groundwater monitoring, controlled release of property, and discharge goals.	DOE 5400.5	HS-20	HS-32
Environmental Management Role (Policy)	Coordinate and develop the Departmental position on emerging air, water, radiation, environmental and cultural resource protection requirements.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Policy)	Develop environmental and public protection policy and guidance and support Executive Order 13423 designated senior official on all matters related to environmental stewardship, environmental compliance improvement and Executive Order sustainability goals.	DOE O 450.1 Chg 2 DOE O 5400.5 Chg 2 E.O. 13423 The Department of Energy (DOE) Organization Act (P.L. 95-91, as amended), Sec.203 (a)(3)	HS-20	HS-32
Environmental Management Role (Policy)	Develop, revise, and maintain existing DOE environmental directives, policies, and documents to incorporate the goals and requirements of E.O. 13423.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7 E.O. 13423	HS-20	HS-10 HS-32

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Environmental Management Role (Policy)	Develop Departmental environmental protection policies, standards, and guidance for air, water, and radiation consistent with Federal laws and regulations.	DOE 5400.5 9.b.(1) DOE M 411.1-1C Table 7 DOE O 450.1 5.a.(1) DOE P 441.1 3.A	HS-20	
Environmental Management Role (Policy and Assistance)	Develop guidance and coordinates activities to implement the cultural resource management program, including activities affecting Indian Tribal cultural resource sites and items consistent with Federal laws and regulations.	DOE M 411.1-1C Table 7 DOE P 141.1 Responsibilities 2 Laws and Executive Orders referenced in DOE P 141.1	HS-20	
Environmental Management Role (Policy)	Develop internal Departmental policies and guidance for Departmental compliance with applicable Resource Conservation and Recovery Act, Comprehensive Environmental Response, Compensation, and Liability Act, Emergency Planning and Community Right-to-Know Act, Pollution Prevention Act, and Toxic Substances Control Act issues and requirements.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Policy)	Develop policy and guidance to advocate and assist Departmental elements in implementing environmental management systems approaches into environmental programs and the integration of environmental management with integrated safety management.	DOE M 411.1-1C Table 7 DOE M 450.4-1 2.h.(1) {for environmental and nuclear safety} DOE O 450.1 5.a.(1)	HS-20	
Environmental Management Role (Policy)	Develop policy and guidance to assist Departmental elements in the implementation of effective institutional controls.	DOE P 454.1 (purpose and scope)	HS-20	

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Environmental Management Role (Policy and Assistance)	Develop policy and provides guidance and tools to assist in the estimation of risk and risk management for protection of the public from radiation and hazardous materials.	DOE 5400.5 9.b.(1) DOE M 411.1-1C Table 7 DOE O 450.1 5.a.(1) DOE P 441.1 3.A	HS-20	
Environmental Management Role (Policy)	In the area of radiation protection standards for the public and the environment, represents the Department in national and international radiation protection organizations, policy setting organizations, and on risk management and standard setting organizations including the Committee on Interagency Radiation Research and Policy Coordination, the international Committee on Radiological Protection, and the National Committee on Radiological Protection.	DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(3)	HS-20	
Environmental Management Role (Assistance)	Issue Annual ASER Guidance.	DOE M 231.1-1A I.2.b DOE O 231.1A,5.a DOE O 450.1, Ch- 2,5.a	HS-30	HS-20 HS-32
Environmental Management Role (Assistance)	Maintain effective liaison with all DOE Environment, Safety and Health offices.	DOE O 450.1 Chg 3 5.a.(2)	HS-20	HS-10
Environmental Management Role (Assistance)	Prepare historical/cultural reports and annual corporate pollution prevention progress reports to the Administrator of the EPA and the Federal Environmental Executive.	Archeological and Historic Preservation Act Archeological Resources Protection Act DOE M 411.1-1C Table 7 DOE O 450.1 5.a.(3)	HS-20	

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Environmental Management Role (Assistance)	Promote the implementation of environmental management systems throughout the Department to ensure that consideration of the environmental impacts of DOE operations are integrated into DOE's Integrated Safety Management Systems.	DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(1) &(2)	HS-20	HS-10
Environmental Management Role (Assistance)	Provide an independent overview of DOE and radioactive waste management and decommissioning programs and Departmental compliance with radioactive waste management requirements.	DOE 5400.5, 9.b.(1) DOE M 435.1 2.C	HS-60	HS-64
Environmental Management Role (Assistance)	Provide a focal point for cross-cutting environmental performance information. Coordinates, validates, and distributes statutory, regulatory and executive order-mandates and corporate environmental reports.	DOE 210.2,4.c. & 5.c.(6) DOE 450.1 chg 3 5.a.(1) DOE M 231.1-1A, Chg 1, 3.c DOE M 411.1-1C Table 7 DOE O 231.1A	HS-20 HS-30	HS-32
Environmental Management Role (Assistance)	Provide corporate leadership in promoting environmental protection through interaction with internal and external entities, advocating the Departmental position on emerging environmental requirements affecting DOE operations and issuance of guidance on Departmental compliance with newly promulgated requirements.	DOE O 4450.1 chg 3 5.a.(2) DOE P 441.1	HS-20	

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Environmental Management Role (Assistance)	Provide corporate support to program and field elements in the interpretation and implementation of statutory and emerging regulatory environmental requirements relative to hazardous waste management, toxic chemical inventory reporting, natural resource trusteeship, and hazardous substance release response.	DOE 450.1 chg 3 5.a.(1) DOE M 411.1-1C Table 7	HS-20	
Environmental Management Role (Assistance)	Provide technical support to the Department's program offices and field elements in understanding and implementing environmental requirements.	DOE M 411.1-1C Table 7 DOE O 450.1 chg 3 5.a.(1)	HS-20	HS-10
Environmental Management Role (Policy)	Review and approve Authorized Limits for residual radioactive material in mass and dose based personal property.	DOE 5400.4 II.5	HS-20	HS-32
Environmental Management Role (Policy)	Serve as the central Departmental coordinating point for advocating DOE's position on environmental requirements and regulations proposed by other federal agencies (e.g., the Environmental Protection Agency).	DOE O 450.1 chg 3 5.a.(3)	HS-20	HS-10
Environmental Management Role (Assistance)	Support LLW and TRU waste disposal authorizations through participation on the DOE O 435.1 Review Panel (Low-level Waste Federal Review group, LFRG), and review of disposal site performance assessments and composite analyses.	DOE M 435.1-1 I.2.C DOE O 435.1	HS-20	
ES&H Reporting (Assistance)	Annual corporate reports to OMB on Department's progress on E.O. 13423.	E.O. 13423	HS-20	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
ES&H Reporting (Assistance)	Computerized Accident/Incident Reporting system (CAIRS)	DOE M 231.1-1A, CAIRS DOE O 210.2, 4.a.(3) DOE O 210.2, 5.c.(1) DOE O 231.1A Chg 1	HS-30	HS-31
ES&H Reporting (Assistance)	Noncompliance Tracking System.	DOE O 450.1 Chg 2	HS-20	HS-32
ES&H Reporting (Assistance)	Occurrence Reporting Processing system.	DOE M 231.1-2, ORPS DOE O 231.1A, 5.a.(2) & 5.a (6)	HS-30	HS-31
Exemptions (Policy)	Grant or concur as authorized in Regulations or Orders.	10 CFR 820, Subpart E DOE M 251.1-1A Exemption processes as authorized for external regulations. Exemption processes as specified in individual DOE Orders	HS-10 HS-20	
Exemptions (Policy)	Review requests for exemptions to 10 CFR 830 and recommend approval or denial, or provide comments as appropriate to the line management decision authority.	10 CFR 820, Subpart E DOE M 251.1-1A Exemption processes as authorized for external regulations. Exemption processes as specified in individual DOE Orders	HS-20	

