

OVERVIEW OF DEPARTMENT OF ENERGY (DOE) ORDER AND POLICY DIRECTIVES RELEVANT TO LONG-TERM STEWARDSHIP

DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Policy</u> Long-term Stewardship Transition to Site Landlord December 15, 2000	DOE facilities with continuing non-Environmental Mgt. (EM) missions	Residual Site Hazards Management	Directs the Principal Secretarial Officer (PSO) to accept responsibility for the conduct of long-term stewardship activities at PSO landlord sites with a continuing non-Environmental Management mission after Environmental Management (EM) missions activities at the site are completed.
<u>LTS Transition Policy Provisions</u> Annual Departmental reporting requirement	DOE EM sites and sites anticipated to enter LTS within three years	Residual Site Hazards Management	EM Office of Long-term Stewardship shall prepare and present to the DOE Chief Financial Officer (CFO), Chief Information Officer (CIO), and Field Management Council an Annual Management Report on status of the long-term stewardship program by December 17, 2001 and annually thereafter. The report shall include EM sites and sites expected to enter long-term stewardship within the following three years. Principal Secretarial Officers (PSOs) conducting long-term stewardship shall provide input to the Office of Long-term Stewardship for preparation of the Annual Management Report.
<u>LTS Transition Policy Provisions</u> Project Baseline Summary (PBS)	EM Landlord to which responsibility will be transferred	Residual Site Hazards Management	Prior to long-term stewardship transition from EM to PSO, EM and PSO shall develop an LTS baseline that describes the scope of LTS program management, baseline technical activities, projected schedule, and anticipated costs.
<u>LTS Transition Policy Provisions</u> Project Baseline Summary (PBS)	PSO to which LTS responsibility will be transferred	Residual Site Hazards Management	Site landlords are responsible for updating the LTS operating baseline after the transfer of LTS responsibility from EM.
<u>LTS Transition Policy Provisions</u> Long-term stewardship budget authority and budget target	EM Landlord to which responsibility will be transferred, in cooperation with the accepting PSO	Residual Site Hazards Management	Prior to long-term stewardship transition from EM to PSO, EM will transfer budget authority and budget target in accordance with DOE Order 430.1 (LCAM) equivalent to the level required for long-term stewardship at the site.
<u>LTS Transition Policy Provisions</u> Approval of long-term stewardship documents with stakeholders and regulators	EM Landlord to which responsibility will be transferred, in cooperation with the accepting PSO	Residual Site Hazards Management	Prior to long-term stewardship transition from EM to PSO, EM retains the responsibility for approval of long-term stewardship documents until responsibility for long-term stewardship is formally transferred.

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<u>LTS Transition Policy Provisions</u> Memorandum of Agreement (MOA)	EM Landlord to which responsibility will be transferred in cooperation with accepting PSO	Residual Site Hazards Management	Each MOA for transfer of long-term stewardship responsibility should address: -EM responsibilities in the transfer of long-term stewardship activities; -the definition of the point where EM is no longer responsible for long-term stewardship and the point at which transition will occur; -how activities associated with the long-term stewardship program are paid for at sites owned by landlords; and -EM or landlord responsibilities if additional site remedial actions are required.
<u>LTS Transition Policy Provisions</u> Formal agreement with landlord PSO	Sites where EM is requested to perform LTS activities at a site operated by a landlord PSO	Residual Site Hazards Management	Formal agreements for EM to conduct LTS activities at landlord PSO sites are to be determined as required based on PSOs requests to EM. Agreements shall identify long-term stewardship issues to be addressed and their resolutions.
<u>DOE Policy</u> Long-term Stewardship Responsibility January 19, 2001	DOE facilities with continuing non-EM missions	Residual Site Hazards Management	Implements the December 15, 2000 Secretarial Policy for DOE EM long-term stewardship activities and DOE EM sites.
<u>LTS Responsibility Policy Provisions</u> Site-specific long-term stewardship plan	EM Landlord Operations Office and Field Office	Residual Site Hazards Management	Each EM Landlord Operations Office and Field Office shall provide a schedule for preparation of site-specific long-term stewardship plans to DOE EM by March 15, 2001, and prepare site-specific long-term stewardship plans in accordance with the schedule.
<u>LTS Responsibility Policy Provisions</u> Site-specific long-term stewardship plan	EM Landlord Operations Office and Field Office	Residual Site Hazards Management	Each EM Landlord Operations Office and Field Office shall incorporate the site-specific long-term stewardship plans into each geographic site's PBS for FY04.
<u>LTS Responsibility Policy Provisions</u> Annual Departmental reporting requirement	DOE EM sites and sites anticipated to enter LTS within three years	Residual Site Hazards Management	EM Office of Long-term Stewardship shall prepare and present to the DOE CFO, CIO, and Field Management Council an Annual Management Report on status of the long-term stewardship program by December 17, 2001 and annually thereafter. The report shall include EM sites and sites expected to enter long-term stewardship within the following three years. PSOs conducting long-term stewardship shall provide input to the Office of Long-term Stewardship for preparation of the Annual Management Report.

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<u>LTS Responsibility Policy Provisions</u> Memorandum of Agreement	EM Landlord to which responsibility will be transferred in cooperation with the accepting PSO	Residual Site Hazards Management	Prior to long-term stewardship transition from EM to PSO, EM and PSO shall identify long-term stewardship issues to be addressed and their resolutions, and then incorporate them into a MOA for the transfer of LTS responsibility.
<u>DOE Policy American Indian and Alaska Native Tribal Government Policy</u> October 31, 2000.	All DOE Elements	Natural and Cultural Resources, Public Justice	Sets forth principles to be followed by DOE to ensure effective implementation of a government-to-government relationship with American Indian and Alaska Native Tribal governments. The most important doctrine derived from this relationship is the trust responsibility of the United States to protect tribal sovereignty and self-determination, tribal lands, assets, resources, and treaty and other federally recognized and reserved rights. The Policy provides direction to all Departmental officials, staff, and contractors regarding the fulfillment of trust obligations and other responsibilities arising from Departmental actions which may potentially impact American Indian and Alaska Native traditional, cultural and religious values and practices; natural resources; treaty; and other federally recognized and reserved rights.
<u>DOE Policy Provisions</u> Section II, Section III, Section IV	Tribal Consultation	Natural and Cultural Resources, Public Justice	DOE recognizes and commits to a government-to-government relationship with Tribal governments and will institute appropriate protocols and procedures for program and policy implementation. The Department will establish mechanisms for outreach, notice, and consultation, and ensure the integration of Tribal governments into decision-making processes. The Department will consult with Tribal governments concerning any property of cultural or religious importance to a Tribe that may be affected by a DOE action.
<u>DOE Policy 141.1 DOE Management of Cultural Resources</u> May 2, 2001	All Departmental Elements	Cultural Resources	Establishes policy to ensure that DOE programs integrate cultural resource identification, evaluation, and management into DOE missions and activities. Identifies authorities applicable to DOE management of cultural resources and establishes management accountability for compliance with Executive Orders, statutes, regulations, treaties, DOE orders, and implementation guidance concerning cultural resources management.
<u>DOE Policy 141.1 Provisions</u> Section 1.a., 1.b., Responsibilities	Tribal Consultation	Cultural Resources	Tribal consultation concerning cultural resources will occur through a formal documented process consistent with DOE Order 1230.2, <i>American Indian and Alaska Native Tribal Government Policy</i> .

