

memorandum

DATE: February 1, 2011

REPLY TO

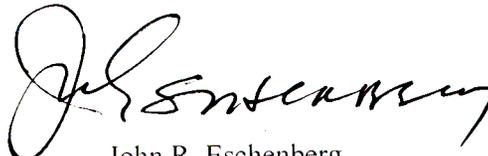
ATTN OF: EM-972:Noe

SUBJECT: **EM PROCEDURE EM-3.2, REVISION 6, "FACILITY REPRESENTATIVE PROGRAM"
- APPROVED**

TO: Environmental Management Staff, EM-90

The subject procedure, see attached, is issued for your use. Please read and familiarize yourself with it. It will be placed onto the Office of Environmental Management's Office Policies and Procedures Webpage, see <http://www.oakridge.doe.gov/External/Default.aspx?tabid=120>, as soon as possible and will be available there for future reference.

If you have any questions or if we can be of any further assistance, please contact me at 576-0742 or Tim Noe at 576-0963.



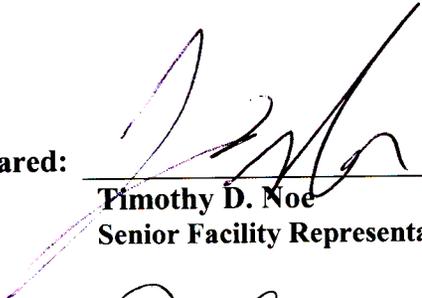
John R. Eschenberg
Assistant Manager for
Environmental Management

Attachment

Department of Energy
Oak Ridge Office
Office of Environmental Management
Procedure

FACILITY REPRESENTATIVE PROGRAM

EM - 3.2
Revision 6

Prepared:  _____ 1/27/11 _____
Timothy D. Noe
Senior Facility Representative Date

Approved:  _____ 2/1/11 _____
John R. Eschenberg
Assistant Manager for Environmental Management Date

REVISION LOG

REVISION NUMBER	DESCRIPTION OF REVISION	APPROVAL DATE
6	Initiated revision log, removed SSO Required Reading, updated references, added walkthrough frequency and documentation requirements, added event notification section and made editorial changes.	TBD

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LIST OF ACRONYMS

AMEM	Assistant Manager for Environmental Management
AHA	Activity Hazard Analysis
CFR	Code of Federal Regulations
COR	Contracting Officer's Representative
CSO	Cognizant Secretarial Officer
DOE	Department of Energy
DD	Division Director
DSA	Documented Safety Analysis
EM	Office of Environmental Management
FOSDD	Facility Operations and Safety Management Division Director
FPD	Federal Project Director
FR	Facility Representative
FRC	Facility Representative Candidate
FRT	Facility Representative Team
FRP	Facility Representative Program
FRQS	Facility Representative Qualification Standard
GTBQS	General Technical Base Qualification Standard
HQ	Headquarters
IPT	Integrated Project Team
IQFR	Interim Qualified Facility Representative
ORION	Oak Ridge Issues, Open Items, and Nonconformance Tracking System
OR	Occurrence Report
ORO	Oak Ridge Office
OROC	Oak Ridge Operations Center
PAAA	Price-Anderson Amendments Act
PHA	Process Hazards Analysis
PM	Project Manager/Program Manager
PSS	Park Shift Superintendent (at East Tennessee Technology Park)
QAD	Quality Assurance Director
RR	Required Reading
SCMS	Science Management System
SFR	Senior Facility Representative
TQP	Training and Qualification Program
TSR	Technical Safety Requirements

1.0 PURPOSE

The purpose of this procedure is to provide a standardized approach for a comprehensive and effective Oak Ridge Operations (ORO) Environmental Management (EM) Facility Representative Program (FRP) in accordance with the Department of Energy (DOE) Standard DOE-STD-1063-2006, *Facility Representatives*.

In this procedure, unless otherwise specified, the term Facility Representative (FR) refers to FRs at all levels of qualification, i.e., FR candidate (FRC), interim qualified FR (IQFR), and fully qualified FR.

2.0 SCOPE

This procedure covers all aspects of the ORO EM FRP with the exception of training and qualification which is described in EM-2.5, *EM Facility Representative Training and Qualification Program*.

