

# DIRECTIVES CONTROL FORM - ORO O FINAL DIRECTIVE

## PART A (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 250, Chapter I, Chg. 2, ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW**
2. **PURPOSE OF TRANSMITTAL:**  New Directive  Revised Directive  Page Change
3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)

No (all contractors)

Yes If yes, whom?  BWXT Y-12  UT-B  ORAU  SURA  
 Bechtel Jacobs Company

Other contractors (list by type)

*Many ORO contractors have approved S/RIDs or WSS sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impact?  
 No  Yes If yes, describe: This chapter has been revised to reflect current policy. Paragraph 3, and subparagraphs 4b, 4c(2), (3), and (7) have been revised. New subparagraphs 4c(8)-(10) have been added, and the previous subparagraph 4d has been deleted. Subparagraphs 5b(1), 5b(2), 5b(4), 5b(5), 5b(6), 5b(8), 5b(9), and paragraph 9 have been revised. A new Attachment 1 (CRB) has been added and subsequent attachments renumbered. In the current Attachment 2, new paragraphs 5, 6, and 10 have been added, and subsequent paragraphs renumbered. The current paragraphs 11 and 22 have been revised.

5. **CONTACT POINT:** Wayne H. Albaugh Directives Management Group, AD-440 576-0974  
Name Organization Telephone

## PART B (To be completed by the Directives Management Group (DMG)):

### 6. FILING INSTRUCTIONS:

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO O 250, Chapter I, Chg. 1	12/13/1999	ORO O Control Form	04/25/2001
Pages I-1 through I-11		ORO O 250, Chapter I,	04/25/2001
		Chg. 2, Pages I-1 through I-11	

*ORO Orders are available on the ORO Directives Management Home Page at [http://www.ornl.gov/doe\\_oro\\_dmg/orchk1st.htm](http://www.ornl.gov/doe_oro_dmg/orchk1st.htm). The ORO Orders will no longer be mailed in printed copy unless you do not have Internet capabilities.*

### 7. APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:

*Original signed by*

Kenneth W. Warden, AD-440

04/25/2001

Signature Management Analyst, AD-440

Date

**INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED**

Rev. 10/12/2000

# U.S. Department of Energy

Oak Ridge Operations

ORO O 250 Chapter I Change 2
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**DATE: 04/25/2001**

**SUBJECT: ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW**

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1. PURPOSE. This chapter provides an overview of the Oak Ridge Operations (ORO) Standards Management Program. It assigns responsibilities and accountability and provides administrative guidance to ORO and its contractors. Nothing in this issuance changes any requirements contained in any DOE directive.
2. CANCELLATION. This chapter cancels and replaces ORO O 250, Chapter I, Change 1, ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW, dated December 13, 1999.
3. APPLICABILITY. The provisions of this chapter apply to ORO organizations and contractors with any chapter of ORO O 250, STANDARDS MANAGEMENT, incorporated into their contract. This chapter provides an overview of the Standards Management Program.
4. RESPONSIBILITIES. Refer to the remaining chapters of this ORO directive for specific responsibilities related to subjects covered in those chapters. The following responsibilities apply to all chapters.
  - a. Principal Staff.
    - (1) Identify employees in their organizations to serve as subject matter experts or operational experts for assigned DOE/ORO Directives, Rules, Standards, and functional areas.
    - (2) Ensure that standards management activities are completed in a timely and professional manner.
    - (3) With others involved in the Standards Management Program, discuss and resolve any technical disagreements that arise during program activities, such as review of change proposals for contractual requirements sets, program plans, and implementation plans.
    - (4) Ensure the collection and maintenance of information on the qualifications and experience of personnel involved in Standards Management Program activities. Provide completed Key Personnel Forms to the Directives Management Group (DMG) for all personnel involved in environment, safety, and health (ES&H) standards activities, such as a Standards/Requirements Identification Document (S/RID) revision or Work Smart Standards (WSS) set development or revision efforts. (See Attachment 3, Key Personnel Form).
  - b. Contracting Officer's Representative (COR), in addition to the responsibilities described in subparagraph 4a above, identifies a designated individual to serve as the primary point of contact on Standards Management Program activities within their organization. Notifies the DMG of the individual's name.