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
External Organizations, Reporting to (Assistance)	Annual summary of occupational illnesses and injuries.	DOE M 231.1A, Chg 1 DOE O 231.1A, Chg I, 5,e,(1)	HS-30	HS-32
External Organizations, Reporting to (Assistance)	Historical/cultural reporting.	Annual Archeol. Report for DOE Properties required for DOE report to congress DOE O 450.1 Chg 2 DOE P 141.1	HS-20	
External Organizations, Reporting to (Assistance)	Pollution prevention and abatement plans.	DOE O 450.1, Chg 3	HS-20	
External Organizations, Reporting to (Assistance)	Provide annual reports to the Environmental Protection Agency on implementation of E. O. 13423.	E.O. 13423, Sec. 3. (g)	HS-30	HS-32
External Organizations, Reporting to (Assistance)	Report to external agencies for which HSS is responsible.	E.O. 12941 E.O. 13423 OMB Circular A-119 P.L. 104-303, the Water Resources Development Act of 1996 PD/NSC/25	HS-30	HS-32
Federal Employee Occupational Safety and Health – FEOSH (Policy)	Coordinate with Occupational Safety and Health Administration in DOL on policies and procedures.	29 USC 668 Exec Order 12196 USC 7902(c) 29 CFR 1960 DOE O 440.1B	HS-30	HS-31

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Federal Employee Occupational Safety and Health – FEOSH (Policy)	Develop FEOSH Policy.	29 USC 668 Exec Order 12196 USC 7902(c) 29 CFR 1960 DOE O 440.1B	HS-10	HS-30 HS-31
Federal Employee Occupational Safety and Health – FEOSH (Policy)	Review OSHA regulations and policies to determine their implication to existing DOE policies, directives and regulations.	29 USC 668 Exec Order 12196 USC 7902(c) 29 CFR 1960 DOE O 440.1B	HS-30	HS-31
Fire Protection (Assistance)	Fire protection program.	DOE O 420.1B 5.a DOE O 450.1 chg 3 5.a.(1)	HS-20	HS-21
Fire Protection (Policy)	Maintain directives and coordinate fire protection safety and health policies for DOE.	DOE O 420.1B (Chapter II)	HS-20	
Firearm Safety (Policy)	Firearm safety policies and procedures.	DOE O 440.1B	HS-12	HS-50 HS-51
Health & Safety Programs for Workers (Policy)	Actively engage with national and international standards setting bodies to maintain current knowledge on the scientific basis used by these bodies in developing their standards and revise DOE policy and directives accordingly.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Training)	Assist the National Training Center in the development of training related to worker safety and health requirements and standards.	DOE O 226.1, 5.f(2)	HS-10	HS-11

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Policy and Assistance)	Assure that the Office implements an integrated approach to customer and stakeholder needs in the development and maintenance of worker safety and health policy and assisting Headquarters and field elements in implementation and resolving cross cutting issues.	42 USC 2201i(3) 42 USC 2282c DOE M450.4-1, ch I 3h(2) DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Assistance)	Communicate health effects information and the results of studies to all interested stakeholders within and outside DOE.	50 USC 2733 “Program to monitor DOE workers exposed to radiation and hazardous substances” DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Conduct and manage medical monitoring programs on specific hazards of interest to DOE.	50 USC 2733 “Program to monitor DOE workers exposed to radiation and hazardous substances”	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Consults with line management to provide appropriate guidance for the implementation of directives and standards and provide technical positions on Departmental worker safety and health directives and standards.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Coordinate with Occupational Safety and Health Administration (OSHA) on policies and procedures by listing DOE facilities which DOE will <u>not</u> exercise occupational safety and health regulatory authority.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Create and disseminate safety and health information to allow workers to better understand and manage their exposure to hazardous materials in DOE.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Develop performance expectations through DOE policy and directives for the establishment and operation of preventative occupational medicine programs, including worker fitness for duty, employee assistance, substance abuse prevention, and the human reliability programs, across the Department.	10 CFR 707 10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-11 HS-13
Health & Safety Programs for Workers (Assistance)	Develop and maintain registries of DOE workers to understand the development and progression of health outcomes associated with exposures to specific hazardous materials of particular interest to DOE.	50 USC 2733 “Program to monitor DOE workers exposed to radiation and hazardous substances” DOE O 440.1B	HS-10	HS-13
Health & Safety Programs for Workers (Policy)	Develop, publishes, and maintains Departmental rules, directives, technical standards, and guidance relating to the safety and health of workers by addressing DOE workplace hazards.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Develop and provide recommendations to the Chief Health, Safety and Security Officer regarding approval or denial or variances to 10 CFR 851.	10 CFR 851 subpart E	HS-10	HS-11

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Policy)	Develop and provide recommendations to the Chief Health, Safety and Security Officer regarding requests for exemptions to requirements of 10 CFR 835.	10 CFR 820 subpart D	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Develop and provide recommendations to the Chief Health, Safety and Security Officer regarding approval of: (1) requests for planned special exposures 10 CFR 835.204 (2) alternative internal and external dosimetry program accreditation 10 CFR 835.204.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Evaluate the effectiveness of policies and requirements in accomplishing the Department's goals and makes adjustments and improvements based on feedback from line management and independent oversight.	DOE O 226.1, 5.f(2) DOE O 470.2B, 5g(4),(6)	HS-10	HS-11
Health & Safety Programs for Workers (Assistance)	Facilitate evaluation of cross cutting worker safety and health issues with program and line management to determine extent of condition, causes, and actions to prevent recurrence.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Assistance)	Fund and coordinate large scale records retrieval activities for all DOE sites to support DOL, NIOSH, and the Presidential Advisory Board's EEOICPA-related activities, including DOL site exposure matrix projects, the Advisory Board's research and evaluation of Special Exposure Cohort petitions, and technical reviews of NIOSH site profiles	42 USC 7384d Establishment of Energy Employees Occupational Illness Compensation Program DOE O 226.1	HS-10	HS-15