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<u>DOE Policy 141.1 Provisions</u> Section 1.c., 1.d., Responsibilities	Cultural Resources Management	Cultural Resources	DOE managers will develop, implement and periodically review the Cultural Resources Management Plan for their site. Plans should be consistent with the <i>Environmental Guidelines for Development of Cultural Resource Management Plans</i> (DOE/EH-051, August 1995), and develop cultural resource management strategies for specific DOE actions.
<u>DOE Policy 141.1 Provisions</u> Section 1.e., 1.f., Responsibilities	Planning and appropriations	Cultural Resources	Secretarial officers' activities will include planning and budgeting appropriate levels of effort and funding for management of cultural resources. Cultural resource professionals will meet Department of Interior qualification guidelines.
<u>DOE Policy 411.1</u> Safety Management Functions, Responsibilities, and Authorities Policy January 28, 1997	All Departmental Elements except Naval Fuels and Power Marketing	Residual Site Hazards Management, Health/Safety Management	Defines the DOE safety management functions, responsibilities and authorities to ensure that work is performed safely and efficiently. Implementation policies and procedures are in DOE Manual 411.1-1A <i>Safety Management Functions, Responsibilities, and Authorities Manual</i> issued October 18, 1999.
<u>DOE Policy 411.1 Provisions</u> Safety Management Functions, Roles and Responsibilities, Policy	All Departmental Elements except Naval Fuels and Power Marketing	Residual Site Hazards Management, Health/Safety Management	To implement the policy, Departmental elements shall: <ul style="list-style-type: none"> – Develop and implement requirements and standards which are necessary to provide reasonable assurance that workers, the public, and the environment are adequately protected; define essential safety management functions; and establish unambiguous roles, responsibilities, and authorities for executing these functions – Clarify the roles, responsibilities, lines of authority, and delegations between headquarters and field organizations, and define functional relationships and responsibilities among line, support, oversight, and enforcement organizations. – Ensure compliance with legal and contractual requirements, and address the coordination of line direction from multiple program offices at a single site.
<u>DOE Policy 411.1 Provisions</u> Safety Policy Implementation, Organizational and Operational Documents	Departmental line, support, oversight, and enforcement organizations	Residual Site Hazards Management, Health/Safety Management	DOE Manual 411.1, <i>Department of Energy Manual for Safety Management Functions, Responsibilities and Authorities</i> , establishes the framework to achieve policy objectives. Each DOE line, support, oversight, and enforcement organization is responsible for establishing and documenting how the specific functions and responsibilities assigned to them in the Manual are discharged. Separate organizational and operating documents will be prepared by each organization to define how its functions are to be carried out and to identify who has the responsibility and authority to do so.

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<u>DOE Policy 430.1</u> Land and Facility Use Policy December 21, 1994	All Departmental Elements	Land and Real Property Management	DOE policy is to manage its land and facilities as valuable national resources. DOE stewardship will be based on the principles of ecosystem management and sustainable development. DOE shall integrate its mission and other economic, ecological, social and cultural factors into a comprehensive plan for each site to guide land and facility use decisions. Each comprehensive land use plan will consider the site's larger regional context and will be developed with stakeholder participation.
<u>DOE Policy 430.1</u> Land and Facility Use Planning Policy July 9, 1996	All Departmental Elements	Land and Real Property Management	Land and Facility Use Planning is a formal, integrated planning process to ensure DOE understands what development is possible, when it is possible, and where it is possible. The comprehensive land use planning process identifies the current condition of existing land and facility assets, as well as the scope of constraints across the site and the surrounding region. Long-term sustainable development goals are needed for focusing efforts to steward these assets. The process uses these goals to identify the possible land and facilities use options. DOE sites are given, under the life cycle asset management approach, the responsibility to tailor the process to local conditions and existing activities which impact the planning for DOE's land and facility assets. These include, but are not limited to, the NEPA process, site planning and asset management, public participation, economic development under community re-use organizations, privatization of assets, site strategic planning, environmental justice, cultural asset management, historic preservation, and natural resource management.
<u>DOE Policy 441.1</u> DOE Radiological Health and Safety Policy April 26, 1996	All Departmental Elements except Naval Fuels	Health/Safety Management	Establishes the DOE's radiological health and safety policy as a basis for DOE radiological control programs. Establishes the policy to conduct radiological operations to ensure the protection of the health and safety of employees, contractors, and the general public. Establishes the framework for DOE to create and maintain a system of regulatory policy and guidance for radiation protection standards.
<u>DOE Policy 441.1 Provisions</u> Section 3.E., Policy	Public exposure assessment	Health/Safety Management	Ensures that radiological measurements, analyses, worker monitoring results, and estimates of public exposures are accurate and appropriately constructed.