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 DOE O 226.1A, *Implementation of the Department of Energy Oversight Policy*
- 3.1.2 DOE O 231.1A, *Environment Safety and Health Reporting*
- 3.1.3 DOE-G-414.1-1B, *Management and Independent Assessment Guide*
- 3.1.4 DOE O 5480.19 and 422.1, *Conduct of Operations Requirements for DOE Facilities*
- 3.1.5 DOE M 231.1-1A, *Environment Safety and Health Reporting Manual*
- 3.1.6 DOE M 231.1-2, *Occurrence Reporting and Processing of Operations Information*
- 3.1.7 DOE-M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*
- 3.1.8 DOE G 231.1-1, *Occurrence Reporting and Performance Analysis Guide*
- 3.1.9 DOE G 231.1-2, *Occurrence Reporting Causal Analysis Guide*
- 3.1.10 DOE O 433.1B, *Maintenance Management Program for DOE Nuclear Facilities*
- 3.1.11 DOE-STD-1027-92, *Hazard Categorization and Accident Analysis Techniques for Compliance with DOE Order 5480.23, Nuclear Safety Analysis Report*
- 3.1.12 DOE-STD-1033-92, *Guide to Good Practices for Operations and Administration Updates through Required Reading*
- 3.1.13 DOE-STD-1035-93, *Guide to Good Practices for Logkeeping*
- 3.1.14 DOE-STD-1063-2006, *Facility Representatives*
- 3.1.15 DOE-STD-3006-2000, *Planning and Conduct of Operational Readiness Reviews*
- 3.1.16 DOE-STD-3009-94, *Preparation Guide for U. S. Department of Energy Nonreactor Nuclear Facility Documented Safety Analysis*

- 3.1.17 10 CFR 830, *Nuclear Safety Management*
- 3.1.18 EM-3.3, *Integrated Assessment Program*
- 3.1.19 EM-2.5, *EM Facility Representative Training and Qualification Program*
- 3.1.20 Memorandum from Dr. Ines R. Triay, Chief Operating Officer for EM, *Occurrence Report Categorization and Review*, Dated July 5th 2006.
- 3.1.21 Science Management System (SCMS); Environment, Safety, and Health (ES&H) Management System; Environment, Safety, and Health (ES&H) Oversight of Contractors Subject Area; Procedure 1. "Stop Work and Facility Shutdown"
- 3.1.22 SCMS; Environment, Safety, and Health (ES&H) Management System; Environment, Safety, and Health (ES&H) Oversight of Contractors Subject Area; Procedure 2. "Facility Representative Oversight"
- 3.1.23 SCMS; ES&H Management System; ES&H Oversight of Contractors Subject Area; Procedure 2. "Facility Representative Oversight"
- 3.1.24 SCMS; ES&H Management System; ES&H Reports to Office of Science (SC) Headquarters Subject Area; Procedure 1. "Notification of Reportable Occurrences"

3.2 Definitions

- 3.2.1 Activity Level: The frequency of handling or moving hazardous material, or the frequency of activities involving one or more hazards creating an opportunity for the occurrence of a reportable event. (Refer to DOE-STD-1063-2006, Appendix C, Process To Determine Facility Representative Staffing, for activity level determination.)
- 3.2.2 Cognizant Secretarial Officer: (DOE M 411.1-1C) the Secretarial Officers responsible for accomplishing work in a safe and environmentally sound manner at DOE-owned or DOE-leased sites and facilities (other than Headquarters). Cognizant Secretarial Officers (CSOs) are Secretarial Officers with line accountability for a laboratory or a bounded set of facilities. The CSOs provide direction to line organizations in DOE HQ and the field regarding safety management processes and systems. Although the ultimate responsibility for safety rests with the Secretary, the CSOs are responsible for providing direction to the line organizations in their assigned, areas and they are accountable for the appropriate and successful implementation of DOE policies and requirements through their line organizations.
- 3.2.3 Continuing Training: Used to maintain and enhance the ability of personnel to perform job assignments and to ensure facility safety and reliability. Further information can be found in DOE-HDBK-1189-99, *Guide to Good Practices for Continuing Training*.
- 3.2.4 Contractor: Any person under contract with the DOE, or under sub-contract with a DOE contractor, with the responsibility to perform activities in connection with any facility, laboratory, or program at a DOE-owned or leased facility.
- 3.2.5 Contracting Officer's Representative: A Government employee who is formally designated to act as an authorized representative of the contracting officer for specified functions, such as technical monitoring, that do not involve a change in the scope, price, terms, or conditions of the contract.
- 3.2.6 DOE Oversight: (DOE O 226.1) Encompasses activities performed by DOE organizations to determine whether Federal and contractor programs and management systems, including assurance and oversight systems, are performing effectively and/or complying with DOE requirements. Oversight programs include operational awareness activities, onsite reviews, assessments, self-assessments, performance evaluations, and other activities that involve

evaluation of contractor organizations and Federal organizations that manage or operate DOE sites, facilities, or operations.