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Fund and coordinates records retrieval activities at all DOE sites to support the claims adjudication process for individual claims submitted by current and former DOE federal and contractor workers under EEOICPA.	42 USC 7384d Establishment of Energy Employees Occupational Illness Compensation Program DOE O 226.1	HS-10	HS-15
Health & Safety Programs for Workers (Policy)	Interact with internal and external entities, to maintain cognizance of best available information and technologies and facilitate adjustments to requirements and expectations as appropriate.	DOE O 226.1, 5.f(2) DOE P 441.1	HS-10	HS-11
Health & Safety Programs for Workers (Assistance)	Maintain a cadre of technical experts and provides technical assistance and support to program and line management in Headquarters and field organizations on an as-requested basis to facilitate effective and efficient implementation of the Department's worker safety and health program rule, other safety and health requirements and expectations and resolving technical or performance issues.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Policy)	Maintain effective liaison with line managers and other offices within the Office of Health, Safety and Security and external organizations to identify issues and concerns related to worker safety and health policy.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Policy)	Maintain liaison with regulatory agencies with respect to worker safety and health matters.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Maintain relationships with appropriate offices in DOE to assure that the policy and directives are incorporated in contracts, as appropriate to the hazards present, to assure that the policy and directives are in fact implemented and result in enhanced DOE worker safety and health.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-11
Health & Safety Programs for Workers (Assistance)	Maintain subject matter expertise in HSS for occupational radiation, protection, industrial safety, chemical safety management, beryllium, epidemiology, occupational medicine, health surveillance, industrial hygiene.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Assistance)	Manage the Chernobyl Program. Engage in cooperative agreements to assess the impact on worker health from exposure to ionizing radiation by approximately 20,000 workers engaged in the Chernobyl, Ukraine “shelter plan” activities. The shelter plan is to entomb the destroyed commercial nuclear power plant reactor. The current “Chernobyl Research with Service Program” was mandated by Congress in 2006. The program is expected to provide improved guidance for radiation protection policies for DOE and commercial nuclear reactor workers.	The “Chernobyl Research with Service Program” was mandated by Congress in 2006.	HS-10	HS-14
Health & Safety Programs for Workers (Assistance)	Manage the Japan Program through support for the Radiation Effects Research Foundation. This jointly funded program supports health studies conducted by RERF of the A-bomb survivors in Hiroshima and Nagasaki. The results of RERF research on A-bomb survivors are the primary basis for international radiation protection standards.	International agreement between the U.S. and Japan (12/27/74) to fund the Radiation Effects Research Foundation	HS-10	HS-14

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Manage the Marshall Islands Program to provide medical screening and care for the Rongelap and Utrök population exposed in the Marshall Islands to fallout from a 1954 atmospheric nuclear weapons test. The program fulfills requirements established in Public Law 108-188, the "Compact of Free Association Amendments Act of 2003" and earlier Public Laws.	Public Law 108-188, the "Compact of Free Association" Amendments Act of 2003	HS-10	HS-14
Health & Safety Programs for Workers (Assistance)	Manage the Russia Health Studies Program through a portfolio of cooperative health research and radiation studies with the Russian Federation Joint Coordinating Committee for Radiation Effects Research. The program evaluates long-term effects on workers and populations living near the Russian production site at Mayak. The effort is expected to answer critical questions on the health impacts associated with long-term, low dose-rate radiation exposures.	Agreement between the Government of the United States of America and the Government of the Russian Federation January 14, 1994	HS-10	HS-14
Health & Safety Programs for Workers (Assistance)	Manage the Spain Program through scientific and financial support of Project Indalo with the Spanish Government. This jointly funded program provides medical surveillance and environmental monitoring as a result of a "broken arrow" event that contaminated portions of farm land in Palomares, Spain. The program is expected to improve our understanding of the environmental behavior of plutonium in an arid ecosystem and pathways to people living and working in the region. The research effort was formalized in the 1966 Hall-Otero Agreement	1966 Hall-Otero Agreement	HS-10	HS-14

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Policy)	Manage activities to develop, promulgate, and maintain worker safety and health policy.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Assistance)	Manage and conducts epidemiologic investigations to assess the health implications of exposures to hazardous materials for workers within the DOE complex.	50 USC 2733 “Program to monitor DOE workers exposed to radiation and hazardous substances” DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Manage and conducts medical screening initiatives for the 400,000-person former workforce (employees, contractors, and subcontractors) who may be subject to significant health risks due to exposures they may have experienced while employed at DOE sites	50 USC 2733 “Program to monitor DOE workers exposed to radiation and hazardous substances” DOE O 226.1	HS-10	HS-15
Health & Safety Programs for Workers (Assistance)	Manage and maintains Accreditation Association for Ambulatory Health Care.		HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Manages and supports an illness and injury surveillance database for current workers at participating sites across the DOE complex.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Manage and support the conduct of epidemiologic studies and other public health activities by the Department of Health and Human Services to assess the health implications of exposures to hazardous materials found in the DOE workplace.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Manage the “covered facilities database,” a database of over 350 facilities whose employees are eligible for benefits under EEOICPA, and the “covered periods” during which employees would need to have worked in order to receive these benefits.	42 USC 7384d Establishment of Energy Employees Occupational Illness Compensation Program DOE O 226.1	HS-10	HS-15
Health & Safety Programs for Workers (Assistance)	Manage the area of occupational medicine including the DOE Electronic Medical Records Initiative, Headquarters and field Healthy Workplace Initiatives and pandemic preparedness.	10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Oversee the establishment of a chronic beryllium disease bio-specimen repository, using donated blood and tissues from participants in the Department’s medical screening initiatives	10 CFR 850 50 USC 2733 “Program to monitor DOE workers exposed to radiation and hazardous substances”	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Provide leadership and guidance to the DOE occupational medicine community, including the Energy Facility Contractors Group (EFCOG) Occupational Medicine Subcommittee.	10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-13
Health & Safety Programs for Workers (Policy)	Provide responses to and maintains the Departmental Worker Safety and Health Standards Response Line.	DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Review Federal Agency (i.e., OSHA, NIOSH, EPA, etc.) regulations and policies and determines their impact on existing DOE Worker Safety and Health policies, directives and regulations.	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Review the results from analytic and descriptive epidemiologic studies, other public health activities, and information from site profiles to determine the need to conduct or support future epidemiologic studies or public health activities.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Policy)	Search the literature and studies concerning the health effects associated with DOE workplace hazards, determine their implications to existing DOE policies and directives and revise the policies as necessary to keep DOE worker safety and health policy and directives current.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1, 5.f(2)	HS-10	HS-11
Health & Safety Programs for Workers (Policy)	Search the literature and studies concerning the health effects associated with DOE workplace hazards, determine their implications to existing DOE policies and directives in occupational medicine and revise the policies as necessary to keep DOE occupational medicine policy and directives current.	42 USC 2201i(3) 42 USC 2282c DOE O 226.1	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Support dialogue with the occupational medicine physicians across the Department to assure continuous improvement in preventative occupational medicine programs.	10 CFR 851.Appendix A.8 DOE O 440.1B,5b	HS-10	HS-13
Health & Safety Programs for Workers (Assistance)	Support DOE offices to assure that policy and directives are incorporated into contracts that promote public, worker safety and health.	DOE O 226.1, 5.f(2)	HS-10	
Health & Safety Programs for Workers (Training)	Support the Radiation Emergency Assistance Center/Training Site (REAC/TS) to provide training in radiation medicine and medical consultation to site physicians	42 USC 2201i(3) 42 USC 2282c	HS-10	HS-13

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Health & Safety Programs for Workers (Assistance)	Team with line management, contractors, and contractor organizations to take actions that result in the efficient and cost effective implementation of the worker health and safety policy and directives.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Assistance)	Utilize the corporate ES&H issues management process and ensures effective implementation.	DOE O 226.1, 5.f(2) Secretarial Action Memo, 5/18/1990	HS-10	HS-12
Health & Safety Programs for Workers (Policy)	Work with the Office of General Counsel to provide technical advice on interpretations of worker health and safety regulations (10 CFR 835, 850, 851).	42 USC 2201i(3) 42 USC 2282c (Worker health and safety rules for DOE nuclear facilities) DOE O 226.1, 5.f(2)	HS-10	HS-11
HEPA Filter Test Program (Assistance)	Establish policies, quality assurance requirements and standards, and manage independent testing of filters for evaluating the effectiveness of HEPA filters used in nuclear facilities, and coordinate the implementation of corporate strategies for improving the functional performance of filters.	Secretary to the DNFSB commitment (July 11, 2003) to perform 100% testing of HEPA Filters.	HS-30	HS-31
Independent Oversight (Oversight)	Act as an independent authority responsible for environment, safety and health oversight for the Department.	DOE O 420.1B, 5.c.(1)	HS-60	
Independent Oversight (Oversight)	Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during independent oversight appraisal activities at evaluated sites.	DOE O 470.2B 5.a.(2)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Assess the performance of DOE in implementing safety software requirements.	DOE N 411.1, 4.e	HS-60	HS-64