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<u>DOE Policy 441.1 Provisions</u> Section 3.F., Policy	Conduct of Radiological Operations	Health/Safety Management	DOE must conduct radiological operations in order to control the spread of radioactive materials, reduce exposure to the workforce and the general public, and utilize a process that seeks exposure levels as low as are reasonably achievable.
<u>DOE Policy 441.1 Provisions</u> Section 3.G., Policy	Design of new and existing facility modifications	Health/Safety Management	Incorporates dose reduction, contamination reduction, and waste minimization features into the design of new facilities, and significant modifications to existing facilities, in the earliest planning stages.
<u>DOE Policy 450.1</u> Environment, Safety and Health Policy for the Department Of Energy Complex June 15, 1995	All Departmental Elements	Health/Safety Management	Establishes guiding principles for the protection of the environment, health, and safety while DOE activities are being conducted. These principles include: establishing a systematic approach to activities that affect the environment, health, and safety; implementing risk identification and management; and establishing clear ownership and accountability for all activities that affect the environment, safety, and health.
<u>DOE Policy 450.2A</u> Identifying, Implementing, and Complying With Environment, Safety and Health Requirements May 15, 1996	All Departmental Elements	Health/Safety Management	Establishes the framework for identifying, implementing, and complying with environment, safety and health (ES&H) requirements so that work is performed in a manner that ensures the adequate protection of workers, the public and the environment. The policy applies to requirements that are designed to protect the workers, public, and environment from hazards associated with DOE activities. The Policy advocates an integrated review of safety requirements, including an analysis of the work to be performed, potential hazards associated with the work, and administrative and operational controls required to conduct the work safely. On the basis of the analysis, an appropriate set of ES&H requirements is to be identified to ensure adequate protections. These include all applicable statutory and regulatory requirements and DOE Orders and other standards determined as appropriate to be incorporated as contractual requirements for DOE contractors.

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<u>DOE Policy 450.4</u> Safety Management System Policy October 15, 1996	All Departmental Elements except Naval Fuels	Health/Safety Management	Establishes DOE Policy that safety management systems described herein shall be used to systematically integrate safety into management and work practices at all levels so that missions are accomplished and the public, the workers, and the environment are protected. The term “safety” is used synonymously with “environment, safety and health” (ES&H) to encompass the protection of the public, the workers, and the environment. The safety management system consists of six components that are described in the policy: 1) objective, 2) guiding principles, 3) core functions, 4) mechanisms, 5) responsibilities, and 6) implementation.
<u>DOE Policy 450.5</u> Line Environment, Safety and Health Oversight June 26, 1997	All Departmental Elements, except Naval Fuels and DOE Office of Independent Oversight (EH-2)	Health/Safety Management	Establishes policy to conduct Environment, Safety, and Health (ES&H) line oversight in a cost-effective, coordinated, integrated, and efficient manner that is seamless to contractors. The policy provides for a review of facility performance against formally established ES&H performance measures, other ES&H performance indicators, and the use of contractor self-assessments, and periodic, value-added appraisals of sufficient frequency and duration to confirm that the contractors are safely performing their work and that the self-assessment program is effective.
<u>DOE Policy 450.6</u> Secretarial Policy Statement on Environment, Safety, and Health April 14, 1998	All Departmental Elements	Health/Safety Management	Establishes policy for and the responsibility for all DOE management and workers to implement Integrated Safety Management throughout DOE.
<u>DOE Policy 1210.1</u> Public Participation July 29, 1994	All Departmental Elements	Public Justice	The policy is intended to ensure that public participation is an integral and effective part of DOE activities and that decisions are made with the benefit of important perspectives of the public.
<u>DOE Policy 1201.1 Provisions</u> Goals	All Departmental Elements	Public Justice	The goals of the policy are for DOE to actively seek and consider public input and incorporate or otherwise respond to the views of stakeholders in making decisions; to inform the public of DOE activities in a timely manner; empower the public to participate in the DOE decision process; and incorporate credible and effective public participation processes into DOE program operations, planning and decision making. Policy implementation procedures are clarified in <i>Guidance on Implementation of the Department’s Public Participation Policy</i> issued on July 29, 1994

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<p><u>DOE Order 151.1A</u> Comprehensive Emergency Management System</p>	<p>All Departmental Elements, except Naval Fuels, Power Marketing, activities licensed by NRC</p>	<p>Health/Safety Management</p>	<p>Establishes policy and assigns and describes roles and responsibilities for the DOE Emergency Management System (EMS). The EMS provides a framework for the development, coordination, control, and direction of DOE emergency planning, preparedness, response, recovery, and readiness assurance activities. The Order describes the approach for the effective integration of these activities under a <i>comprehensive, all-emergency concept</i>. This ensures that the EMS is prepared to respond to any emergency involving DOE facilities/sites, activities, or operations, in order to protect workers, the public, the environment, and national security. DOE Guide 151.1A, <i>Emergency Management Guide</i> provides non-mandatory guidance for the implementation of DOE Order requirements.</p>
<p><u>DOE Order 151.1A Provisions</u> Section 4, Requirements 4(12) and 4(13)</p>	<p>All DOE facilities and particularly DOE facilities having significant quantities of hazardous materials</p>	<p>Health/Safety Management</p>	<p>Each DOE facility shall have an Operational Emergency Base Program that implements the requirements of applicable Federal, State, and local laws, regulations, and ordinances for fundamental worker safety programs (e.g., fire, safety, and security.) In addition, each DOE facility with significant quantities of hazardous materials (radiological and non-radiological) shall develop and maintain a quantitative hazards assessment and meet more detailed emergency planning requirements. Hazardous materials include any solid, liquid, or gaseous material that is toxic, flammable, radioactive, corrosive, chemically reactive, or unstable during prolonged storage in quantities that could pose a threat to life, property, or the environment.</p>
<p><u>DOE Order 200.1</u> Information Management Program</p>	<p>All Departmental Elements, except activities licensed by NRC</p>	<p>Residual Site Hazards Management, Public Justice</p>	<p>Provides a framework for managing information, information resources, and information technology investments. Supports DOE operating elements for the accomplishment of its missions and functions in both an efficient and effective manner, and in accordance with Departmental policy.</p>
<p><u>DOE Order 200.1 Provisions</u> Section 4a., 4b., Requirements</p>	<p>DOE information management organizations</p>	<p>Residual Site Hazards Management, Public Justice</p>	<p>Information, information resources, and information technologies shall be managed in a manner that supports the strategic and operational plans of DOE. Information management activities shall be established, maintained, and managed in a manner that addresses DOE policy and that implements appropriate laws and regulations as specified in Attachment II, References, of the Order.</p>