- c. Team Leader, Directives Management Group, provides support to all ORO organizations on the Standards Management Program:
- (1) Develops administrative guidance and implementing procedures for Standards Management Program activities.
  - (2) Provides briefings, advice, and assistance to subject matter and operational experts, COR-designated individuals, and ORO management on Standards Management Program activities and processes.
  - (3) Serves as the primary coordinator for all standards management activities, including administrative duties regarding implementation planning for the DOE Rules published under the Price-Anderson Amendments Act (PAAA). Coordinates standards management activities among project participants, including the Director of the appropriate Division of Primary Interest (DPI), CORs and COR-designated individuals, contractors, and DOE Headquarters (HQ) personnel.
  - (4) Prepares all standards-related documents for which ORO has not been delegated approval authority for submission to DOE HQ for approval.
  - (5) Prepares standards-related approval letters and memoranda for the ORO Manager's signature.
  - (6) Maintains records of projects, plans, and other documents related to ORO's Standards Management Program.
  - (7) Hosts a periodic (ad hoc) PAAA information sharing meeting for ORO's contractors.
  - (8) Develops procedures to evaluate, track, and disseminate contract administration information related to contractor baselines of required compliance documents.
  - (9) Serves as process coach for development and revision of Work Smart Standards sets.
  - (10) Tracks Memoranda of Understanding/Agreements, Letters of Delegation, and Field Management Council Actions.

5. REQUIREMENTS AND PROCEDURES.

- a. Introduction. ORO is responsible for oversight of programs and facilities directed by DOE HQ program offices, such as the offices of Defense Programs, Environmental Management, Nuclear Energy, and Science.

ORO and its prime contractors have developed a comprehensive Standards Management Program that addresses the Department's criteria for this type of program (i.e., DOE/EH/-0416,

*Criteria for the Department's Standards Program*, dated August 1994), key Defense Nuclear Facilities Safety Board (DNFSB) issues, DOE Rules, and internal ORO management and oversight needs. In addition, this program fulfills certain core functions of integrated safety management as expressed in DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY.

DOE's expectations are expressed through directives. ORO and its contractors have an opportunity to review and comment on proposed directives to ensure that they are appropriate to control the work and associated hazards and to provide adequate protection of workers, the public, and the environment. ORO and its contractors also have available two DOE-approved tools to identify appropriate ES&H standards/requirements--the WSS and the S/RID and their change process. Approved standards/requirements sets are placed in the contract. Contractors also have certain standards management responsibilities as described in the Contractor Requirements Document (CRD) of each chapter of ORO O 250 containing specific contractor requirements. The approach developed and presented in this directive integrates program requirements from all DOE program offices and existing ORO and contractor Standards Management Programs.

- b. Overview of the ORO Standards Management Program. The process described below provides an overview of the steps ORO and contractors follow to identify and implement ES&H and administrative contract requirements.
  - (1) Standards Development. ORO and its contractors are afforded the opportunity to comment on proposed directives and standards under development by DOE. The comment process allows both sides to express concerns and obtain clarification before the documents are finalized. For further information, refer to Chapter II, OAK RIDGE OPERATIONS DIRECTIVES SYSTEM, and Chapter III, ORO TECHNICAL STANDARDS PROGRAM, of this directive. ORO and its contractors are also encouraged to comment or otherwise participate in the development of other standards through appropriate channels.
  - (2) Identification of Contract Requirements.
    - (a) DOE/ORO Directives.
      - 1 Receipt and Distribution of Directives. DOE Headquarters posts new and revised DOE directives on the DOE Directives System Portal at <http://www.directives.doe.gov>. ORO directives are posted to the DMG Home Page at [http://www.ornl.gov/doe\\_oro\\_dmg/index.html](http://www.ornl.gov/doe_oro_dmg/index.html). The DMG performs the following for DOE/ORO directives:
        - Routes each DOE/ORO Policy Statement, Notice, Order, Guide, or Manual to the DPI to establish ORO's position on applicability of the document to particular contracts.
        - Electronically notifies ORO organizations, Contracting Officers (COs), and CORs (or their designated contact point) and prime contractors who have registered on

the DMG Home Page of the publication of all final directives with a copy of the Control Form for that directive.