- 3.2.7 **Documented Safety Analysis:** (10 CFR 830.204) A documented analysis of the extent to which a nuclear facility can be operated safely with respect to workers, the public, and the environment, including a description of the conditions, safe boundaries, and hazard controls that provide the basis for ensuring safety.
- 3.2.8 **Facility:** (DOE O 430.1B) Land, buildings, and other structures, their functional systems and equipment, and other fixed systems and equipment installed therein, including site development features outside the plant, such as landscaping, roads, walks, parking areas, outside lighting and communication systems, central utility plants, utilities supply and distribution systems, and other physical plant features.
- 3.2.9 **Facility Representative (FR):** For each major facility or group of lesser facilities, an individual assigned responsibility by the Field Element Manager (or designee) for monitoring the safety performance of the facility and its operations. This individual is the primary point of contact with the contractor for operational and safety oversight and reports to DOE Line Management.
- 3.2.10 **Facility Representative Coverage:** The degree of attention a FR is expected to devote to an assigned facility. Coverage is usually expressed in terms of the amount of time, including back shift and weekend time that the FR is expected to routinely spend observing operations in the facility.
- 3.2.11 **Facility Representative On-Call:** A FR assigned the responsibility to respond to PSS or OROC 24 hours a day in the event an issue arises that needs support from EM FRs.
- 3.2.12 **Field Element or Organization:** A non-Headquarters DOE organization that is geographically distinct. Field elements can be site offices, support offices, operations offices, field offices, regional offices, or offices located at environmental restoration, construction, or termination sites.
- 3.2.13 **Field Element Manager:** The DOE employee having overall responsibility for a field element.
- 3.2.14 **Hazard:** (10CFR830.3) Source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or death to personnel or damage to a facility or to the environment (without regard to the likelihood or credibility of accident scenarios or consequence mitigation).
- 3.2.15 **Hazard Categories:** The consequences of unmitigated releases of radioactive material are evaluated as required by 10CFR830, *Nuclear Safety Management*, and classified by the following Hazard Categories:
- Category 1 – The hazard analysis shows the potential for significant offsite consequences.
 - Category 2 – The hazard analysis shows the potential for significant onsite consequences.
 - Category 3 – The hazard analysis shows the potential for only significant localized consequences.
 - Below Category 3 – Only consequences less than those that provide a basis for categorization as a hazard category 1, 2, or 3 nuclear facility.
- Note: DOE-STD-1027-92 contains additional information on methods and criteria for determination of Hazard Categories.
- 3.2.16 **Hazardous Material:** (DOE-STD-3009-94) Any solid, liquid, or gaseous material that is toxic, explosive, flammable, corrosive, or otherwise physically or biologically threatening

to health. Candidate hazards include radioactive materials, hazardous chemicals as defined by OSHA in 29 CFR 1910.1200 and 29 CFR 1910.1450; any material assigned a reportable quantity value in 40 CFR 302, Table 302.4; threshold planning quantities in 40 CFR 355 Appendix A; threshold planning quantities in 29 CFR 1910.119; level of concern quantities in EPA's "Technical Guidance for Hazard Analysis—Emergency Planning for Extremely Hazardous Substances"; or materials rated as 3 or 4 in National Fire Protection Association 704 "Identification of the Fire Hazards of Materials." (Another definition of hazardous material in 49 CFR 172 applies to hazardous material that is to be transported in commerce.)