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<u>DOE Order 210.1</u> Performance Measures and Analysis of Operations Information	All Departmental Elements except Naval Fuels	Health/Safety Management, Residual Site Hazards Management	Establishes a framework for DOE elements to identify, monitor, and analyze data that measures the Environment, Safety and Health (ES&H) performance of DOE facilities, programs, and organizations. Data is to be used to demonstrate improving or deteriorating performances relative to identified goals. The data is to be used in conjunction with a program to analyze and correlate the information in order to suggest necessary improvements through the identification of good practices and lessons learned.
<u>DOE Order 210.1 Provisions</u> Section 4a, 4b., Requirements	Developing and implementing performance indicators	Health/Safety Management, Residual Site Hazards Management	DOE elements shall establish and implement a program that identifies, gathers, verifies, analyzes, trends, disseminates, and makes use of ES&H performance indicators to improve the performance of facilities, programs, organizations, and to perform root cause analyses as appropriate. Such requirements of the Order would apply to ES&H aspects of long-term stewardship activities and programs.
<u>DOE Order 210.1 Provisions</u> Section 4d, 4e., Requirements	Periodic review of performance indicators	Health/Safety Management, Residual Site Hazards Management	DOE elements shall maintain a management information system containing appropriate ES&H performance indicator data for historical reference. DOE shall also periodically assess performance indicator programs to verify that indicators are accurately measuring performance, and are resulting in improved performance.
<u>DOE Order 210.1 Provisions</u> Section 6., References	Developing and implementing performance indicators	Health/Safety Management, Residual Site Hazards Management	The Order references the Performance Based Management Special Interest Group (PBM SIG). Contact PBM SIG at: http://www.ornl.gov/pbm/documents/documents.html for supplemental information which may be used to fulfill the requirements of this Order.
<u>DOE Order 231.1 Chg. 2</u> Environment, Safety, and Health Reporting	All Departmental Elements, except Naval Fuels	Health/Safety Management, Public Justice	The Order ensures the collection and reporting of information on the environment, safety and health that is required by law or regulation to be collected, or that is essential to evaluate DOE operations. The Order identifies opportunities for improvement necessary for planning purposes within DOE.

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<u>DOE Order 231.1 Provisions</u> Section 4, Requirements, Roles, and Responsibilities	All Departmental organizations	Health/Safety Management, Public Justice	Reports listed under the Responsibilities and Contractor Requirements document shall be submitted in accordance with the Environment, Safety, and Health Reporting Manual which specifies in detail the reports that shall be filed, the persons or organizations responsible for filing the reports, the recipients of the reports, the format in which the reports shall be prepared, and the time schedules by which the reports shall be filed. Procedures, protocols, or other methods shall be developed on a site-wide or facility-wide basis to meet the mandatory reporting requirements contained in Chapters 1 and 2 of Manual 231.1-1. Reporting requirements include NEPA reporting and the reporting of public and worker radiological exposure.
<u>DOE Order 413.3</u> Program and Project Management for the Acquisition of Capital Assets	All Departmental Elements, except Naval Fuels	Residual Site Hazards Management	Establishes the framework to provide DOE project management directions for the acquisition of capital assets (including facilities and environmental restoration projects) that are delivered on schedule, within the budget, and are fully capable of meeting standards for DOE's mission, performance, and environment, safety, and health.
<u>DOE Order 413.3 Provisions</u> Chapter I.3.a. – Critical Decisions Chapter I.3.b.-- Critical Decisions	Environmental Restoration Projects and Facility Disposition Projects	Residual Site Hazards Management	For Environmental Restoration (ER) Projects and Facility Disposition (FD) Projects, Critical Decision Documents (CDs) are required under the Order (e.g. CD-4, Project Closeout, prerequisite being the completion of all administrative, and closeout activities.) For ER projects, the site is transferred into the long-term stewardship program after the completion of Project Closeout documentation. For FD projects, the Order does not explicitly reference long-term stewardship.
<u>DOE Order 430.1A</u> Life Cycle Asset Management	All Departmental Elements except Naval Fuels	Residual Site Hazards Management	DOE shall plan, acquire, operate, maintain, and dispose of physical assets of valuable national resources. The management of physical assets from acquisition through operations and disposition shall be an integrated process linking the various life cycle phases. Long-term stewardship of these physical assets shall be accomplished in a safe and cost-effective manner in order to meet DOE missions, and to ensure the protection of the workers, public, and the environment. Industry standards, a graded approach, and performance objectives are incorporated.

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<u>DOE Order 430.1A Provisions</u> Section 6.d(1), d(5)	Management of DOE Assets	Residual Site Hazards Management	Asset management performance measures shall ensure formal planning and control methods for the acquisition, use, maintenance, leasing, and disposal of real estate and utilities. DOE elements are required to implement a comprehensive land use planning process which includes stakeholder involvement, and DOE shall establish a method to declare assets excess. However, the Order does not explicitly identify long-term stewardship as a performance measure.
<u>DOE Order 430.1A Provisions</u> Section 6.e(7)(b)	Project Planning and Execution	Residual Site Hazards Management	Prior to the commencement of project execution, project documentation (including life-cycle cost analysis) must be developed for approval. The project management system established by the Order does not require the approval of a long-term stewardship plan prior to the commencement of project execution.
<u>DOE Order 430.1A Provisions</u> Section 6.g(1)	Disposition of Physical Assets	Residual Site Hazards Management	The process for the disposition of physical assets shall ensure the application, as appropriate, of DOE Standard 1120-98, Integration of Environment, Safety, and Health into Facility Disposition Activities. This Standard identifies safety and health implications and regulatory considerations for phases of facility disposition, including deactivation, long-term surveillance and maintenance, and decommissioning.
<u>DOE Order 430.1A Provisions</u> Section 6.g(6)	Disposition of Contaminated Facilities	Residual Site Hazards Management	For the execution of contaminated facility dispositions, at a minimum DOE is required to develop a method to ensure that the deactivation, surveillance and maintenance, and decommissioning activities are appropriately planned, conducted, and documented in accordance with DOE integrated safety management and facility disposition policies. This includes an “end point process” that identifies deactivation and decommissioning end points and the activities necessary to achieve them. Long-term stewardship planning is not explicitly identified as a requirement for disposition of contaminated facilities; however, contaminated facilities that require stewardship activities after decontamination, decommissioning, and disposal would be subject to the requirements of this Order.
<u>DOE Order 430.1A Provisions</u> Section 6.i	Asset Management, Information Management	Land and Real Property Management	DOE’s corporate physical assets databases shall be maintained as complete and current inventories of the DOE physical assets. For real property, the corporate database is called the Facilities Information Management System (FIMS).