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Independent Oversight (Oversight)	Brief senior DOE officials, including the NNSA Administrator, Under Secretary, CSO, the Secretarial Officer, DOE policy organizations, and the managers of DOE sites, on the results of independent oversight appraisal activities.	DOE O 470.2B 5.a.(3)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Conduct various independent assessments of Secretarial Office, field element, and contractor implementation of Order DOE O 414.1C and 10 CFR 830 Subpart A, Quality Assurance (QA), including aspects of QA related to ES&H, safeguards, and security.	DOE O 414.1C, 5.g.(1)	HS-60	HS-61 HS-62 HS-63 HS-64 HS-70
Independent Oversight (Oversight)	Coordinate the scheduling, notification, and planning of independent oversight appraisals with appropriate Cognizant Secretarial Offices (CSO) and heads of field elements.	DOE O 470.2B 5.a.(6)	HS-60	
Independent Oversight (Oversight)	Coordinate with the applicable DOE policy organization (e.g., Secretarial Officer, NA-40, HSS or CIO) to resolve safeguards and security; cyber security; emergency management; or ES&H policy findings or deficiencies and to ensure accurate interpretation of requirements.	DOE O 470.2B 5.a.(10)	HS-60	HS-61 HS-62 HS-63 HS-64 HS-70
Independent Oversight (Oversight)	Coordinate with the DOE IG when independent oversight appraisal activities identify concerns that may have criminal or waste, fraud, and abuse considerations.	DOE O 470.2B 5.a.(4)	HS-60	
Independent Oversight (Oversight)	Coordinate with the Office of Enforcement when independent oversight appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act and Worker Safety Rule.	DOE O 470.2B 5.a.(14)	HS-60	HS-63 HS-64

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Activity (Function)	Responsibility	Authorities	Lead	Support
Independent Oversight (Oversight)	Develop and maintain DOE safeguards and security; cyber security; emergency management; and ES&H Office of Independent Oversight policies, procedures, standards, and guidelines.	DOE O 470.2B,5.a.(1)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Direct, manage, and conduct the safeguards and security; cyber security; emergency management; and ES&H independent oversight programs.	DOE O 470.2B 5.a.(5)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	DOE organizations performing independent oversight under the direct authority of the Secretary of Energy, such as the Office of Health, Safety and Security, shall conduct independent oversight processes in accordance with the requirements of Order DOE O 226.1 for independent oversight or comparably effective criteria established by the director of the independent oversight organization.	DOE O 226.1, 5.f.(1)	HS-60	HS-61 HS-62 HS-63 HS-64 HS-70
Independent Oversight (Oversight)	Ensure emergency management and ES&H findings (and related information) are entered into CATS in a timely manner (e.g., within 5 days following the transmittal of the final report).	DOE O 470.2B 5.a.(7)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Evaluate the effectiveness of DOE Headquarters and field organization implementation of the requirements of Order DOE O 450.1.	DOE O 450.1, 5.e	HS-60	HS-64
Independent Oversight (Oversight)	Maintains awareness of the status of findings and ratings identified during independent oversight appraisals.	DOE O 470.2B 5.a.(9)	HS-60	
Independent Oversight (Oversight)	On a selected basis, conducts independent oversight appraisals to verify and validate the effectiveness of corrective actions and to confirm closure of findings.	DOE O 470.2B 5.a.(13)	HS-60	HS-61 HS-62 HS-63 HS-64

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Independent Oversight (Oversight)	Perform a sample review of DPOs (Differing Professional Opinions) biennially from the list provided by the DPO Managers.	DOE M 442.1-1.5.D.(3)	HS-60	HS-64
Independent Oversight (Oversight)	Perform periodic independent oversight of ISM implementation at all levels (i.e., DOE Headquarters Secretarial offices, DOE field offices, and DOE contractors), consistent with the requirements of DOE O 226.1, Implementation of DOE Oversight Policy.	DOE M 450.4-1, 2.h.(4)	HS-60	HS-64
Independent Oversight (Oversight)	Plan and conduct independent oversight appraisals to determine compliance with requirements of Order DOE O 420.1B.	DOE O 420.1B, 5.c.(2)	HS-60	HS-64
Independent Oversight (Oversight)	Plans and conducts appraisals to determine compliance with the requirements of Order DOE O 433.1A, 5.a.(6).	DOE O 433.1A, 5.a.(6)	HS-60	HS-64
Independent Oversight (Oversight)	Provide independent oversight of the Comprehensive Emergency Management System.	DOE O 151.1C, 4.a.(9)	HS-60	HS-63
Independent Oversight (Oversight)	Provide DOE managers with independent evaluations of safeguards and security; cyber security; emergency management; and ES&H policies, programs, and implementation. Evaluations may be provided in various written formats (e.g., inspection, management evaluation, special study, special review, and follow-up review reports).	DOE O 470.2B 5.a.(11)	HS-60	HS-61 HS-62 HS-63 HS-64
Independent Oversight (Oversight)	Report [QA] independent oversight assessment results to the appropriate Under Secretary, the Chief Health, Safety and Security Officer, and the assessed organization.	DOE O 414.1C, 5g.(2)	HS-60	HS-61 HS-62 HS-63 HS-64