- 3.2.17 Occurrence Report: (DOE M 231.1-2) A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance, consequences, or implications and to evaluate the actions being proposed or employed to correct the condition or to avoid recurrence.
- 3.2.18 Operational Awareness: (DOE O 226.1) Routine day-to-day monitoring of work performance through facility tours/walkthroughs, work observation, document reviews, meeting attendance and participation, and ongoing interaction with contractor workers, support staff, and management.
- 3.2.19 Risk: (DOE-STD-3009-94) The quantitative or qualitative expression of possible loss that considers both the probability that an event will occur and the consequences of that event.
- 3.2.20 Required Reading: An administratively controlled means of conveying important information to Facility Representatives.
- 3.2.21 Required Reading File: A controlled file containing reading material considered to be of sufficient importance that personnel should understand its content. This understanding shall be acknowledged by each individual signing or initialing and dating the Required Reading sign-off sheet, by responding via e-mail or by e-mail read receipt.
- 3.2.22 Surveillance: (EM-3.3) Surveillances apply more rigor than walkthroughs but less formality than assessments. Surveillances cover a specific topic, the topic covered must have a basis, and they are usually scheduled.
- 3.2.23 Technical Safety Requirements: The limits, controls, and related actions that establish the specific parameters and requisite actions for the safe operation of a nuclear facility and include, as appropriate for the work and the hazards identified in the documented safety analysis for the facility: Safety limits, operating limits, surveillance requirements, administrative and management controls, use and application provisions, and design features, as well as a bases appendix. [10 CFR 830]
- 3.2.24 Walkthrough: A tour through a facility to maintain operational awareness of the facility.

4.0 ROLES AND RESPONSIBILITIES

4.1 Assistant Manager for Environmental Management (AMEM)

- 4.1.1 Ensures that an EM FRP is implemented consistent with applicable standards and requirements.
- 4.1.2 Ensures that sufficient resources are available to fulfill the purpose of the FRP.
- 4.1.3 Ensures that FRs are assigned to facilities and notifies the responsible AMEM Project Manager (PM) and contractor management of those assignments.

- 4.1.4 Ensures the contractor provides the FRs with unencumbered access to their assigned facilities and/or projects.
- 4.1.5 Ensures an open line of communications and a sound management structure is established between the FRs, ORO Management, and the Contractor.
- 4.2 EM Facility Operations and Safety Management Division Director**
 - 4.2.1 Provides the overall priorities and guidance for the EM FRP.
 - 4.2.2 Approves assignment of duties to FRs.
 - 4.2.3 Ensures FR coverage is based on a structured and logical process.
 - 4.2.4 Ensures a structured and logical training and qualification program is established and maintained for the FRs.
 - 4.2.5 Ensures criteria for the selection of FRs are developed.
 - 4.2.6 Ensures the FR's primary duty is to conduct performance based observation.
 - 4.2.7 Ensures an EM Facility Representative program is established based on the expectations of EM Management, and procedural requirements.
 - 4.2.8 Supports the FRs by providing the resources necessary to carry out their assigned duties.
 - 4.2.9 Reviews some or all ORION Tracking System entries by FRs.
- 4.3 Senior Facility Representative (SFR) (also FR Team Lead)**
 - 4.3.1 Ensures that EM FRs are conducting walkthroughs and documenting the walkthroughs and issues in ORION in a timely manner.
 - 4.3.2 Assigns an FR to fill in for a FR who is on extended leave.
 - 4.3.3 Identifies, through established guidance, backup FRs for Nuclear Facilities
 - 4.3.4 Monitors performance to ensure FRs review, approve, and/or reject occurrence reports in a timely manner.
 - 4.3.5 Designates pertinent programmatic, departmental, DOE-wide or commercial industry information as RR on an as needed basis.
 - 4.3.6 Maintains, or delegates the maintenance of, the RR file records.
 - 4.3.7 Prepares a FR Team Quarterly report for the Assistant Manager for Environmental Management and Headquarters Program office.
 - 4.3.8 Ensures open and timely communications among the FRs and other ORO organizations via staff meetings.
 - 4.3.9 Recommends FR coverage for the applicable facilities and activities, maintains the staffing analysis, and makes assignment recommendations to the AMEM.
 - 4.3.10 Assists in obtaining technical support for FRs when needed.
 - 4.3.11 Determines and approves the administrative and programmatic direction and content of the Facility Representative Qualification and Requalification Program as directed by EM-2.5, *EM Facility Representative Training and Qualification Program*.
 - 4.3.12 Nominates a FR for the DOE FR of the Year award.
- 4.4 Facility Representatives**
 - 4.4.1 Represent EM in day-to-day operational oversight of the contractor's activities.