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<u>DOE Order 430.1A Provisions</u> Section 6.j	Asset Management	Residual Site Hazards Management	During the acquisition, operation, maintenance, leasing, and disposition of physical assets, DOE elements shall ensure that all applicable Federal, State, and local laws, regulations, and negotiated agreements are followed and that safeguards and security, as well as integrated safety management requirements and policies, are followed.
<u>DOE Order 435.1</u> Radioactive Waste Management	All Departmental Elements except Naval Fuels, and activities licensed by NRC	Residual Site Hazards Management, Health/Safety Management	All DOE radioactive waste shall be managed in a manner that is protective of the health and safety of workers, the public, and the environment. All radioactive wastes shall be managed as one of four waste categories: (1) high-level, (2) transuranic, (3) low-level, and (4) mixed low-level. Officials may utilize existing regulatory structures, processes, programs, and/or documentation in order to demonstrate compliance with DOE Order 435.1.
<u>DOE Order 435.1 Provisions</u> Section 3(b). Applicability, Radioactive Waste	Radioactive waste types as specified by DOE Order 435.1	Residual Site Hazards Management, Health/Safety Management	The Order applies to: (1) All high-level waste, transuranic waste, and low-level waste, including the radioactive component of mixed waste, for which DOE is responsible; (2) DOE accelerator-produced radioactive waste; and (3) If managed at DOE low-level waste facilities, byproduct materials as defined by AEA Section 11e.(2), or naturally occurring radioactive materials.
<u>DOE Order 435.1 Provisions</u> Section 3(d), Applicability, Exemptions	Exemptions from Order Provisions	Residual Site Hazards Management, Health/Safety Management	<ul style="list-style-type: none"> -Order Requirements that duplicate or conflict with requirements of NRC or a State do not apply to design, construction, operation, or decommissioning of OCRWM facilities as defined in DOE Headquarters Order 250.1, Exemptions -Order Requirements that duplicate or conflict with the <i>Waste Isolation Pilot Plant Land Withdrawal Act of 1992</i>, as amended, Public Law 102-579, do not apply to the operation of the WIPP or to any waste disposed of therein. -Unless managed in a low-level waste facility, Order requirements do not apply to byproduct material as defined in AEA Section 11e.(2), or naturally occurring radioactive material. The Order does not apply to either spent nuclear fuel or non-waste materials. -Upon request or on its own initiative, DOE may grant exemptions from the requirements of this Order in accordance with the process provided by DOE Manual 251.1-1A, Directives System Manual, as applicable.

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<u>DOE Order 435.1 Provisions</u> Section 4, Requirements	Management of radioactive waste	Residual Site Hazards Management, Health/Safety Management	DOE radioactive waste management activities shall be systematically planned, documented, executed, and evaluated. Radioactive wastes shall be managed to: (1) Protect the public from exposure to radiation from radioactive materials in accordance with DOE Order 5400.5 (2) Protect the environment in accordance with DOE Orders 5400.1 and 5400.5 (3) Protect workers in accordance with 10 CFR Part 835, <i>Occupational Radiation Protection</i> and DOE Order 440.1A, <i>Worker Protection Management</i> (4) Comply with applicable Federal, State, and local laws and regulations and applicable Executive Orders and other DOE directives.
<u>DOE Order 435.1 Provisions</u> Section 4, Requirements and Section 5, Responsibilities	Management of radioactive waste	Residual Site Hazards Management, Health/Safety Management	DOE Manual 435.1-1, <i>Radioactive Waste Management Manual</i> , identifies the specific roles and responsibilities for all DOE elements covered by DOE Order 435.1. DOE, within its authority, may impose such requirements, in addition to those established in this Order, as it deems appropriate and necessary to protect the public, workers, and the environment, or to minimize threats to property. Elements of DOE Manual 435.1-1 include specific procedures for managing radioactive waste; developing site-wide and facility-specific waste management plans; closing deactivated high-level waste facilities and sites; analyzing operations information and establishing performance measures; managing life-cycle assets; and <u>developing and maintaining records management systems</u> .
<u>DOE Order 450.1B</u> National Environmental Policy Act Compliance Program	All Departmental Elements except Naval Fuels	Public Justice	Establishes DOE internal requirements and responsibilities for implementing NEPA Council of Environmental Quality (CEQ) Regulations Implementing the Procedural Provisions of NEPA (40 CFR Parts 1500-1508), and the DOE NEPA <u>Implementing Procedures</u> (10 CFR Part 1021).
<u>DOE Order 470.2A</u> Security and Emergency Management Independent Oversight and Performance Assurance Program	All Departmental Elements except Naval Fuels	Health/Safety Management	Establishes the DOE Office of Independent Oversight and Performance Assurance as the focal point for the independent evaluation of DOE sites in the areas of safeguards and security, cyber security, and emergency management, including independent oversight and performance assurance appraisals of DOE emergency management program plans. Establishes responsibilities for responding to any threat to the workers, public, or the environment that has been identified through the appraisal process.

