



**Department of Energy
Oak Ridge Operations
Office of Environmental Management
Procedure**



FACILITY REPRESENTATIVE PROGRAM

EM - 3.2

Revision 00

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Assistant Manager for Environmental Management

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LIST OF ACRONYMS

AMEM	Assistant Manager for Environmental Management
COR	Contracting Officer's Representative
DD	Division Director
DGTBQS	DOE General Technical Base Qualification Standard
DOE	Department of Energy
EM	Office of Environmental Management
FRP	Facility Representative Program
FR	Facility Representative
FRTL	Facility Representative Team Leader
FRQS	Facility Representative Qualification Standard
FRQ&RP	Facility Representative Qualification and Requalification Program
HQ	Headquarters
ORION2	Oak Ridge Issues, Open Items, and Nonconformance Tracking System
ORO	Oak Ridge Operations Office
PAA	Price-Anderson Amendments Act
PM	Program Manager
PPE	Personnel Protective Equipment
QA	Quality Assurance
SME	Subject Matter Expert

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 (FR) Program in accordance with the Department of Energy (DOE) Standard DOE-STD-1063-2000, *Facility Representatives*. The Oak Ridge Operations Office (ORO) *Facility Representative Program Manual* was used as a reference document to support this revision but is not considered a mandatory compliance document for the Facility Representative Program (FRP).

2.0 SCOPE

This procedure covers all aspects of the ORO EM Facility Representative Program to include the following topical areas:

- ? Facility Representatives Qualification and Requalification Program (FRQ&RP) Process
- ? General Facility Representative Area of Authority
- ? Typical Facility Representative Activities
- ? Relationship of Facility Representative with Contractor
- ? Facility Coverage and Staffing Determination

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 DOE-STD-1063-2000, *Facility Representatives*
- 3.1.2 DOE-O-5480.19, *Conduct of Operations Requirements for DOE Facilities*
- 3.1.3 DOE-O-231.1A, *Environment Safety and Health Reporting*
- 3.1.4 DOE-M-231.1-2, *Occurrence Reporting and Processing of Operations Information*
- 3.1.5 DOE-M-231.1-1A, *Environment Safety and Health Reporting Manual*
- 3.1.6 DOE-G-231.1-1, *Occurrence Reporting and Performance Analysis Guide*
- 3.1.7 DOE-G-231.1-2, *Occurrence Reporting Causal Analysis Guide*
- 3.1.8 ORO-EM-3.3, *Integrated Assessment Program*
- 3.1.9 FR-OM-02, *Required Reading*
- 3.1.10 FR-OM-03, *Logkeeping*
- 3.1.11 FR-OM-04, *Facility Representative Walkthroughs*
- 3.1.12 FR-OM-07, *Facility Representative Training and Qualification Program*
- 3.1.13 FR-OM-08, *Occurrence Reporting*
- 3.1.14 FR-OM-09, *Performance Indicators*

3.2 Definitions

- 3.2.1 Facility Representative: An individual assigned responsibility by the Assistant Manager for Environmental Management for monitoring the safety performance of certain facilities and its operations. This individual is the primary point of contact with the contractor for operational and safety oversight and is responsible to the Facility Representatives Team Leader.
- 3.2.2 Duty Facility Representative (or Duty Officer): A Facility Representative assigned off-normal hours duty as the point of contact for notification of abnormal events related to all EM facilities at a site or group of sites.
- 3.2.3 Contracting Officer's Representative: Contracting officer's representative means 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.

4.0 ROLES AND RESPONSIBILITIES

4.1 Assistant Manager for Environmental Management (AMEM)

- 4.1.1 Ensuring that an adequate EM Facility Representative Program (FRP) is implemented consistent with applicable standards and requirements.
- 4.1.2 Ensuring that sufficient resources are available to fulfill the purpose of the FRP.
- 4.1.3 Approving assignment of collateral duties to Facility Representatives (FRs).
- 4.1.4 Ensuring FRs are assigned to facilities and notifying the responsible PM and contractor management of those assignments.

4.2 EM Technical Support and Assessment Division Director

- 4.2.1 Ensuring an EM Facility Representative program is established based on the expectations of EM Management, the AMEM, and procedural requirements.
- 4.2.2 Support the Facility Representative Team Leader and Facility Representatives by providing the resources necessary to carry out their assigned duties.