- 4.4.2 Maintain awareness of major work in progress and in planning, as well as which personnel are controlling the work, what procedures are to be used, and whether training and qualification requirements have been established and are being met.
- 4.4.3 Track significant oversight items that need to be documented in ORION.
- 4.4.4 Receive notification of occurrences at their assigned facilities/projects.
- 4.4.5 For fully qualified FRs and IQFRs only, complete the review, comment, and approval of Operational Emergencies and Significance Category R, 1, and 2 Final Reports within 10 calendar days after receipt of the report.
- 4.4.6 Read and understand assigned RR by the established completion date.
- 4.4.7 Determine appropriate SMEs to assist in the performance of walkthroughs and surveillances.
- 4.4.8 Perform walkthroughs and surveillances in accordance with EM 3.3, "Integrated Assessment Program Oversight" and this procedure..
- 4.4.9 Stop work as necessary to protect the health and safety of workers and the public, to protect the environment, or to protect the facility and equipment.
- 4.4.10 Adhere to established DOE/Contractor codes of conduct and protocols, and all safety requirements, while performing assigned duties.
- 4.4.11 Maintain familiarity with site and facility characteristics, operating procedures, operating organizational structure, and key process control personnel.
- 4.4.12 Respond to facility events and serve as the DOE presence for special operations.
- 4.4.13 Observe, evaluate, and report on the effectiveness of the contractor in multiple areas important to safe, efficient, and productive operation.
- 4.4.14 Support and participate in accident investigations, audits, appraisals, PAAA enforcement activities, and visits to the assigned facility, as requested.
- 4.4.15 Maintain frequent communication with supervision and other FRs, inform line management of current facility conditions, and communicate hazards to line management.
- 4.4.16 Facilitate the notification and reporting of occurrences and safety or operational concerns.
- 4.4.17 Review contractor documentation and assessment reports to determine if a systemic or recurring problem exists with contractor activities.
- 4.4.18 Request needed technical resources from the SFR.
- 4.4.19 Complete all required elements of EM-2.5, *EM Facility Representative Training and Qualification Program*.
- 4.4.20 Submit qualification related documents to the SFR or designee.
- 4.4.21 Maintain proper clearances, training, and qualifications to ensure immediate unannounced access to assigned facilities.
- 4.4.22 When assigned, fully qualified FRs mentor FRCs and IQFRs.
- 4.4.23 Maintain facility access requirements for assigned facilities.
- 4.4.24 Quarterly, submit issue and highlights, to the FO&SMDD for inclusion in the FR Program Performance.
- 4.4.25 When on duty, issue monthly written reports (using ORION) of activities performed; the reports shall have the following minimum distribution:

- Senior Facility Representative
- Facility Operations and Safety Management Division Director
- Integrated Project Team or Federal Project Director, as applicable

5.0 PROCEDURES

5.1 Facility Representative Assignment

- 5.1.1 Assignment of Specific Facilities/Projects: Each FR has been assigned to EM facilities/projects for general oversight, safety, health, and operational awareness. These assignments are specific to each FR, as recommended by the SFR and approved by the FO&SMDD.
- 5.1.1.1 Assignments include those Nuclear Facilities that are assigned to FRs in a back-up role or cross-qualification role. For assignments in these roles, a minimum of one walkthrough per quarter shall be conducted in the back-up or cross-qualification facilities.
- 5.1.1.2 Assignments include emergency and/or abnormal operating conditions associated with DOE-sponsored facilities/projects. These do not include contracted and/or leased space operations outside of normal DOE operations, unless specifically tasked by the AMEM and TSADD.
- 5.1.1.3 For their assignments, the FRs shall have the authority to represent line management to the contractor regarding operational issues, except where it would change the scope, cost, or schedule of the facility/project.
- 5.1.2 Unencumbered Access: Fully qualified FRs and IQFRs shall have independent and direct access to contractor and leased personnel, facilities, and records, as necessary to carry out their assigned responsibilities. They shall have immediate unannounced access to every assigned facility, and shall maintain the proper clearances, training, personal protective equipment, and physical qualifications for such access.
- 5.1.2.1 The FR shall exercise the opportunity to attend all meetings, training classes, operator certification boards/examinations, etc., that may contribute to the execution of the duties and responsibilities of the FR.
- 5.1.2.2 Due to safeguards and security, or personnel safety and accountability requirements, access to some areas may require that more than one properly trained and cleared individual be present before access can be gained to those areas.
- 5.1.2.3 The rights to unencumbered access will be communicated to the Contractor via formal correspondence from the COR.
- 5.1.3 “Stop Work” Authority: “Stop Work” authority has been issued as a recognized authority for any and all personnel involved with DOE-sponsored operations and/or other activities at federal sites. Each FR is authorized to stop work on any DOE-funded operation or activity when in the best professional judgment of the FR for the following reasons:
- Conditions pose imminent danger to the health and safety of the workers or the public.
 - Any circumstances exist where personnel safety and/or environmental compliance is potentially in danger of compromise.