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 1230.2</u> American Indian Tribal Government Policy	All Departmental Elements except Naval Fuels	Public Justice	Establishes policy, procedures, roles, and responsibilities for DOE interactions with Native American Tribal Governments. The policy recognizes and commits to a government-to-government relationship with Native American Tribal Governments and it recognizes the Federal government's trust relationship as established in Federal Native American law and Tribal treaties. The policy establishes procedures for consultations with Tribal Governments concerning DOE decisions affecting Tribes or cultural resources or practices.
<u>DOE Order 4320.1B</u> Site Development Planning	Canceled effective March 3, 2001	Land and Real Property Management	DOE Order 4320.1B is canceled effective March 3, 2001 per DOE N 251.38, Cancellation of Directives, issued March 3, 2001.
<u>DOE Order 4300.1C</u> Real Property Management Policy	Canceled effective March 3, 2001	Land and Real Property Management	DOE Order 4300.1C is canceled effective March 3, 2001 per DOE N 251.38, Cancellation of Directives, issued March 3, 2001.
<u>DOE Order 4320.2A</u> Capital Asset Management Process	All Departmental Elements, except Naval Fuels, Power Marketing and GSA-managed facilities	Residual Site Hazards Management	Establishes policy and responsibilities for the management of DOE assets; for the prioritization of asset resource requirements; the implementation of the Condition Assessment Survey (CAS); and for the preparation of the Capital Asset Management Process (CAMP) Report.
<u>DOE Order 4320.2A Provisions</u> Scope, Definitions	Management of DOE Assets	Residual Site Hazards Management	Applies to any "asset" DOE owns, leases, or controls for "production, operation, research, development, or demonstration" and requires DOE to conduct a "Condition Assessment Survey" to determine the current condition of assets; their "estimated time to failure"; and the "estimated cost to correct the identified deficiencies." The Condition Assessment Survey is used as a tool to meet the requirements of DOE Order 4330.4B, Maintenance Management Program.
<u>DOE Order 4320.2A Provisions</u> Scope, Definitions	Management of DOE Assets	Residual Site Hazards Management	An "asset" is defined as any "tangible product of value, generally property or equipment, that has an anticipated service life of 2 years or more and a cost >= \$5,000." Engineered structures, monitoring, safety and security systems, and other "stewardship assets" are components of long-term stewardship and would meet the definition of "asset" as specified in the Order.

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 4320.2A Provisions</u> Scope, Definitions	Management of DOE Assets	Residual Site Hazards Management	The “life-cycle plan” referred to in this Order “shows forecasted major activities in the life of an asset through final disposition.” “Maintenance” is the “day-to-day work that is required to sustain a property in a condition suitable for it to be used for its designated purpose and includes preventive, predictive, and corrective (repair) maintenance.” The term “final disposition” is not defined in the Order; however, provisions of this Order would appear to establish the life-cycle plan analysis and maintenance procedures for “stewardship assets” (e.g., landfill caps, radioactive waste storage vaults, and public access barriers.) Note: the definition of “remediation” in this Order is the “elimination of any problems remaining after decommissioning.”
<u>DOE Order 4330.4B</u> Maintenance Management Program	All Departmental Elements except Naval Fuels, Power Marketing, and DOE facilities managed by GSA or by lessor.	Residual Site Hazards Management	Provides general policy and objectives for the establishment of programs for the management and performance of cost-effective maintenance and repair of DOE property. Establishes maintenance management program requirements for maintenance activities for DOE controlled production, operation, research, development, or demonstration activities.
<u>DOE Order 4330.4B Provisions</u> per DOE Notice 251.38 Cancellation of Directives March 3, 2001	Exceptions and Cancellations	Residual Site Hazards Management	DOE Order 4330.4B, Maintenance Management Program is retained under DOE Notice 251.38, with the exception of Chapter I of DOE Order 4330.4B, <i>Guidelines for the Conduct of Maintenance at DOE Non Nuclear Facilities, which is canceled in its entirety.</i>
<u>DOE Order 4330.4B Provisions</u> per DOE Notice 251.38 Cancellation of Directives March 3, 2001	Exceptions and Cancellations	Residual Site Hazards Management	When issued, DOE Order 433.X, Maintenance Management Program , currently undergoing final FMC Review and Approval, will cancel and replace DOE Order 4330.4B.
<u>DOE Order 4330.4B Provisions</u> Scope, Definitions	DOE maintenance activities	Residual Site Hazards Management	Requires preparation of “life-cycle plans” for the maintenance of assets. The life-cycle plan “includes an analysis of the major events and activities in the life of a functional unit from planning through decommissioning and site restoration.” The life cycle plan also describes maintenance practices and costs. This “life-cycle” definition differs from that in Order 4320.2A as it extends through decommissioning to site restoration, if not explicitly to long-term stewardship activities. Maintenance Management provisions of the Order would therefore apply to engineered structures and systems and other “stewardship assets” that are constructed and operated for long-term stewardship.

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 4330.4B Provisions</u> Scope, Definitions	DOE maintenance activities	Residual Site Hazards Management	The definition of “Nonreactor Nuclear Facility” includes activities such as storage of radioactive liquid or solid waste, and environmental remediation or waste management activities involving radioactive materials. The definition also includes Maintenance Management activities related to the long-term stewardship of facilities where radioactive materials are stored or contained as residual contamination.
<u>DOE Order 5400.1</u> General Environmental Protection Program	All Departmental Elements	Public Justice, Health/Safety Management	Establishes environmental protection program requirements, authorities, and responsibilities for DOE operations to assure compliance with applicable Federal, State and local environmental protection laws and regulations, Executive orders, and internal Department policies. Establishes general policies and procedures for DOE to comply with laws, regulations, orders, and policies.
<u>DOE Order 5400.5</u> Radiation Protection of the Public and the Environment	All Departmental Elements	Residual Site Hazards Management, Land and Real Property Management	Establishes standards and requirements for operation of the DOE with respect to the protection of the public and the environment against undue risk from radiation. The order establishes public exposure standards for radiation exposure, and standards regarding levels of residual radioactive material for facilities and environmental media.
<u>DOE Order 5400.5 Provisions</u> Section 10.j Definitions	Release of Property	Residual Site Hazards Management, Land and Real Property Management	“Release of Property”, as used in DOE Order 5400.5, refers to the exercising of DOE’s authority to release property from its control after confirming that the residual radioactive material over which DOE has authority on the property has been determined to meet the guidelines for residual radioactive material contained in DOE Order 5400.5, Chapter IV, or any other applicable radiological requirements. DOE Order 5400.5 sets dose-based guidelines for the release of DOE property for unrestricted use, and contains guidelines for the management of residual radio-active material.
<u>DOE Order 5400.5 Provisions</u> Section 10.j Definitions	Institutional controls	Residual Site Hazards Management, Land and Real Property Management	There may be instances in which DOE or other authorities will impose restrictions on the management and/or use of property if the residual radioactivity material guidelines of Chapter IV are not met, or if other local, state, or Federal applicable requirements cause the imposition of such restrictions. These restrictions are an element of long-term stewardship.