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Activity (Function)	Responsibility	Authorities	Lead	Support
Independent Oversight (Oversight)	Review corrective action plans and provides comments, when necessary, within prescribed time frames. Ensures comments are resolved or elevates comments until resolution is obtained. If needed, elevates comments to the Deputy Secretary and/or the Secretary for resolution.	DOE O 470.2B 5.a.(8)	HS-60	HS-61 HS-62 HS-63 HS-64
Integrated Safety Management system – ISMS (Policy)	Develop, maintain, and publishes Department policy and directive relating to Integrated Safety Management	42 USC 2201	HS-10	
Lessons Learned, Feedback, and Improvement (Assistance)	Actively seek feedback for continuous improvement of lessons learned and operating experience identification, analysis, and dissemination and upgrade requirements and guidance.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Actively seek feedback for continuous improvement of ORPS as appropriate.	DOE O 210.2	HS-30	HS-31 HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Develop and disseminate lessons learned.	DOE M 140.1-1B DOE M 231.1-2 DOE N 231.2 DOE O 210.2 DOE O 225.1A DOE O 231.1A Chg 1 DOE O 414.1C DOE O 425.1C DOE O 440.1B DOE O 451.1B Chg 1 DOE O 460.1B DOE O 5480.19 Chg 2	HS-30	HS-20 HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Develop and maintain the ORPS.	DOE M 231.1-2 DOE O 210.2, 4a (3) & 5.c.(1) DOE O 231.1A	HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Lessons Learned, Feedback, and Improvement (Assistance)	Develop methodologies and other tools for lessons learned and operating experience reporting and analysis.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Ensure that lessons learned and operating experience, feedback and improvement work products are accessible so they can be incorporated into training.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Identify best practices and disseminate them through the HSS website.	DOE O 210.2	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Implement the DOE Lessons Learned and operating Experience Program in coordination with PSO, FOM, contractors, and industry	DOE O 210.2, 4. a., - j., & 5.c	HS-30	HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Prepare and disseminate information obtained from analysis of ORPS information.	DOE O 210.2	HS-30	HS-31 HS-32
Lessons Learned, Feedback, and Improvement (Assistance)	Support the analysis and dissemination of lessons learned and operating experience information across the DOE complex.	DOE O 210.2	HS-30	HS-32
NTC Safety Program (Oversight)	Technical, management and/or programmatic oversight of issues that impact compliance with regulations, standards, or commitments or effective implementation.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
Nuclear and Facility Safety (Policy)	Develop and maintain directives for contractor training for nuclear activities.	DOE O 5480.20A, Chg 1 7.b.(1)(e)	HS-20	
Nuclear and Facility Safety (Policy)	Develop Departmental policies, guidance and implementing strategies related to the specialized safety disciplines of nuclear safety, facility, design, health physics, industrial hygiene, fire protection, electrical safety, high explosives, firearms safety, pressure safety, and chemical safety.	DOE 5480.20A 7.b.(1) DOE M 450.4-1 2.h DOE P 420.2A	HS-20	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Nuclear and Facility Safety (Policy)	Develop policies and standards for safety management programs such as facility maintenance, personnel training, and conduct of operations.	DOE 5480.19 6.b DOE 5480.20A 7.b.(1)	HS-20	
Nuclear and Facility Safety (Policy)	Establish nuclear and facility safety requirements through the development and maintenance of clear and integrated policies, guidance, and standards including regulations on nuclear safety management in Part 830.	10 CFR 830 DOE M 411.1-1C Table 7 DOE O 414.1C 5.e.(1) DOE O 420.1B 5.a DOE P 410.1A	HS-20	
Nuclear and Facility Safety (Policy)	Establish programs, policies, and standards that assures protection of the Department's Federal and contractor personnel from occupational injury and illness and assures safety of facility design and operations.	DOE 5480.30 7.d DOE M 450.4-1 2.h DOE O 420.1B 5.a	HS-20	
Nuclear and Facility Safety (Assistance)	Evaluate corporate issues to determine root cause or identify systemic problems and make recommendations for programmatic or human performance improvements.	DOE O 210.2, 5.c (7)	HS-10 HS-30	HS-31 HS-32
Nuclear and Facility Safety (Policy)	Evaluate the effectiveness of policies and requirements in accomplishing the Department's goals and make adjustments and improvements based on feedback from line management.	DOE 5480.20A 7.b.(1) DOE 5480.30 7.d	HS-20	
Nuclear and Facility Safety (Policy)	Interface with national and international external safety and health regulators, with DOE program and field elements, and with industry groups on matters related to facility operations safety.	DOE O 210.2, 5.c (7)	HS-10 HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Nuclear and Facility Safety (Assistance)	Perform appraisals related to critical issues of immediate interest to DOE senior management. This includes conducting event reviews, Operational Readiness Reviews, Operational Event Investigations, Accident Investigations, and Safety Allegation Investigations.	DOE O 210.2 DOE O 225.1A	HS-30	HS-31 HS-32
Nuclear and Facility Safety (Assistance)	Provide assistance to line management in implementing the Department's policies.	DOE O 420.1B 5.a DOE O 433.1A 5.a	HS-20	
Nuclear and Facility Safety (Assistance)	Provide corporate technical assistance and support to line management in Headquarters and field organizations on an as requested basis. This includes support in areas such as Accident Investigation Training, criticality safety program technical advice, support to the Energy System Advisory Board and the Homeland Safety and Security Program.	DOE O 210.2 DOE O 225.1A	HS-30	HS-31 HS-32
Nuclear and Facility Safety (Assistance)	Serve as the primary interface with the Defense Nuclear Facilities Safety Board (DNFSB) for crosscutting Departmental issues.	DOE O 210.2 DOE O 225.1A	HS-1.1	All Offices
Occupational Injuries and Illnesses (Assistance)	Annual Summary of Occupational Injuries and Illnesses.	10 CFR 835, Subpart H DOE M 231.1-1 DOE O 231.1A	HS-30	HS-32
Occupational Injuries and Illnesses (Assistance)	Develop, implement, and maintain a system for ES&H reporting.	10 CFR 835, Subpart H DOE M 231.1-1 DOE O 210.2, 5.c.(1) DOE O 231.1A	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Operating Experience Program (Assistance)	The primary functions of the DOE Operating Experience (OE) Program are to collect, screen, trend, and evaluate DOE-wide and site/facility specific operational events, lessons learned from within and outside of DOE, and to assure insights and relevant lessons learned are used to improve the safety and reliability of DOE missions and programs. The resultant corporate applications are improved implementation of safety requirements so that safety vulnerabilities can be identified, prioritized, communicated and resolved on a timely basis. As such, the OE Program is the key complement in the DOE ISMS program through enhancement of the feedback process	DOE O 210.2	HS-30	
ORPS (Assistance)	Actively seek feedback for continuous improvement of ORPS and upgrade requirements as appropriate.	DOE M 231.1-2 DOE O 231.1A	HS-30	HS-32
ORPS (Assistance)	Annual corporate reports to OMB on Department's progress on implementing E. O. 13423 goals.	DOE O 450.1 Chg 3 5.a.(2) E.O. 13423	HS-20	
ORPS (Assistance)	Develop, maintain, and implement the ORPS Program.	DOE M 231.1-2 DOE O 210.2, 4.a.(3) & 5.c.(1) (11) DOE O 231.1A	HS-30	HS-32
ORPS (Assistance)	Identify best practices and disseminate them through the DOE website.	DOE O 210.2, 4.a.(3) (6), 4.b., 4.d.,4.f.,4.g.,4.h. & 5.c.(1) & (11)	HS-30	HS-32
ORPS (Assistance)	Prepare and disseminate information obtained from analysis of ORPS information	DOE O 210.2, 4.a.(3), (4), 4.b.,4.d., 4.h., & 5.c.(6), (8), (9)	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Performance Assessment (Assistance)	Ensure that lessons learned and operating experience, feedback and improvement work products are accessible so they can be incorporated into revisions of DOE directives.	DOE O 210.2, 4.a.(3), 4.b., 5.c.(1)	HS-30	HS-32
Performance Assessment (Assistance)	Ensure active liaison with Federal agencies, private industry and international organizations on performance measures.	DOE O 210.2, 4.a.(2), 4.c., 5.c.(7)	HS-30	HS-32
Performance Assessment (Policy)	Ensure active liaison with industry groups, other Federal agencies and international organizations to share information and facilitate the development of integrated, comprehensive Departmental quality assurance policies, standards and guidance.	DOE O 414.1C	HS-30	HS-31
Performance Assessment (Assistance)	Ensure meaningful and easily understood assessments of the Department's overall effectiveness in protecting the public, the worker, and the environment are produced in a timely manner and communicated to senior management.	DOE O 210.2, 4.a.(4) c, 4.a.(6), 4.(d), 4.(h), 5.c	HS-30	HS-32
Performance Assessment (Policy)	Maintain directives and rules for quality assurance, suspect and counterfeit parts, safety software quality assurance, and corrective action management.	DOE O 414.1C	HS-20	HS-31
Performance Assessment (Assistance)	Manage and directs certification program activities aimed at ensuring corporate capabilities and programs that are deployed to protect workers, the environment and the general public are fully operational and effective.	DOE O 414.1C	HS-30	HS-31
Performance Assessment (Assistance)	Manage and directs corporate ES&H analyses to support top management decision-making and increase awareness of ES&H performance issues.	DOE O 210.2, 4	HS-30	HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Performance Assessment (Assistance)	Manage and direct the development and implementation of a quality assurance certification programs to ensure the reliability of DOE operations.	DOE O 414.1C	HS-30	HS-31
Professional Development Program (Policy)	Develop policy recommendations for Security and Safety Professional Development Programs including training requirements.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Training)	Base curriculum on an integrated security and safety career development program that will emphasize the mid-level and senior level training needs of federal personnel.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Assistance)	Identify, maintain, and enhance the skills and competencies of safety and security professionals within the Department essential to maintain the technical qualifications and professional skill base.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Policy)	In coordination with the Federal Technical Capabilities Panel (FTCP) review and revise Technical Qualifications for safeguards and security personnel.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Assistance)	Initiate the development of job/functions/competencies for each of the security and safety functional areas in conjunction with the Federal Technical Capabilities Panel (FTCP).	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Assistance)	Manage processes common to security and safety including the establishment of competency data base.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Professional Development Program (Training)	Provide leadership training to support the DOE safety and security workforce through the Leadership Development Institute.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Professional Development Program (Training)	Provide management training to support the DOE safety and security workforce through the Management Development Institute.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Quality Assurance – QA (Assistance)	Chair meetings of quality assurance subject matter experts to share lessons learned, review Departmental issues, and provide advice to management on quality assurance matters.	DOE O 414.1C, 5.e.(2)(a)	HS-30	HS-31
Quality Assurance – QA (Assistance)	Consult with line management in the implementation of requirements and standards and provides guidance and interpretation on Departmental nuclear and facility quality assurance standards.	DOE O 414.1C 5.e.(1)	HS-20 HS-30	HS-31
Quality Assurance – QA (Policy)	Coordinate within DOE, and with other agencies and groups, in the development of QA policy, requirements, guidance, and standards. Provide responses to requests for advice and assistance to DOE elements concerning DOE QA directives and regulations.	DOE M 411.1-1C Table 7 DOE O 414.1C 5.e.(1)	HS-20	HS-31
Quality Assurance – QA (Policy)	Develop and maintain DOE QA directives (i.e., policy, requirements, guides, and standards) and regulation (i.e., 10 CFR Part 830, Subpart A).	DOE M 450.4-1 2.h.(3) and (5) DOE O 414.1C e.(1).(b) DOE O 420.1B 5.a.(3) DOE O 425.1C 5.c10 CFR 830, Subpart A DOE O 440.1B, 8.a. & 8.b DOE O 433.1A 5.a.(3)	HS-20 HS-30	HS-31 HS-32

