

ISMS Training Document
Track 2, Activity 9 – November 2010
Work Authorization

Activity

Describe the Department of Energy (DOE) and Oak Ridge Office (ORO) work authorization processes. This relates to the ISM Core Principle 7, Operations Authorization.

At the completion of this activity, fill out the Self-Certification Form certifying that you have read this activity sheet.

Note: When regulations, DOE directives, or other industry standards are referenced in this ISMS activity, please use the most recent version.

Key Documents

- [DOE O 241.1, *Scientific And Technical Information Management*](#)
 - [DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*](#)
 - [DOE M 411.1-1, *Safety Management Functions, Responsibilities, and Authorities Manual*](#)
 - [DOE O 412.1, *Work Authorization System*](#)
 - [DOE O 425.1, *Verification of Readiness to Start Up or Restart Nuclear Facilities*](#)
 - ORO Directives Management Group, Key Management Documents, http://www-internal.oro.doe.gov/dmg/oro_keymanagementdoc.htm
 - SCMS Procedures or other Oak Ridge Office documents
-

What's In It For Me

No work* at a DOE facility can be started and performed until the contractor receives both funding and the formal authorization to proceed. The key directives above stipulate how the contractor applies for and receives approval to commence work.

The completion of this activity will help you gain an understanding of DOE's and ORO's work authorization process.

*Refer to DOE O 412.1 for the specific types of work that are excluded from this authorization process.

DOE's Work Authorization Process

The "work authorization" is the contractor's internally documented process or system that ensures work is properly authorized and assigned at the appropriate organizational levels prior to beginning the work.

To implement DOE's work authorization process, the applicable DOE contractors must comply with the following requirements:

1. Indicate acceptance of the work by signing the work authorization and returning signed copies to the field element and to the Headquarters program budget point of contact.
 2. Carry out the work agreed to in the work authorization consistent with
-

ISMS Training Document
Track 2, Activity 9 – November 2010
Work Authorization

its terms and conditions.

3. Complete the reporting requirements as described in the work authorization. At a minimum, each work authorization will require one technical progress report each fiscal year, a final technical report at the termination of the work assignment, and an annual report of costs incurred in relation to authorized funding.
4. Make technical information available to the DOE Director of Scientific and Technical Information in accordance with the requirements of DOE O 241.1, *Scientific And Technical Information Management*.
5. Submit field work proposals as requested.

**ORO's Work
Authorization
Process**

The safety of those performing work is ultimately in the hands of the workers themselves. However, each and every aspect of the preparation and planning for that work must be performed in a manner that ensures the worker has all materials, training, equipment, supervision, and technical support necessary to complete the assigned task successfully, safely, and efficiently. No activity should begin or facility started unless the consequences of operation to the worker, public, and environment are understood. Further, this includes identifying responses to high-probability events such that operations can be safely shut down.

Although ORO employees do not directly perform the work, the Department must be aware of, and contribute to, the conditions under which work is performed. The Department must be able to recognize and respond to significant enhancements or detriments in the work environment. Primary methods include appropriate levels of readiness review, direct observation of contractor operations, and monitoring for significant events, followed by analysis to understand impacts on agreed to conditions of operation and performance measures.

The Department reserves the right to approve operations for certain categories of hazardous activities prior to startup. Less hazardous operations are approved through contract terms and conditions and an assurance that the contractor has an appropriate infrastructure for safe operations. DOE O 425.1D, *Verification of Readiness to Start Up or Restart Nuclear Facilities* establishes requirements for verifying readiness for startup of new Hazard Category 1, 2, and 3 nuclear facilities, activities, and operations, and for restart of existing Hazard Category 1, 2, and 3 nuclear facilities, activities, and operations that have been shut down.

The Department has a vital role in assessing the safe conduct of work, a role that stems from its unique responsibilities as owners of the facilities and trustees of the Federal and public interests. DOE has responsibility to conduct assessments of contractor compliance. DOE, like the contractor, must feel confident that all agreements are being fulfilled, and retains-at all times-the authority to stop work should it identify violations of the agreement that significantly diminish the safety of workers, the public, or the environment.

ISMS Training Document
Track 2, Activity 9 – November 2010
Work Authorization

To Learn More

Click on these documents for more information about DOE's and ORO's work authorization processes.

- [DOE M 411.1-1, *Safety Management Functions, Responsibilities, and Authorities Manual*](#)
 - [DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*](#)
 - [DOE O 412.1, *Work Authorization System*](#)
 - [DOE O 425.1, *Verification of Readiness to Start Up or Restart Nuclear Facilities*](#)
 - ORO Directives Management Group, Key Management Documents, http://www-internal.oro.doe.gov/dmg/oro_keymanagementdoc.htm
 - SCMS Procedures or other Oak Ridge Office documents <http://scms.sc.doe.gov>
-