- Conditions exist, which, if allowed to continue, could adversely affect the safe operation of, or could cause serious damage to the facility.
- Conditions exist, which, if allowed to continue, could result in a release to the environment of radiological and/or chemical effluents from the facility that exceed regulatory limits.
- Failure to follow procedures which may increase the potential risks associated with the activity.

5.1.3.1 EM management shall be notified as soon as possible by the FR that “Stop Work” has been activated. Notification shall be made to the following management functions or designees.

- Assistant Manager for Environmental Management
- Facility Operations and Safety Management Division Director
- Senior Facility Representative
- Integrated Project Team Leader or Federal Project Director, as appropriate

5.1.3.2 The exercise of “Stop Work Authority” shall be documented in ORION with a complete description of the issue that caused it.

5.1.4 Facility Representative Candidates (FRC) and Interim Qualified Facility Representative (IQFR) Duties and Authority:

5.1.4.1 The following describes the duties and responsibilities normally expected of a FRC and IQFR. The FRC or IQFR shall work with the SFR to tailor these responsibilities in accordance with DOE-STD-1063-2006 to reflect the current conditions and operations of the assigned facility(s) and/or program(s). The FRC or IQFR duties should include, but may not be limited to:

- Maintaining frequent communication with DOE field element supervision
- Ensuring that DOE line management is cognizant of current facility conditions
- Spending the majority of their time in the assigned facility(s) reviewing:
 - Related Safety Documentation (DSAs, TSRs, AHAs, PHAs, etc.) within the first 3 months after assignment
 - Facility Layout and Boundaries
 - Operating procedures
 - Operating organizational structure (Org Charts, Org Plans, etc.)
 - Responsibilities of process control personnel
- Being aware of major work in progress and in planning
- Being available to help respond to facility events
- Knowing which personnel are controlling the work, what procedures are to be used, and whether training and qualification requirements have been established and are being met.
- Being in a position to provide information to DOE line management independent of programmatic responsibilities (i.e., FRCs do not perform programmatic functions for their assigned facilities). Observing, evaluating, and reporting on the effectiveness of the operating contractor in multiple areas

important to safe, efficient, and productive operations, such as operational performance, quality assurance, management controls, emergency response readiness activities, and assurance of worker health and safety.

- Issue Monthly written reports, as applicable, (using ORION) by no later than Friday of the following week, of activities performed; the reports shall have the following minimum distribution:
 - SFR
 - Facility Operations and Safety Management Division Director
 - ORO-EM PM
- Evaluating the overall effectiveness of the operating contractor in implementing corrective actions to deficiencies identified by facility reviews.
- Varying day-to-day presence in assigned facilities to show a degree of unpredictability and spontaneity.
- Recording the results of facility walkthroughs and assessments in ORION. A minimum of one walkthrough shall be conducted each week when on duty.
- Attending scheduled Integrated Project Team progress/status meetings and communicating activities, issues, and concerns.
- Consulting with their assigned mentor (for FRCs only) when they have issues or problems.

5.1.4.2 The-FRC and IQFR are authorized to perform the following:

- Stop Work as described in 5.1.3
- Report directly to line management on performance of the facility
- Interact directly with the contractor and its representatives

5.1.4.3 The FRC is not authorized to approve final occurrence reports until they have fully met their Interim Qualification Requirements established in EM 2.5.

5.1.5 Limitations to Authority: The FR, as an observer and/or advisor, is not authorized to direct facility operations or the personnel involved in its operations and maintenance.

5.1.5.1 The FR does not have the approval of the COR to approve contractor actions or procedures with the exception of Operational Emergencies and significance category R,1 and 2 occurrence reports , and only fully qualified FRs and IQFRs have this authority.

5.1.5.2 The FR shall not direct, approve, or concur with contractor actions or proposals, except for those specifically identified by the COR in writing.