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Quality Assurance – QA (Assistance)	Develop and support the implementation of a suspect and counterfeit parts program that facilitates the identification of these parts, ensures that the appropriate organizations are notified, and follows-up to ensure resolution of critical issues.	DOE O 210.2a, 5.c.(10) & 4.a.(6)(b), 4.a.(6)(b), 4.a.(6c), 4.a.(6)(g) DOE O 414.1C, 5.e.(2)c	HS-30	HS-31 HS-32
Quality Assurance – QA (Policy)	Establish DOE policies and processes for safety software quality assurance programs	DOE O 414.1C, 5.e.(1)	HS-20	
Quality Assurance – QA (Policy)	Interface with other Federal agencies, industry groups, and international organizations to share information and facilitate the development of integrated, comprehensive Departmental quality assurance policies, standards, and guidance.	DOE O 414.1C 5.e.(1) DOE O 450.1 chg2 5.a.(3)	HS-20	HS-31
Quality Assurance – QA (Assistance)	Maintain quality assurance technical expertise and provides the DOE complex with advice and consultative services to assist them in understanding and implementing policies, standards, and guidance in response to compliance and program requirement issues.	DOE O 414.1C, 5.e.(1)c, (2)(a)	HS-30	HS-31
Quality Assurance – QA (Assistance)	Manage Suspect/Counterfeit Parts Reporting Program.	DOE O 210.2, 4.a.(6)(a),(6)(b), (6)(c), 5.c.(10) DOE O 414.1C, 5.e.(2)c DOE O 440.1B	HS-30	HS-32
Quality Assurance – QA (Policy)	Manage the development, interpretation, and promulgation of quality management policies, requirements (including software quality assurance), and guidance documents for the Department's activities excluding quality assurance regulations in 10 CFR part 830	DOE O 414.1C, 5.e.(1)	HS-20	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Quality Assurance – QA (Assistance)	Provide point of contacts for coordination within DOE and facilitates the identification and resolution of crosscutting quality assurance issues within the Department.	DOE O 414.1C, 5.e.(1).(c) DOE O 414.1C, 5.e.(2)(a)	HS-20 HS-30	HS-31
Quality Assurance – QA (Assistance)	Provide DOE interface with the Defense Nuclear Facilities Safety Board on matters concerning nuclear and facility quality assurance policies and requirements.	DOE O 414.1C 5.e.(1)	HS-20 HS-30	HS-31
Quality Assurance – QA (Policy)	Represent the DOE to the International Atomic Energy Agency and the International Organization for Standardization on quality management policy/requirements issues.	DOE M 411.1-1C Table 7 DOE O 414.1C 5.e DOE O 450.1 5.a.(3)	HS-10 HS-20 HS-30	HS-31
Quality Assurance – QA (Assistance)	Serve as the Departmental representative to the Government Industry Data Exchange Program.	DOE O 210.2, 5.c (7) DOE O 414.1C, 5.e.(1)c, & (1)(d)	HS-30	HS-31 HS-32
Quality Assurance – QA (Assistance)	Sponsor training and workshops for Federal and contractor personnel to promote the effective implementation of quality assurance programs.	DOE O 414.1C, 5.e.(1)(b)	HS-30	HS-31
Quality Assurance – QA (Assistance)	When requested, review and provide comments on specific requirements to be included in selected contracts, authorizations agreements, safety documentation, and authorization bases.	DOE O 414.1C, 5.e.(1)(b), 1c	HS-30	HS-31 HS-32
Quality Assurance – Safety Software (Assistance)	Coordinate the activities of the Central Registry in support of an effective safety software quality assurance program.	DOE O 414.1C, 5.e.(2)(d)	HS-30	HS-31
Quality Assurance – Safety Software (Assistance)	Manage Safety Software QA Program.	DOE O 414.1C, 5.e.(2)(d)	HS-30	HS-31
Radiation Exposure Monitoring (Assistance)	Generate annual Occupational Radiation Exposure Report.	DOE M 231.1-1A DOE O 231.1A	HS-30	HS-31