- For directives which contain contractor requirements, prepares correspondence for the COR to transmit the directive to the appropriate contractors for an impact assessment, as defined in the respective contract.
- 2 Impact Assessment/Contract Requirements Baseline (CRB). Most ORO contracts contain a directives clause that provides for development and maintenance of a CRB listing certain applicable directives. Before a new or revised DOE/ORO directive (or portion thereof) is included in such a CRB, the contractor reviews the directive and agrees to the applicability of the document under contract terms. If applicable, the contractor determines whether it is currently in compliance with the directive and what the overall impact on operations might be and, for ES&H directives, whether a WSS or S/RID revision effort should be initiated. The contractor response is transmitted to ORO within 30 calendar days of the date of the COR's letter requesting an impact assessment.

Chapter IV, IMPACT ASSESSMENTS, of this directive contains details for providing required information on the impact assessment process.

(b) Other Source Documents.

- 1 DOE Technical Standards. The DMG maintains a list of draft and published DOE Technical Standards on the DMG Home Page. Copies are available upon request from the Office of Scientific and Technical Information or copies can be printed from the DOE Technical Standards Home Page at <http://tis.eh.doe.gov/techstds>.
  - 2 Laws and Regulations. Contractors are responsible for obtaining new and revised Federal, state, and local laws and regulations from the appropriate sources.
  - 3 Consensus Standards. Contractors are responsible for obtaining new and revised consensus standards from the appropriate sources.
- (3) WSS Sets. Contractors may either choose to comply with the requirements in applicable DOE/ORO ES&H directives or develop WSS sets that are appropriate to control the work and associated hazards and to provide adequate protection of workers, the public, and the environment. Chapter V, DEVELOPMENT, APPROVAL, & MAINTENANCE OF WORK SMART STANDARDS, of this directive contains detailed information on the development, approval, and maintenance of WSS sets.
- (4) S/RIDs. The contractor for the Y-12 National Security Complex has an approved S/RID that contains the ES&H requirements (primarily selected from DOE directives) that are adequate to protect the environment, the safety and health of the workers, and the public. In addition, certain of ORO's other contractors with S/RIDs or WSS sets must follow the DOE-approved S/RID functional area requirements for emergency management and

occurrence reporting, or the emergency and occurrence reporting directives must be included in the CRB which lists the directives baseline of requirements. Although certain S/RIDs remain in use, it is expected that new contractors will use the WSS process to identify the WSS set that will contain the standards/ requirements that are appropriate to the work and associated hazards. Chapter VII, MAINTENANCE OF STANDARDS/ REQUIREMENTS IDENTIFICATION DOCUMENTS, of this directive contains information on maintenance of S/RIDs.

(5) Implementation Plans (IPs).

- (a) Implementation Plans. As provided by their contract, ORO prime contractors write IPs for new/revised requirements added to the CRB (e.g., administrative directives, WSS set, or S/RID) where the contractor cannot achieve full compliance within existing funds and/or within 180 calendar days. For administrative directives, the 180 calendar day IP due date is calculated from the date of the COR's letter requesting an impact assessment. For WSS set or S/RID changes, the 180 calendar day IP due date is calculated from the date of the COR's letter approving the contractual change. Some directives also require ORO to prepare IPs. Typically, such documents are prepared in accordance with guidelines issued with the directive.
- (b) Corrective Action Plans. Corrective actions associated with ES&H noncompliances found during assessments (internal and external) are handled by the contractor's and COR's issues management process and/or as directed by the COR or DOE HQ. Therefore, this directive does not cover corrective action plans.

Chapter VI, DIRECTIVE IMPLEMENTATION PLANS AND EXEMPTION REQUESTS, of this directive contains details for providing required information on the preparation, review, and approval of IPs.