4.3 Facility Representative Team Leader

- 4.3.1 Informing and updating the AMEM of the overall status of the FRP.
- 4.3.2 Ensuring open and timely communications among the FRs and other ORO organizations via staff meetings and field office meetings with the AMEM as needed.
- 4.3.3 Providing and/or approving administrative direction, including creation and approval of an EM Facility Representative Manual and other related guidance, for the FRP.
- 4.3.4 Determining FR coverage for the applicable buildings and activities, including maintenance of the staffing analysis, and making assignment recommendations to the AMEM.
- 4.3.5 Ensuring that FR assignments are consistent with required training, program needs, and the overall purpose of the FRP.
- 4.3.6 Supervising the activities of the FR.

- 4.3.7 Assist in obtaining technical support for FR to participate in walkthroughs.
- 4.3.8 Facilitate/assist the FRs in obtaining independent and direct access to contractor personnel, facilities, and records, as necessary, to carry out their assigned responsibilities. This includes immediate and unannounced access to assigned facilities.
- 4.3.9 Determining and approving the administrative and programmatic direction and content of the Facility Representative Qualification and Requalification Program (FRQ&RP), including facility specific experience and qualification requirements.
- 4.3.10 Developing and maintaining a data bank of facility-specific test questions for written and oral examinations, and approving oral and written exams
- 4.3.11 Approving qualification requirement equivalencies and qualification/requalification extensions
- 4.3.12 Serving as an Oral Board chairman, as appropriate.
- 4.3.13 Signing qualification program certificates of completion.
- 4.3.14 Nominate a FR for the DOE FR of the year award.

4.4 Facility Representatives

- 4.4.1 Representing EM by maintaining day-to-day operational oversight of the contractor's activities.
- 4.4.2 Stopping 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, in accordance with section 5.2.3 of this procedure.
- 4.4.3 Adhering to established codes of conduct and protocols, and all safety requirements, while performing assigned duties.
- 4.4.4 Sustaining satisfactory job performance to retain qualification.
- 4.4.5 Being thoroughly familiar with site and facility characteristics, operating procedures, operating organizational structure, and key process control personnel
- 4.4.6 Being aware 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.
- 4.4.7 Being available to respond to facility events and serve as the DOE presence for special operations.
- 4.4.8 Observing, evaluating, and reporting on the effectiveness of the contractor in multiple areas important to safe, efficient, and productive operation.
- 4.4.9 Supporting and participating in accident investigations, audits, appraisals, PAAA enforcement activities, and visits to the assigned facility, as requested
- 4.4.10 Maintaining frequent communication with supervision and other FRs, and ensuring that line management is cognizant of current facility conditions. Communicating hazards to DOE line management.
- 4.4.11 Being readily available to operating contractor personnel to facilitate the notification, if required, and reporting of occurrences and any safety or operational concerns.
- 4.4.12 Serving as the DOE primary point of contact with the contractor facility manager for day-to-day operations.

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- 4.4.13 Reviewing contractor logs, and assessment reports periodically to determine if a systemic or recurring problem exists with contractor activities.
- 4.4.14 Acting, as assigned, as the Duty Facility Representative for off-normal hours.
- 4.4.15 Requesting, as needed, additional technical resources from the FRTL.
- 4.4.16 Administering all necessary aspects of the reporting and follow-up requirements for occurrence reporting and the follow-up of significant deficiencies for assigned contractor operational activities. Approving off-normal occurrence reports.
- 4.4.17 Satisfactorily completing all aspects of the assigned FRQRP as appropriate.
- 4.4.18 Submitting qualification related documents to the FRTL.
- 4.4.19 Maintaining proper clearances, training, and qualifications to ensure immediate unannounced access to assigned facilities.
- 4.4.20 Requesting needed developmental activities through the ORO Training and Development Group
- 4.4.21 When assigned, provide mentoring training support to new FR candidates.

5.0 PROCEDURE

5.1 Facility Representatives Qualification and Requalification Program (FRQ&RP) Process

- 5.1.1 The Qualification and Re-qualification content and requirements for each assigned FR shall be determined and/or concurred with by the FRTL with the help of any applicable Technical support personnel or SMEs.
 - 5.1.1.1 The FRTL can delegate the initial development of all training materials to either an internal source or through a subcontracted source.
 - 5.1.1.2 The FRTL shall monitor delegated activities to ensure technical accuracy and the quality of the materials being developed.
- 5.1.2 The Qualification and Requalification materials and processes implemented by the FRP should be designed to convey an understanding of the most prioritized and important technical aspects of EM operations.
- 5.1.3 Individual DOE personnel should not be allowed to function alone as FRs without having completed the initial qualification program (see Attachment "A" "Initial Training and Qualification Process").
 - 5.1.3.2 Exceptions to this should be in writing from the FRTL only if the candidate can show they have the requisite technical training, knowledge, and skills to conduct oversight activities at an EM facility or project without any additional mentorship.
 - 5.1.3.2 Prior to granting this exception the FRTL must ensure that a list of facility/project specific documents are assembled and read by the candidate prior to assignment. At a minimum this list should include the following types of documents:
 - ? Project Contract
 - ? Documented Safety Analysis and Safety Evaluation Report
 - ? Authorization Agreement
 - ? USQD procedure
 - ? Radiological Protection Program