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Radiation Exposure Monitoring (Assistance)	Operate, maintain and improve REMS database.	DOE M 231.1-1A DOE O 231.1A	HS-30	HS-31
Radiation Protection (Policy)	Actively engage with national and international standards setting bodies in development of standards and recommendations and with Federal interagency groups to harmonize Federal radiation protection policy for worker and public protection (Occupational, Environmental, Public).	10 CFR 835 DOE 5400.5 DOE O 450.1 DOE P 441.1	HS-10 HS-20	
Radiation Protection (Policy)	Approve exemptions and disposal authorization and authorized limits	DOE M 435.1-1 I.2.E.(1) DOE O 5400.5 Chg 2, 9.b.(1).(b) and II.5.c.(6) and II.1.a.(4)	HS-20	
Safety Analyses, Hazard Controls, and Hazard Categorization (Policy)	Concurrence on alternate methodologies other than safe harbor methodologies in Table 2 to Appendix A of 10 CFR Part 830.	10 CFR 830, Subpart B DOE M 411.1-1C Table 7 DOE O 420.1B 5.a	HS-20	
Safety Analyses, Hazard Controls, and Hazard Categorization (Policy)	Requirements and guidance.	10 CFR 830, Subpart B DOE M 411.1-1C Table 7 DOE O 420.1B 5.a	HS-20	
Safety Analyses, Hazard Controls, and Hazard Categorization (Assistance)	Safety Basis Information System (SBIS).	10 CFR 830, Subpart B DOE O 420.1B 5.a	HS-20	
Safety Management Functions, Responsibilities and Authorities Policy (Policy)	Post DOE M 411.1-1 and any overriding Secretarial Memoranda on web site.	DOE M 411.1-1C	HS-10	
Safety Management Functions, Responsibilities and Authorities Policy (Policy)	Update DOE M 411.1-1 annually	DOE M 411.1-1C	HS-10	

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Technical Qualifications (Policy)	Develop policy for Federal technical qualifications program.	DOE M 426.1-1A	HS-10	HS-52
Technical Qualifications (Policy)	Ensure the Safeguards and Security Functional Area Qualification Standard reflects functional responsibilities of program elements.	DOE-STD-1171-2003	HS-50	HS-51
Technical Qualifications (Assistance)	Implement a Technical Qualification Program (TQP) for all DOE employees whose duties and responsibilities require them to provide oversight that could impact the safe operations of a defense nuclear facility.	DOE M 426.1-1A	HS-10	HS-52
Technical Qualifications (Assistance)	Provide adequate resources and support for FTCP.	DOE M 360.1-1B	HS-10	HS-1.23
Training Approval Program and Accreditation (Training)	Ensure NTC instructors meet accepted standards of education, training and experience.	ACE DOE O 470.4A DOE-HDBK-1001-96 FLETA	HS-50	HS-51
Training Approval Program and Accreditation (Training)	Review and approval of site TAP evaluations.	ACE DOE O 470.4A DOE-HDBK-1001-96 FLETA	HS-50	HS-51

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Training Development (Training)	Direct activities associated with developing a blended learning plan and implementing the centralized procurement of distance learning technology and equipment at the NTC.	DOE-HDBK-1076-94 DOE-HDBK-1078-94 DOE-HDBK-1086-95 DOE-HDBK-1103-96 DOE-HDBK-1200-97 DOE-HDBK-1201-97 DOE-HDBK-1204-97 DOE-HDBK-1205-97 DOE-STD-1006-92 DOE-STD-1009-92 DOE-STD-1010-92 DOE-STD-1060-93 DOE-STD-1070-94 DOE-STD-1091-96 DOE-STD-1146-2001 DOE-STD-1171-2003	HS-50	HS-51 HS-52

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Training Development (Training)	Manage and coordinate functions in the job analysis, design, and development of training and oversee contractor implementation activities.	DOE-HDBK-1076-94 DOE-HDBK-1078-94 DOE-HDBK-1086-95 DOE-HDBK-1103-96 DOE-HDBK-1200-97 DOE-HDBK-1201-97 DOE-HDBK-1204-97 DOE-HDBK-1205-97 DOE-STD-1006-92 DOE-STD-1009-92 DOE-STD-1010-92 DOE-STD-1060-93 DOE-STD-1070-94 DOE-STD-1091-96 DOE-STD-1146-2001 DOE-STD-1171-2003	HS-50	HS-51 HS-52

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Training Development (Training)	Review, audit and evaluate contractor training activities for compliance with goals, objectives and requirements, consistent with the NTC Strategic Plan and contractual commitments.	DOE-HDBK-1076-94 DOE-HDBK-1078-94 DOE-HDBK-1086-95 DOE-HDBK-1103-96 DOE-HDBK-1200-97 DOE-HDBK-1201-97 DOE-HDBK-1204-97 DOE-HDBK-1205-97 DOE-STD-1006-92 DOE-STD-1009-92 DOE-STD-1010-92 DOE-STD-1060-93 DOE-STD-1070-94 DOE-STD-1091-96 DOE-STD-1146-2001 DOE-STD-1171-2003	HS-50	HS-51 HS-52
Training Materials Development (Training)	Accident investigations.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Construction hazards analyses.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Employee counseling and health promotion training.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Employee job tasks and hazards analysis information.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Fire Protection Program (life safety).	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Hazard prevention/abatement program.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52

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Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Training Materials Development (Training)	Health examinations.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Industrial hygiene programs.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Motor vehicle safety programs.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Notification of excesses of illnesses or injuries that require epidemiological analyses.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Occupational Medical Program.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Postings.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Pressure safety policies.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Records of occupational fatalities, injuries, and illnesses	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Reports of subcontractor accident information.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Safety and health plans.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Suspect/counterfeit part controls.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Worker Protection Program.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Materials Development (Training)	Workplace inspections.	DOE M 231.1-1 DOE O 440.1B	HS-50	HS-52
Training Programs (Training)	Develop and implement training courses that support the current and evolving DOE safety and security mission with courses linked to the FTCP identified competencies.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Training Program (Training)	Ensure the effective execution of Department-wide responsibility with respect to the development and administration of environment, safety and health functional training and qualification programs.	DOE O 414.1C,4.b.(2)	HS-50	HS-51 HS-52
Training Programs (Training)	Identify competency areas that do not have training readily available or those competency areas where training is available but is deemed to be inadequate.	DOE O 426.1 DOE O 470.4A DOE O 472.1 DOE M 475.1-1B DOE-STD-1171-2003	HS-50	HS-51 HS-52
Training Programs (Training)	Identify, analyze and/or develop existing training, within the DOE complex, or other agencies, that may meet the requisite knowledge and skills identified for the common competency areas.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51
Training Programs (Training)	Manage the course development process to ensure it is timely, cost effective and supports the security and safety training programs and incorporates emerging technologies	DOE O 426.1 DOE O 470.4A DOE O 472.1 DOE M 475.1-1B DOE-STD-1171-2003	HS-50	HS-51 HS-52
Training Programs (Training)	Manage a basic Integrated Safety and Security Testing and Evaluation Complex (ISSTEC) that supports security police officers interim operational tactical requirements and basic security systems technician and engineer's physical security systems training needs.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51
Training Programs (Training)	Restructure HS-50 curriculum based on technical qualification standards competency development.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51

