

**ISMS Training Document**  
**Track 2, Activity 2 – September 2011**  
**Functions, Responsibilities, and Authorities (FRA) Document**

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**Activity**

Describe the significant safety requirements and responsibilities for Oak Ridge Office (ORO) Federal employees, as described in SCMS Procedures or other Oak Ridge Office documents.

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

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

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**Key Documents**

1. [DOE P 450.4A, \*Integrated Safety Management Policy\*](#)
  2. [DOE O 450.2, \*Integrated Safety Management\*](#)
  3. [10 CFR 851, \*Worker Safety and Health Program\*](#)
  4. DOE O 440.1B, *Worker Protection Program for DOE (including the National Nuclear Security Administration) Federal Employees*
  5. ORO Directives Management Group, Key Management Documents, [http://www-internal.oro.doe.gov/dmg/oro\\_keymanagementdoc.htm](http://www-internal.oro.doe.gov/dmg/oro_keymanagementdoc.htm)
  6. SCMS Procedures or other Oak Ridge Office documents
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**What's In It For Me**

The FRA document describes ORO's functions, responsibilities, and authorities for ORO staff to comply with and adhere to ISMS functions while executing their work activities. The completion of this activity will help you gain an understanding of the FRA document so that you are better able to apply the safety requirements outlined in the FRA document to your job.

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**What's In the ORO FRA Document**

DOE P 450.4A states the expectation that all organizations "embrace a strong safety culture where safe performance of work and involvement of workers in all aspects of work performance are core values that are deeply, strongly, and consistently held by managers and workers." The ultimate responsibility and accountability for ensuring adequate protection of the workers, the public, and the environment from the operation of DOE facilities rests with DOE line management. One way the Department meets this responsibility is by establishing functions and clear lines of responsibilities, authorities, and appropriate accountabilities.

DOE O 450.2 requires line management and support organizations with safety management responsibilities to develop, issue, and maintain an organizational Functions, Responsibilities, and Authorities (FRA) document. The document is to describe the organization and management structure, identify the safety management functions applicable to the organization, identify the organization's functions and authorities that have been transferred to or from another organization or derived from a DOE safety directive or applicable governmental agency, and identify who within the organization has the responsibility and authority to perform those functions. The FRA document for program offices that have direct operations at locations where more than one DOE program office have work

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conducted must contain applicable memoranda of understanding that define the allocation of safety management functions and responsibilities among the program offices. These requirements apply to both the Program Secretarial Officers and the Heads of Field Elements.

The ORO FRA document contains the assignment of functions, responsibilities, and authorities that flow from the Office of Science FRA document. These assignments are captured in SCMS Procedures or other Oak Ridge Office documents that are listed in the ORO FRA document. The standards and requirements identified in the FRA document represent the significant requirements for the Federal employees for oversight of their own and the contractor's implementation of environment, safety, and health programs. The FRA document is a living document that will undergo change and be reviewed and updated periodically.

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**Key Safety  
Responsibilities and  
Authorities**

The FRA document describes safety management functions (or mechanisms), responsibilities, and authorities for ORO's organizations engaged in the management and oversight of the performance of work in the Oak Ridge Reservation. This includes the planning, funding, performing, assessing, improving, and enforcing the safety requirements.

Specifically, reflecting the principles of ISMS, the FRA document identifies ORO's functions, responsibilities, and authorities for the major ISMS activities:

1. Define the scope of work.
2. Analyze the hazards.
3. Develop and implement hazard controls.
4. Perform work within the controls.
5. Provide feedback and continuous improvement.

Other key safety mechanisms called out in the FRA document include safety basis, quality assurance, radiation protection, accident investigation, beryllium disease prevention, and start-up and restart of nuclear facilities.

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**Oversight of Safety**

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

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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.

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. To ensure the safe conduct of work and continuous improvement, DOE must assure and maintain the competence of those personnel who perform and assess the work.

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**To Learn More**

Click on these documents for more information about how the FRAM is applied at ORO.

- [10 CFR 851, Worker Safety and Health Program](#)
  - [DOE M 411.1-1, Safety Management Functions, Responsibilities, and Authorities Manual](#)
  - [DOE P 411.1, Safety Management Functions, Responsibilities, and Authorities Policy](#)
  - ORO Directives Management Group, Key Management Documents, [http://www-internal.oro.doe.gov/dmg/oro\\_keymanagementdoc.htm](http://www-internal.oro.doe.gov/dmg/oro_keymanagementdoc.htm)
  - SCMS Procedures or other Oak Ridge Office documents
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