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- ? Quality Assurance Program
 - ? ES&H Program (Including Safety Management Program)
 - ? Change Control
 - ? Operations Philosophy/Plan
 - ? Conduct of Operations Procedure(s) and Matrix
 - ? Maintenance Program
 - ? Contractor Training and Qualification Program
 - ? Packaging and Transportation Program
 - ? Federal and State Permits and Certificates
- 5.1.3.2 FR candidates who qualify for this exception should complete their initial training and qualification program in 6 months instead of the allowed 18 months.
- 5.1.3.2 FR candidates who do not qualify for this exception must be assigned to a qualified Facility Representatives until they have completed their required initial training.
- 5.1.4 An FR who is newly assigned to an ORO EM facility/project and previously qualified outside of the ORO EM organization must complete the following prior to being allowed to perform oversight activities without mentoring support.
- 5.1.4.1 Assigned to a qualified EM ORO Facility Representative for a period no less than 60 days. During this 60 day period the assigned FR shall tutor the new FR on internal and external command and control requirements and complete steps 5.1.4.2 through 5.1.4.4
- 5.1.4.2 Related training to facility access, security, and Radiological Protection Program.
- 5.1.4.3 ORO EM Safety Basis TQP requirements for FRs.
- 5.1.4.4 Complete a list of Required Reading for the facility/project to include at a minimum the following types of documents:
- ? Project Contract
 - ? Documented Safety Analysis and Safety Evaluation Report
 - ? Authorization Agreement
 - ? USQD procedure
 - ? Radiological Protection Program
 - ? Quality Assurance Program
 - ? ES&H Program (Including Safety Management Program)
 - ? Change Control
 - ? Operations Philosophy/Plan
 - ? Conduct of Operations Procedure(s) and Matrix
 - ? Maintenance Program
 - ? Contractor Training and Qualification Program
 - ? Packaging and Transportation Program
 - ? Federal and State Permits and Certificates
- 5.1.4.5 Complete their official OJT, examination, and qualification card requirements within 12 months.

- 5.1.6 In some cases it is necessary to assign an FR to a facility/project for a brief period of time until a permanent FR can be assigned. In these cases the FR must meet the following criteria:
- ? Have a current ORO EM FR qualification
 - ? Have the required training for facility access, security, and Radiological Protection Program.
 - ? Complete a list of Required Reading for the facility/project to include at a minimum the following types of documents:
 1. Project Contract
 2. Documented Safety Analysis and Safety Evaluation Report
 3. Authorization Agreement
 4. USQD procedure
 5. Radiological Protection Program
 6. Quality Assurance Program
 7. ES&H Program (Including Safety Management Program)
 8. Change Control
 9. Operations Philosophy/Plan
 10. Conduct of Operations Procedure(s) and Matrix
 11. Maintenance Program
 12. Contractor Training and Qualification Program
 13. Packaging and Transportation Program
 14. Federal and State Permits and Certificates
- 5.1.6 All FRQ&RP materials shall be designed to be documented, traceable, and auditable.
- 5.1.7 All FR qualification requirements and qualification processes will be specified in FR-OM-10, *Facility Representative Training and Qualification Program*

5.2 General Facility Representative Area of Authority

- 5.2.1 Specific Facilities/Projects: Each FR has been assigned to EM facilities/projects for general oversight, safety, health, and operational awareness. These areas are specific to each FR, as recommended by the FRTL and approved by the AMEM.
- 5.2.1.1 Areas include emergency and/or abnormal operating conditions associated with DOE-sponsored facilities/projects. This does not include contracted and/or leased space operations outside of normal DOE operations, unless specifically tasked by the FRTL.
 - 5.2.1.2 For these assigned facilities, the FR 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.
- 5.2.2 Unencumbered Access: FRs shall have independent and direct access to contractor personnel, facilities, and records, as necessary to carry out their assigned responsibilities. FRs 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.
- 5.2.2.1 Contractor management should afford the FR 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.