5.1.5.3 The FR may advise or suggest actions or activities but must ensure that such advice or suggestion is not construed by the contractor as direction, approval, or concurrence.

5.2 Event Notification

- 5.2.1 Events are reportable occurrences, accidents that may be OSHA recordable, environmental releases, etc. Events should be communicated via e-mail (preferably) or cell phone to the FO&SMDD and ORO-EM PM. Advise regarding HQ notification should be provided and discussed.

5.3 Occurrence Reporting by the FR

- 5.3.1 The purpose of this section is to summarize authorities for FRs related to the review and approval of Occurrence Reports. The Occurrence Reporting and Processing System (ORPS) is a computerized system to submit, collect, transmit, update, and approve the occurrence reports required by Department of Energy (DOE) Order 231.1A. In addition, ORPS provides the DOE community with a readily accessible database that contains information about occurrences at DOE Facilities, causes of those occurrences, and corrective actions. This information can, therefore, be used to identify and analyze trends in occurrences.
- 5.3.1.1 As delegated from HQ, FRs have the authority to conduct activities associated with Occurrence Reporting in accordance with the following:
- DOE-O-231.1A, *Environment Safety and Health Reporting*
 - DOE-M-231.1-1A, *Environment Safety and Health Reporting Manual*
 - DOE-M-231.1-2, *Occurrence Reporting and Processing of Operations Information*
 - DOE-G-231.1-1, *Occurrence Reporting and Performance Analysis Guide*
 - DOE-G-231.1-2, *Occurrence Reporting Causal Analysis Guide*
 - Memorandum from Dr. Ines R. Triay, Chief Operating Officer for EM, *Occurrence Report Categorization and Review*, Dated July 5th 2006.
- 5.3.1.2 The contractor will be instructed to notify designated backups as assigned by the SFR for times when the assigned FR is not available for review and/or approval of Occurrence Reports (ORs).
- 5.3.1.3 The contractor has been directed to request the FR to review all SC3 and SC4 ORPS occurrence reports to ensure the reports are correctly categorized. The FR will notify the contractors if they concur or non-concur on the categorization of the report within 24 hours from receipt. However, if the contractor does not receive notification from the FR within 24 hours they may proceed.
- 5.3.1.4 The contractor has been directed to request the FR to review all SC3 ORPS occurrence-final reports to ensure the reports adequately describe the occurrence, state its cause(s), and identify effective corrective actions for the event. FRs will notify the contractors if they concur or non-concur on the quality and content of the final report within 10 days from receipt. However, if the contractor does not receive notification from the FR within 14 days they may proceed.
- 5.3.1.5 FRs will inform contractors when SC3 occurrences (especially electrical events) warrant corrective action(s) to prevent recurrence.
- 5.3.1.6 FRs will ensure near misses per Group 10, Management Concerns/Issues, subparagraph (3) of DOE-M-231.1-2 are categorized as Cat 1,2, or 3. (Note that near misses may not be SC4 per Memorandum referenced in 5.3.1.1.)
- 5.3.1.7 The FR shall ensure that appropriate line management (e.g., Senior FR and Project Manager) are made aware of any occurrence related to their assigned

facilities as soon as possible.

- 5.3.1.8 The FR should attend occurrence critiques when available.
- 5.3.1.9 When a notification or update report is submitted by the contractor to ORPS, the assigned FR should review it for accuracy and appropriate completeness and determine if the facility has been placed in a safe condition.
- 5.3.1.10 When the contractor submits a final occurrence report into ORPS, the assigned FR shall review the report to verify that the occurrence has been adequately described, the applicable causes have been identified, corrective actions have been identified and scheduled, and that lessons learned are identified.
- 5.3.1.11 The fully qualified FR or IQFR shall complete their review and approval or rejection of the final occurrence report for Operational Emergencies and Significance Categories' R, 1, and 2 expeditiously i.e., within 10 calendar days of receipt in ORPS.

5.4 Required Reading

- 5.4.1 The purpose of this section is to establish guidelines for the implementation of a RR program for EM FRs.
- 5.4.2 The EM SFR will designate the RR material. RR documents may include, but are not limited to the following:
 - Significant Lessons Learned
 - Unusual operations
 - Any information determined by management to be of significant importance
 - New and revised procedures
- 5.4.3 The SFR or designee will maintain the RR file.
- 5.4.4 After reading and understanding the assigned RR, individuals shall acknowledge the RR is complete.
- 5.4.5 The RR file shall contain the RR documents, the associated notification, and evidence of completion for each document.
- 5.4.6 The RR document and associated documentation shall be retained for three years.