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 5400.5 Provisions</u> Section 10.1 Definitions	Residual radioactive material	Residual Site Hazards and Land and Real Property Management	“Residual Radioactive Material” refers to: any radioactive material which is in air, soil, equipment, or structures as a consequence of past operations or activities.
<u>DOE Order 5400.5 Provisions</u> Chapter IV(2)(b)and (c) Residual Radioactive Material, Authorized Limits, Basic Dose Limit, Property Specific Dose Guidelines	Residual radioactive material	Residual Site Hazards Management, Land and Real Property Management	Procedures for deriving specific property guidelines for allowable levels of residual radioactive material from basic dose limits are contained in the document by DOE/ CH 8901 titled “A Manual for Implementing Residual Radioactive Material Guidelines: A Supplement to the DOE Guidelines for Residual Radioactive Material at FUSRAP and SFMP Sites.” An “Authorized Limit” is a level of residual radioactive material that shall not be exceeded if a remedial action is to be considered completed and if the property is to be released without restrictions on use due to residual radioactive material. “Basic Dose Limits” are developed from existing radiological protection standards (40 CFR Part 192; NRC Reg. Guide 1.86)
<u>DOE Order 5400.5 Provisions</u> Chapter IV(2)(d) Authorized Limits	Institutional controls	Residual Site Hazards Management, Land and Real Property Management	A property may be released without restrictions if residual radioactive material does not exceed authorized limits or approved supplemental limits at the time that the remedial action is completed. DOE actions with regard to restrictions and controls on the use of the property are governed by paragraph IV. 7b. Applicable controls and restrictions are contained in paragraphs IV. 6 and IV.7.c. Properties released without restrictions are generally assumed to be properties that are “clean closed” and that will not require long-term stewardship; however, dose-based guidelines for unrestricted use may not account for other long-term stewardship requirements of the property.
<u>DOE Order 5400.5 Provisions</u> Chapter IV(4)(a) Guidelines for Residual Radioactive Material	Residual radioactive material	Residual Site Hazards Management, Land and Real Property Management	The “Hot Spots” section allows DOE to develop limits for “hot spots” which are defined as surface or below surface areas that exceed authorized limits by a factor of 100/A, where A is the area of the spot in units of square meters. This section does not explicitly state whether any such areas may be released for unrestricted use. Areas with elevated radionuclide concentrations may require long-term stewardship activities.

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 5400.5 Provisions</u> Chapter IV(4)(a) Guidelines for Residual Radioactive Material	Residual radioactive material	Residual Site Hazards Management	“Reasonable efforts” shall be made to reduce any source of radionuclides that exceeds 30 times the appropriate limit for soil, regardless of the average concentrations in the soil. This section does not explicitly state whether any such areas may be released for unrestricted use. Areas with elevated radionuclide concentrations may require long-term stewardship.
<u>DOE Order 5400.5 Provisions</u> Chapter IV(4)(b) Airborne Radon Decay Products	Radioactive releases	Residual Site Hazards Management, Health/Safety Management	Generic guidelines for concentrations of airborne radon decay products apply to occupied or habitable structures on private property that are intended for release without restriction. Structures that are to be demolished or buried are excluded from this requirement. This section does not explicitly state whether areas containing buried structures are suitable for release for unrestricted use; thus such properties may require long-term stewardship.
<u>DOE Order 5400.5 Provisions</u> Chapter IV(4)(c) External Gamma Radiation	Radioactive releases	Residual Site Hazards Management, Health/Safety Management	Guidelines for gamma radiation inside buildings or habitable structures shall comply with the “basic dose limit” when an “appropriate use” scenario is considered. The requirement does not necessarily apply to structures scheduled for demolition or to buried foundations, nor is it clear whether areas containing buried structures are suitable for release for unrestricted use. The “appropriate use” scenario is not defined in this section or elsewhere in the Order.
<u>DOE Order 5400.5 Provisions</u> Chapter IV(6)(b) Control of Residual Radioactive Material – Interim Storage	Facilities control and stabilization	Residual Site Hazards Management	Control and stabilization features shall be designed to provide, to the extent reasonably achievable, an effective life of 50 years with a minimum life of at least 25 years. Control and stabilization features will require monitoring and maintenance, which are elements of long-term stewardship. There are circumstances in which DOE can transfer property before all remedial activities are completed. This section does not address the situation where “interim storage” is occurring at a site no longer owned by DOE.
<u>DOE Order 5400.5 Provisions</u> Chapter IV(6)(b) Control of Residual Radioactive Material – Interim Storage	Institutional controls	Residual Site Hazards and Land and Real Property Management	Access to a property and use of onsite material contaminated by residual radioactive material should be controlled through appropriate administrative and physical controls such as are described in 40 CFR 192. These control features should be designed to provide, to the extent reasonable, an effective life of at least 25 years. Administrative controls are an element of long-term stewardship

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 5400.5 Provisions</u> Chapter IV(6)(c) Control of Residual Radioactive Material – Interim Management	Residual radioactive material	Residual Site Hazards Management	Properties may be maintained under an interim management arrangement when residual radioactive material exceeds guideline values, provided that administrative controls are established by the responsible authority (Federal, State, or local) to protect members of the public.
<u>DOE Order 5400.5 Provisions</u> Chapter IV 6(c) Control of Residual Radioactive Material – Interim Management	Residual radioactive material	Residual Site Hazards Management	For interim management of residual radioactive materials, the owner of the property should be responsible for implementing the administrative controls and the Federal, State, or local authorities should be responsible for enforcing them.
<u>DOE Order 5400.5 Provisions</u> Chapter IV 6(d) Control of Residual Radioactive Material -Long Term Management	Engineered controls, design standards	Residual Site Hazards Management	For uranium, thorium, and their decay products, control and stabilization features shall be designed to provide, to the extent reasonably achievable, an effective life of 1,000 years with a minimum life of at least 200 years. Control and stabilization features will require monitoring and maintenance.
<u>DOE Order 5400.5 Provisions</u> Chapter IV 6(d) Control of Residual Radioactive Material - Long Term Management	Institutional controls	Residual Site Hazards Management, Land and Real Property Management	Access to a property and use of onsite material contaminated by residual radioactive material should be controlled through appropriate administrative and physical controls such as are described in 40 CFR 192. These control features should be designed to provide, to the extent reasonable, an effective life of at least 200 years.
<u>DOE Order 5400.5 Provisions</u> Chapter IV 6(d) Control of Residual Radioactive Material -Long Term Management	Residual radioactive material	Residual Site Hazards and Health/Safety Management	Long-term management of other radionuclides shall occur in accordance with DOE Order 5820.2A (Chapters II, III, and IV) which has been superceded by DOE Order 435.1.
<u>DOE Order 5400.5 Provisions</u> Chapter IV 7(d) Supplemental Limits and Exceptions - Justification	Residual radioactive material, land use institutional controls	Residual Site Hazards Management, Land and Real Property Management	This section requires a property analysis and a statement specifying the level of residual radioactivity to be provided to the appropriate state and/or local agencies for appropriate action (e.g., inclusion in local land records.) Such information may be used to establish institutional controls. The section, however, does not identify specific actions for the “appropriate state and/or local agencies” to implement this information about residual radioactive material remaining on site.