- 5.2.2.2 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.
- 5.2.3 “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. Pending revocation or adjustment of this authority by line management, each FR may stop work on any DOE-funded operation or activity when in the best professional judgment of the FR:
- ? Conditions pose immediate danger to the health and safety of the workers or the public.
 - ? Any circumstances exist where 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.
 - ? Procedures being utilized in an operation are not being followed, and may increase the potential risks associated with the activity.
- 5.2.4 Occurrence Reporting: 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-231.1-2, *Occurrence Reporting and Processing of Operations Information*
 - ? DOE-M-231.1-1A, *Environment Safety and Health Reporting Manual*
 - ? DOE-G-231.1-1, *Occurrence Reporting and Performance Analysis Guide*
 - ? DOE-G-231.1-2, *Occurrence Reporting Causal Analysis Guide*
- 5.2.5 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.
- 5.2.5.1 The FR has no authority to approve contractor actions or procedures.
- 5.2.5.2 The FR shall not direct, approve, or concur with contractor actions or proposals, except as specifically identified by the COR.
- 5.2.5.3 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.
- 5.2.5.4 Each FR is empowered under the programmatic responsibilities of the FRP based on direction received from the FRTL. Given the variety of daily operations and situations that may be encountered, these responsibilities may be changed at the discretion of the FRTL, pending the best interests of the government.

5.3 Typical Facility Representative Activities

- 5.3.1 Each FR is provided with professional latitude in determining just how to implement the oversight and advisory roles related to their specific facility/project. While specific assessment/walkthrough activities may be assigned by the FRTL the final interpretation and implementation of these activities remain a decision to be fulfilled by the individual FR.

- 5.3.2 Examples of possible FR activities which are typical of assignments as representatives of DOE EM facilities/projects are as follows:
- 5.3.2.1 Walkthroughs (Planned and Unplanned): Each FR may perform planned or unplanned walkthroughs of their assigned facilities/projects. These walkthroughs may be used to identify a number of issues, ranging from assigned assessment requirements to gathering information on daily “housekeeping” of the facility from a safety and health standpoint. Such walkthroughs shall be documented, with a history of the issues reviewed and situations encountered. Issues should be identified and documented in accordance with stated program guidance. All walkthroughs will be scheduled conducted and documented in accordance with EM-3.3, *Integrated Assessment Program*, and FR-OM-04, *Facility Representative Walkthroughs*.
- 5.3.2.2 Assessments: Assessments are planned activities, usually conducted in accordance with a formal plan in support of ORO EM Oversight responsibilities. All formal assessments are scheduled, conducted, and documented in accordance with EM-3.3, *Integrated Assessment Program*.
- 5.3.2.3 Special Activity Coverage: Each FR may be tasked with coverage of specific operational activities beyond normal routine activities. Examples of such “special” activities might include, but not be limited to:
- ? Facility/project startup after shutdown
 - ? Facility/project abnormal operations
 - ? Facility/project emergency conditions
 - ? Additional coverage of facilities/projects as requested by EM management or supporting DOE organization(s)

5.4 Relationship of Facility Representative with Contractor

- 5.4.1 The FR functions as an extension of line management, and therefore should exercise authority consistent with program and management guidance.
- 5.4.2 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.
- 5.4.3 The FR is responsible for determining 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 discussing identified deficiencies and corrective actions with contractor management.
- 5.4.4 Although the FR identifies deficiencies, the ultimate responsibility for identifying and correcting deficiencies rests with the contractor.
- 5.4.5 Certain rules of conduct shall be adhered to by the FRs (including 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 performing work activities. An operators/workers 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 daily meetings, briefings, Plan of the Day, Plan of the Week as reasonably possible. At that time discuss any concerns with facility management.
- ? Use established chains of command for all requests for action, except when exercising “stop work” authority.

5.5 Facility Coverage and Staffing Determination

- 5.5.1 Facility coverage requirements are initially determined by the FRTL with input from the FRs consistent with the guidance specified in DOE-STD-1063-2000. Area of consideration utilized to make this determination include:
 - ? Facility Hazard Rating (Category 2, 3, Radiological, Industrial)
 - ? Work Activity Level
 - ? Other factors (i.e. regulator interest, cost, scheduled work, etc.)
- 5.5.2 These considerations assist with determining the desired number of FR personnel needed as well as the FR assignments to existing facilities/projects.
- 5.5.2 Facility/project coverage and staffing determinations shall be documented and approved by the AMEM.

6.0 RECORDS

6.1 Program Records

- 6.1.1 All documentation generated as a result of this procedure shall be collected and maintained in accordance with the requirements of DOE Order DOE O 200.1

7.0 ATTACHMENTS

- ? Attachment “A” *Initial Training and Qualification Process*

ATTACHMENT "A"

Initial Training and Qualification Process