- (6) Rule Program Documents. DOE-approved program documents are required from contractors for most DOE Rules, and the program requirements that must be met are identified in the individual Rule. When new Rules are issued, they usually permit contractors to develop IPs (in addition to the program document) to explain how they will come into compliance with the particular Rule requirements.

Chapter IX, RULE PROGRAM DOCUMENTS, IMPLEMENTATION PLANS, AND EXEMPTION REQUESTS, of this directive contains details for providing required information on the on the preparation, submission, and approval of Rule program documents and Rule IPs.

- (7) Requirements Flowdown. After standards/requirements are accepted as appropriate and applicable and placed in the contract, they must be incorporated in the contractor's implementing documents (such as policies, programs, procedures, and other media) that guide and control actual work processes.

- (8) PAAA Meetings. The DMG hosts a periodic (ad hoc) PAAA information sharing meeting, where attendees share information on draft Rules, enforcement activities, and lessons learned.
  - (9) CRBs Posted on the Internet. The DMG Home Page contains links to contractor CRBs, S/RIDs, and WSS sets posted on contractors' home pages. The DMG Home Page address is [http://www.ornl.gov/roe\\_oro\\_dmg/index.htm](http://www.ornl.gov/roe_oro_dmg/index.htm).
6. REFERENCES. See each individual chapter for references that apply only to that particular subject matter. General references include:
  - a. DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, dated October 15, 1996.
  - b. DOE/EH/-0416, *Criteria for the Department's Standards Program*, dated August 1994.
  - c. DNFSB RECOMMENDATION 95-2 and its associated DOE Implementation Plan.
7. DEFINITIONS. See Attachment 2 of this chapter for a glossary of terms used in the ORO Standards Management Program.
8. CONTRACTOR REQUIREMENTS DOCUMENT. See Attachment 1, Contractor Requirements Document.
9. ATTACHMENTS.
  - Attachment 1 - Contractor Requirements Document.
  - Attachment 2 - Definitions.
  - Attachment 3 - Key Personnel Form.

## CONTRACTOR REQUIREMENTS DOCUMENT

1. Contractors identified in paragraph 3 of this chapter must develop management systems and processes that align with the requirements and procedures contained in paragraph 5 of this chapter.
2. Contractors must provide the DMG with appropriate names and electronic mail addresses for personnel who should receive notification of the publication of new/revised DOE/ORO directives. An electronic registration form is available at [http://www.ornl.gov/doe\\_oro\\_dmg/mail.htm](http://www.ornl.gov/doe_oro_dmg/mail.htm).
3. Contractors are responsible for obtaining new and revised Federal, state, and local laws, regulations, and consensus standards from the appropriate sources.
4. Contractors must develop appropriate program documents for DOE Rules which meet the program requirements identified in the individual Rule. If permitted by the Rule, contractors may develop IPs to explain how they will come into compliance with the particular Rule requirements in addition to the program documents.
5. Contractors must incorporate into their implementing documents (such as policies, programs, procedures, and other media) standards/requirements accepted as applicable to their contract.

## DEFINITIONS

These definitions apply specifically to the ORO Standards Management Program and may not be identical to the definitions for the same terms used in other ORO documents.