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<p><u>DOE Order 5400.5 Provisions</u> Chapter IV 7(d) Supplemental Limits and Exceptions - Justification</p>	<p>Residual radioactive material</p>	<p>Residual Site Hazards Management, Land and Real Property Management</p>	<p>Supplemental limits and exceptions may be established where the cost of a remedial action for contaminated soil is unreasonably high and where residual material does not pose a clear present or future risk after necessary control measures are established. The likelihood that buildings will be built or that people will spend long periods of time at a property should be considered in evaluating risk. Remedial actions will generally not be necessary where residual radioactive material occurs in an inaccessible location at which specific property factors limit the potential hazards. Examples include: residual radioactive material under hard surfaced roads and sidewalks, or around public sewer lines and fence post foundations. This section does not indicate whether properties for which supplemental limits and exceptions have been established are allowed to be released for unrestricted use. Long-term stewardship activities may be necessary for residual radioactive material located on a property even if the material is currently inaccessible.</p>
<p><u>DOE Order 5480.19</u> Conduct of Operations Requirements for DOE Facilities</p>	<p>All Departmental Elements</p>	<p>Residual Site Hazards Management, Health/Safety Management</p>	<p>Provides requirements and guidelines for DOE to use in developing directives, plans, and/or procedures relating to the conduct of operations at DOE facilities. It is DOE policy that the conduct of operations at DOE facilities be managed with a consistent and auditable set of requirements, standards, and responsibilities.</p>
<p><u>DOE Order 5480.19 Provisions</u> Section 4, Policy</p>	<p>Conduct of Operations at DOE Facilities</p>	<p>Residual Site Hazards Management, Health/Safety Management</p>	<p>Consistent with the requirements of this Order: a. Operations at DOE facilities shall be managed, organized, and conducted in a manner to assure an acceptable level of safety; b. Facility operators shall have procedures in place to control conduct of operations; c. Line organizations shall review existing and planned programs important to safe and reliable facility operations; and d. Line organizations assess the effectiveness of corporate directives, plans, or procedures at facilities under their cognizance.</p>
<p><u>DOE Order 5700.2D</u> Cost Estimating, Analysis, and Standardization</p>	<p>All Departmental Elements</p>	<p>Residual Site Hazards Management</p>	<p>Establishes policy and responsibilities for: (a) developing and reviewing project cost estimates; (b) preparing independent cost estimates and analyses; (c) standardizing cost estimating procedures; and (d) improving overall cost estimating and analytical techniques, cost data bases, cost and economic escalation models, and other cost estimating systems.</p>

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DOE ORDER OR POLICY	APPLICABILITY	CATEGORY	SPECIFIC DIRECTIVES
<u>DOE Order 5700.2D Provisions</u> 4. Definitions	Project Cost Estimates	Residual Site Hazards Management	Life Cycle Cost is the total of the direct, indirect, recurring, nonrecurring, and other related costs incurred, or estimated to be incurred, in the design, development, production, operation, maintenance, support, deactivation, and/or disposition of a project or system over its anticipated useful life span.
<u>DOE Order 5700.2D Provisions</u> 6. Policy	Project Cost Estimates	Residual Site Hazards Management	It is DOE policy that cost estimates shall be developed and maintained throughout the life of each project.
<u>DOE Policy</u> Self Assessment of Business Close-out Activities. March 15, 2000	All Departmental Elements	Residual Site Hazards Management	The Office of Site Closure has initiated a process to evaluate business close-out activities in order to assist sites in addressing and developing management plans to expedite and monitor progress toward the completion of EM program projects and the transition to long-term stewardship. The self-assessment framework includes 13 defined activities related to site close-out, including the development of MOAs between EM and other PSOs to establish the necessary responsibilities for conducting long-term stewardship activities, as well as planning to ensure that an early determination is made regarding post-DOE use(s) of sites and that detailed planning for future re-use or disposition is developed and executed.
<u>DOE Notice 450.4</u> Assignment of Responsibilities for Executive Order 13148, <i>Greening the Government Through Leadership in Environmental Management</i> February 5, 2001	All Departmental Elements	Residual Site Hazards Management, Land and Real Property Management	Establishes roles and responsibilities for the implementation of Executive Order (EO) 13148. The EO establishes pollution prevention goals, requires the implementation of environmental management systems, promotes environmental protection through the use of environmental compliance audits or environmental management system reviews, and emphasizes that agency policies and environmental compliance audit programs should promote pollution prevention as a means to both achieve and maintain environmental compliance.
<u>DOE Notice 450.4 Provisions</u> Section 4.a., 4.b., Requirements	Environmental Management Systems (EMS)	Residual Site Hazards Management	Implements Environmental Management Systems (EMSs) at DOE facilities as part of DOE's Integrated Safety Management (ISM) System. Incorporates environmental compliance or EMS audits into line environment, safety, and health oversight programs required by DOE Policy 450.5.
<u>DOE Notice 450.4 Provisions</u> Section 4.g., Requirements	DOE Federal Real Property	Land and Real Property Management	Promotes sustainable management of Federal facility lands.

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<u>DOE Notice 450.4 Provisions</u> Section 4.h., Requirements	Pollution Prevention Programs	Residual Site Hazards Management	Requires the use of pollution prevention projects and activities in order to correct and prevent non-compliance with environmental regulatory requirements.