5.5 Walkthroughs, Assessments, and Surveillances

- 5.5.1 Walkthroughs, assessments, and surveillances shall be conducted and documented as required by EM-3.3, *Integrated Assessments Program*.
- 5.5.2 Walkthroughs and identified issues shall be documented in ORION and categorized as P1, P2, or P3 in accordance with the ORION criteria.
- 5.5.3 Walkthroughs are normally conducted daily and should be documented/summarized at least weekly in ORION, as applicable.

5.6 Performance Indicators

- 5.6.1 This section will establish the expectations for the periodic reporting of Performance Indicator data by the FR via a monthly report to the SFR.
- 5.6.2 Performance Indicators on the FR program are requested by HQ to be completed on a quarterly basis. This necessitates action by the FRs and the SFR. To fulfill these requirements the following specific reporting activities are required of each FR in the ORO

EM program.

5.6.3 On a monthly basis FRs shall provide a report to the SFR. The report shall contain the following elements:

- Percent (%) time spent in the field
- Percent (%) time spent on oversight activities.
- Oversight Activities Conducted
- Issues/Concerns
- Walkthroughs/Assessments (Performed or Attended)
- Meetings Attended
- Occurrence Reports Reviewed
- Documents Reviewed
- Training Attended

5.6.4 The SFR shall provide a summary report to line management that is derived from the FR individual monthly reports.

5.6.5 The SFR and FO&SMDD shall review the activities reported over the past quarter as well as other FR activities and assemble as appropriate this information into a Quarterly Indicator Report.

5.7 Facility Representative Qualification Program

5.7.1 For detailed information concerning the Facility Representative Training and Qualification program see EM-2.5, *EM Facility Representative Training and Qualification Program*.

5.8 Relationship of Facility Representative with Contractor

5.8.1 The FR function is an extension of line management, and therefore should exercise authority consistent with program and management guidance.

5.8.2 The contractor is responsible for the safety and efficient operation of the facility. The contractor is accountable to DOE to perform its operations in a manner that ensures the safety and health of personnel and protection of the environment. No FR activity or inactivity can diminish the contractor's responsibility.

5.8.3 Through oversight activities the FR determines that the contractor is operating the facility in a safe manner, consistent with the established safety expectations and requirements. This is fulfilled by the FRs assessing the contractor's performance and reporting identified deficiencies to contractor management.

5.8.4 Although the FR may identify deficiencies, the ultimate responsibility for identifying and correcting deficiencies rests with the contractor.

5.8.5 Certain rules of conduct shall be adhered to by the FRs (including compliance with applicable contractor procedures) while performing assigned duties. These rules of conduct include but are not limited to the following:

- Avoid interrupting operators/workers at their work stations or while in the process of perform work activities. An operator's/worker's time must be requested and/or scheduled through their immediate supervisor or manager.

- Inform contractor management responsible for day-to-day operational control when they are entering a hazardous or radiological area that requires additional escort or PPE controls outside of normal unencumbered access requirements.
- Maintain frequent contact with contractor facility management through briefings, Plan of the Day, Plan of the Week and other meetings as reasonably possible.
- Use established chains of command for all requests for action, except when exercising “stop work” authority.

5.9 Facility Coverage and Staffing Determination

- 5.9.1 Facility coverage requirements are initially determined by the SFR with input from the FRs consistent with the guidance specified in DOE-STD-1063-2006. The FO&SMDD and the AMEM must also review and concur with the FTE determination prior to it being finalized.
- 5.9.2 Areas of consideration utilized to make the FTE determination include:
- Facility Hazard Rating (Nuclear Category 2 or 3, Radiological, Industrial)
 - Work Activity Level
 - Other factors (e.g., regulator interest, cost, scheduled work, etc.)
- 5.9.3 These considerations assist with determining the number of FR personnel needed as well as the FR assignments to existing facilities/projects.
- 5.9.4 Facility/project coverage and staffing determinations shall be documented and approved by the AMEM.

6.0 RECORDS

6.1 Program Records

- 6.1.1 Records shall be maintained in accordance with the established ORO EM Records Management System.