1. ADEQUACY. Adequacy is achieved when a set of ES&H-related standards/requirements selected to control the work and associated hazards for specific sites, facilities, or activities has been approved by DOE as providing an acceptable level of protection equivalent to comparable commercial facilities/activities. If there are no comparable commercial facilities, adequacy is what is determined to be acceptable by DOE, normally through the S/RID and WSS set development and change process.
2. APPLICABILITY. Whether a standard or requirement addresses the work performed at a site or facility or by a contractor. The applicability decision does not include cost/benefit analysis or a judgment of the reasonableness of implementing the standard or requirement.
3. COMPENSATORY MEASURES. Necessary interim actions taken to reduce the risk to the health and safety of the public, workers, or the environment to an acceptable level (i.e., the likelihood of killing, maiming, injuring, or exposing the public or workers to hazardous materials is very small over the remaining life of the facility) until actions can be taken to mitigate or eliminate the noncompliance and/or risk (i.e., provide a level of protection equal to that provided by the requirement or come into full compliance with the requirement).
4. DAYS. Unless otherwise specified in the text, “days” refers to calendar days.
5. DIRECTIVES. Includes Policies, Orders, Notices, Manuals, and Guides.
6. DIVISION OF PRIMARY INTEREST. The organization, typically at the division level, that has principal responsibility for the subject matter of a particular directive and which originates ORO directives related to that subject.
7. EXEMPTION. An exemption is a formally requested and approved relief, waiver, or release (either temporary or permanent) from an applicable law, Rule, or DOE/ORO directive requirement.
8. FUNCTIONAL AREA. A major program area that is applicable to DOE operations. Examples of ES&H functional areas include Fire Protection, Radiation Protection, Environmental Protection, etc.
9. IMPLEMENTATION ASSUMPTION. A statement within a WSS set or S/RID that documents how a standard or requirement is applied for the specific site or facility or by a contractor. An assumption may define applicability, clarify the intent of the requirement, provide cross-references, or define basic assumptions used in applying the requirement. DOE approves implementation assumptions during the adequacy review and approval process. Changes to the assumptions must also be approved by DOE.

10. IMPLEMENTATION GUIDANCE. (As referenced in WSS) Is not a requirement but is suggested guidance for implementing WSS or S/RID.
11. IMPLEMENTATION PLANS. Specify actions and schedules for achieving compliance with new/revised contract requirements and provide appropriate information to support the proposed actions. Implementation plans cover new and revised requirements which the contractor is unable to implement within existing funds and/or 180 calendar days from the date the COR requested an impact assessment (for administrative directives) or from the COR approval date of the change to WSS or S/RID. (See para 5d(2) 2<sup>nd</sup> bullet of Chapter VI, DIRECTIVE IMPLEMENTATION PLANS AND EXEMPTION REQUESTS)
12. IMPLEMENTING DOCUMENTS. Implementing documents include, but are not limited to, policies, procedures, engineering drawings, training materials, job postings, education/qualification documents, permits, and Safety Analysis Reports that specify the actions and conditions necessary to operate in accordance with applicable requirements.
13. OPERATIONAL EXPERT. Personnel knowledgeable of site/facility activities, processes, programs, policies, and procedures (e.g., Facility Representative, Facility Manager, etc.).
14. PRINCIPAL STAFF. Includes the Manager; Deputy Manager; Deputy for Business Affairs; Deputy for Operations; Director, Public Affairs Office; Diversity Programs and Employee Concerns Manager; Office of Partnerships and Program Development; Chief Counsel; all Assistant Managers, all Division/Office Directors; all Site Managers, Branch Chiefs, and Team/Group Leaders.
15. REQUIREMENT. A specific sentence, paragraph, or section within a source document that prescribes explicit actions, responsibilities, or criteria that must be met because of either legal or contractual obligations. References included in a reference section are not considered to be requirements, nor are broad and general policy statements. Contractual requirements do not become binding upon contractors until placed in the CRB. However, applicable requirements from Federal, state, and local laws and regulations are binding even if they are not mentioned in the contract.
16. SOURCE DOCUMENT. The standard in which a requirement originates, such as DOE/ORO directives or Rules, laws, regulations, or voluntary consensus standards. An organization's internal policies and procedures are implementing documents, not sources of requirements.
17. STANDARD. Standards are the expressed expectations for performance of work. Standards may be reference points against which to measure excellence or they can become enforceable requirements (either under law or under DOE contract). An organization's internal policies and procedures are implementing documents, not standards. Standards are also referred to as source documents. Standards include Federal, state, and local laws and regulations; DOE/ORO directives; and voluntary consensus standards that protect the environment, the safety and health of workers, and the public.
18. STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENT (S/RID). An S/RID lists the necessary and sufficient set of ES&H-related requirements to be implemented by a site, facility,

activity, or contractor to achieve an adequate level of protection of worker(s), the public safety and health, and the environment. S/RID requirements are structured by functional area.