Appendix F - HSS Functions, Responsibilities and Authorities Matrix				
Part A: Department/External				
Activity (Function)	Responsibility	Authorities	Lead	Support
Training Programs (Training)	Review training requirements for departmental safety and security training programs and recommends training/equipment upgrades in accordance with an approved development plan.	DOE M 475.1-1B DOE O 470.4A DOE O 472.1 DOE-STD-1171-2003	HS-50	HS-51
Training Programs (Training)	Develop and implement training courses that support the current and evolving DOE safety and security mission with courses linked to the FTCP identified competencies.	DOE O 426.1	HS-50	HS-52
Training Programs (Training)	Develop and implement training courses that support the current and evolving DOE Worker and Student Protection Program with courses linked to the FTCP identified competencies.	DOE M 231.1-1 DOE O 440.1B	HS-30	HS-52
Training Programs (Training)	Serve as a clearinghouse for evaluation of currently available safety courses	DOE O 426.1	HS-50	HS-52
Volunteer Protection Program (Assistance)	Manage, administer and implement DOE's Voluntary Protection Program (DOE-VPP).	January 25, 1994 Interagency Agreement between DOE and the Occupational Safety and Health Administration (OSHA)	HS-10	HS-12

Appendix F – HSS Functions, Responsibilities and Authorities Matrix				
Part B: HSS Internal Management				
Activity (Function)	Responsibility	Authorities	Lead	Support
Administration (Management)	Provide centralized administrative services and management support (e.g., leave administration, conference management, etc.). Manage the design, development, implementation and operation of management support systems. Develop workflow management procedures and administrative policies and procedures for the organization.	DOE M 552.1-1 DOE O 110.3 DOE O 200.2 DOE O 203.1 DOE O 243.1 DOE O 243.2 DOE O 430.1 DOE O 535.1 DOE O 552.1 DOE O 580.1	HS-1.2	HS-1.23
Appraisals, Assessments, and Self-Assessments (Management)	Perform Self-Assessments of programmatic responsibilities.	DOE O 414.1C, 5.b.(7), 5.e	All HSS Offices	
Budget (Management)	Develop budget requests (corporate, OMB, and Congressional) as required; act as point of contact for budget issues; provide budget presentations and testimony, as requested.	DOE O 130.1	HS-1.2	HS-1.21
Budget (Management)	Implement budget execution and fund distribution and control requirements.	DOE M 135.1 DOE O 135.1	HS-1.2	HS-1.21
Conduct of Operations (Management)	Ensure conduct of operations provisions are incorporated into NTC programs and procedures.	DOE O 5480.19	HS-50	HS-51 HS-52
Contracts (Management)	Provide a focal point for management and coordination of the procurement activities.	DOE Acquisition Regulations (DEAR) Federal Acquisition Regulations (FAR)	HS-1.2	HS-1.21
Employee Protection (Management)	Post regulations for NTC.	10 CFR 708	HS-50	HS-52
Federal Employee Occupational Safety and Health – FEOSH (Management/Operations)	Manage and conduct the Federal Employee Occupational Safety and Health (FEOSH) Program for the protection of HSS Federal employees.	DOE O 440.1B	HS-30	HS-31

Appendix F – HSS Functions, Responsibilities and Authorities Matrix				
Part B: HSS Internal Management				
Activity (Function)	Responsibility	Authorities	Lead	Support
Firearm Safety (Management/Operations)	Ensure that firearms used by the National Training Center for training purposes are used, stored, and maintained in a safe manner.	DOE M 470.4-3 DOE O 440.1B DOE S 1091-96	HS-50	HS-51
Human Resources (Management)	Provide personnel management services including the development of organization and staffing plans, manpower controls, and management analyses in support of HSS operations and provides for the implementation of Departmental policies for personnel-related activities such as affirmative action, executive succession, employee development, and training.	DOE 311.1 DOE M 360.1-1 DOE O 320.1 DOE O 321.1 DOE O 321.1-1 DOE O 322.1 DOE O 323.1 DOE O 331.1 DOE O 342.1 DOE O 360.1 DOE O 3731.1 DOE O 3750.1 DOE O 442.1	HS-1.2	HS-1.23
Independent Oversight (Management)	Develop and maintain protocols for conducting independent oversight appraisals of safeguards and security; cyber security; emergency management; and ES&H. These protocols will address: appraisal priorities, frequency, and scheduling; appraisal planning; data collection, analysis, and validation methods; development of ratings, findings, and opportunities for improvement; report preparation; and follow-up activities, as appropriate.	DOE O 470.2B 5.a.(12)	HS-60	HS-61 HS-62 HS-63 HS-64
Information Technology (Management)	Ensure HSS information and database systems are developed, implemented, managed, secured, and maintained in accordance with Departmental requirements.	DOE M 470.4-4 DOE O 200.1	HS-1.2	HS-1.22

Appendix F – HSS Functions, Responsibilities and Authorities Matrix				
Part B: HSS Internal Management				
Activity (Function)	Responsibility	Authorities	Lead	Support
Integrated Safety Management system – ISMS (Management)	Develop and maintain HSS ISMS safety system description (including the Environmental Management system or EMS) that addresses the five core functions, as part of the HSS Integrated Work Management System.	DOE O 450.1 chg 3 5.a.(1) DOE P 450.4 DOE-HDBK-3027-99	HS-10 HS-20	HS-20 HS-30 HS-52
Integrated Work Management System (Management)	Maintain HSS Integrated Work Management System Documentation	DOE M 450.4-1	HS-1.2	All HSS
NTC Safety Program (Management)	Advise, direct, assist, and provide guidance to the contractor in the establishment of Industrial, Occupational and Construction Safety criteria, procedures, and equipment for the safe operation of NTC facilities.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
NTC Safety Program (Management)	Development, implementation, and oversight of NTC and contractor programs that implement industrial, safety regulations and requirements and govern safety and health practices at the NTC.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
NTC Safety Program (Management)	Develop Industrial, Occupational, Environmental, and Construction Safety program goals, objectives and milestones to effectively convey related performance expectations to NTC, contractors, subcontractors, and tenants at the NTC.	Secretarial Memorandum November 5, 2004	HS-50	HS-52
Program Management (Management)	Address programmatic problems and policy issues which may impact the NTC programs.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52
Program Management (Management)	Implement policies, resolving problems, and establish and assign priorities to accomplish NTC mission programs and objectives.	Secretarial Memorandum November 5, 2004	HS-50	HS-51 HS-52

Appendix F – HSS Functions, Responsibilities and Authorities Matrix Part B: HSS Internal Management				
Activity (Function)	Responsibility	Authorities	Lead	Support
Quality Assurance – QA (Management)	Ensure a HSS QAP is: 1) developed, maintained, and implemented; 2) continuously improved; 3) integrated into an ISM system; and 4) provided with adequate resources to implement.	DOE O 414.1C, 4., 5.b	HS-1.2	All HSS
Safety Functions, Responsibilities, and Authorities (Management)	Maintain and update the HSS FRA to reflect changes in the DOE FRAM and changes within HSS as required.	DOE M 411.1-1	HS-1.2	All HSS
Technical Qualifications Program (Management)	Ensure HSS personnel are qualified to perform their safety management functions and these qualifications are reflected in position descriptions and performance criteria.	DOE M 426.1-1A	All HSS	HS-1.23
Technical Qualifications Program (Management)	Implement Federal Technical Capability Program (FTCP) within HSS.	DOE O 426.1-1, 3.a	HS-1.2	HS-1.23 HS-10
Training Programs (Management)	Ensure safety training meets the needs of the federal HSS staff.	DOE O 426.1	HS-50	HS-52