19. SUBJECT MATTER EXPERT. An individual with experience and education or training in a particular functional area, sufficient to serve as a technical advisor on matters relating to that functional area. Subject matter experts may serve as assessors, prepare and/or review corrective action plans and implementation plans, help develop or review WSS sets, and review S/RID and WSS set change packages.
20. TAILORED APPROACH. A method of implementing a requirement to the extent appropriate and necessary based upon the specific mission, activities, and hazards at a site or facility.
21. VOLUNTARY CONSENSUS STANDARDS. A prescribed set of rules, conditions, or best management practices developed or adopted by a voluntary consensus standard body, both domestic and international (e.g., American Society of Mechanical Engineers, American Nuclear Society). Per the Office of Management and Budget Circular A-119, dated February 19, 1998, a voluntary consensus standard is one that has been adopted by a voluntary consensus standard body, and industry standards, company standards, and de facto standards are not considered to be voluntary consensus standards.
22. WORK SMART STANDARDS (WSS) SETS. WSS sets are the necessary and sufficient set of requirements to meet performance expectations and objectives for providing adequate protection to workers, the public, and the environment. The process of developing the WSS set includes (a) defining the work and associated hazards, (b) creating the teams, (c) defining the protocols and documentation requirements, (d) identifying the set of standards/requirements, (e) confirming the WSS set, if necessary, and (f) approving the set. Approved WSS sets are placed in the contract by contract modification.

## KEY PERSONNEL DATA GATHERING FORM

Revision 5.0  
03/09/1999

Name: \_\_\_\_\_

Organization/Site/Routing Symbol: \_\_\_\_\_

Current Job Title: \_\_\_\_\_

### EDUCATION (Degree & Subject)

- Undergraduate: \_\_\_\_\_
- Graduate: \_\_\_\_\_
- Special Training (Such as Navy Nuclear, Commercial Nuclear, etc.):  
\_\_\_\_\_

### EXPERIENCE

- Pertinent Licenses or Certifications: \_\_\_\_\_
- Technical Society Memberships: \_\_\_\_\_
- Describe Your Principle Job-Related Activities: \_\_\_\_\_
- Areas of Expertise (Maximum of Three): \_\_\_\_\_

Total Years of Technical/Related Experience: \_\_\_\_\_

Total Years of Nuclear Experience: \_\_\_\_\_

Nuclear Experience Summary: (Specify how Nuclear years were achieved)

(1) DOE: \_\_\_\_\_ (2) NRC: \_\_\_\_\_ (3) M&O Contractor/ERMC: \_\_\_\_\_ (4) Support Contractor: \_\_\_\_\_  
(5) Navy: \_\_\_\_\_ (6) Consultant: \_\_\_\_\_ (7) Other (Specify): \_\_\_\_\_

Participation in Technical Standards—Provide name of committee and/or subject and date of any publications:

\_\_\_\_\_

Relevant Technical Training (Indicate course(s), seminar(s), or conference(s) pertinent to your job function)  
(Limited to the last 5 years)—attach additional sheets of paper as necessary:

<u>Course/Seminar/Conference Title</u>	<u># of Hrs./Duration</u>	<u>Date Completed</u>
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Privacy Act Notice: This information is provided pursuant to the Privacy act of 1974, 5 U.S.C. 552a, for current and former DOE employees.

#### DOE-1 DOE PERSONNEL AND GENERAL EMPLOYMENT RECORDS

Collection of the information requested on this form is authorized by 5 U.S.C. 301, the Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; 5 U.S.C. 2102 Et. Seq.; Executive Order 12009; OMB Regulations.

The personal information obtained from this form is maintained in system of record DOE-1, DOE Personnel and General Employment Records.

Disclosure of the information on this form is voluntary, however, without appropriate documentation of experience it would be difficult for oversight personnel to verify technical expertise.

Routine uses of information maintained in this system, including categories of users and the purposes of such uses are listed in Appendix B. Federal Register, Vol. 47, No. 64, dated April 2, 1982.