

memorandum

DATE: June 12, 2008

REPLY TO
ATTN OF: EM-97:T.Noë

SUBJECT: ENVIRONMENTAL MANAGEMENT PROCEDURE EM-3.2, REVISION 4, "FACILITY REPRESENTATIVE PROGRAM" - APPROVED

TO: Environmental Management Staff, EM-90

The attached Environmental Management Procedure EM-3.2, Revision 4, "Facility Representative Program" is issued for your use. Please read and familiarize yourself with the procedure. 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. This procedure will go into effect July 15, 2008.

If you have any questions or concerns about this procedure, please contact Tim Noe of my staff at 576-0963.

Stephen H. McCracken
Assistant Manager for
Environmental Management

Attachment

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memorandum

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REPLY TO

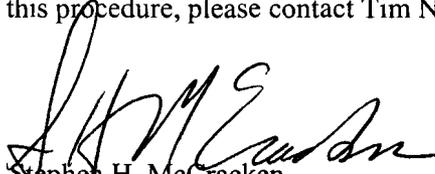
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Stephen H. McCracken
Assistant Manager for
Environmental Management

Attachment



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

FACILITY REPRESENTATIVE PROGRAM

**EM – 3.2
Revision 4**

Prepared:

**John A. Mullis/Timothy D. Noe
Facility Operations and Safety Division Director
and Facility Representative Team Leader**

6/11/08

Date:

Approved:

**Stephen H. McCracken
Assistant Manager for
Environmental Management**

6/12/08

Date:

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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
FPD	Federal Project Director
FR	Facility Representative
FRC	Facility Representative Candidate
FRG	Facility Representative Group
FRP	Facility Representative Program
FRTL	Facility Representative Team Leader
FRQS	Facility Representative Qualification Standard
GTBQS	General Technical Base Qualification Standard
HQ	Headquarters
IPT	Integrated Project Team
IQFR	Interim Qualified Facility Representative
NSTL	Nuclear Safety Team Leader
ORION	Oak Ridge Issues, Open Items, and Nonconformance Tracking System
ORO	Oak Ridge Office
PAA	Price-Anderson Amendments Act
PHA	Process Hazards Analysis
PM	Project Manager/Program Manager
QAD	Quality Assurance Director
RR	Required Reading
SME	Subject Matter Expert
SSO	Safety Systems Oversight
TQP	Training and Qualification Program
FOSDD	Facility Operations and Safety Division Director
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*.

It will also identify and implement a standardized approach to selected items the Safety System Oversight (SSO) personnel employee that are similar to the FR program. These activities will be absorbed by the FR support personnel.

2.0 SCOPE

This procedure covers all aspects of the ORO EM FRP and certain specific aspects of the ORO EM SSO 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 226.1, *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-414.1-1A, *Management Assessment and Independent Assessment Guide*
- 3.1.4. DOE O 430.1B, *Real Property Asset Management*
- 3.1.5. DOE-O-5480.19, *Conduct of Operations Requirements for DOE Facilities*
- 3.1.6. DOE-M-231.1-1A, *Environment Safety and Health Reporting Manual*
- 3.1.7. DOE-M-231.1-2, *Occurrence Reporting and Processing of Operations Information*
- 3.1.8. DOE-M-411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*
- 3.1.9. DOE-G-231.1-1, *Occurrence Reporting and Performance Analysis Guide*
- 3.1.10. DOE-G-231.1-2, *Occurrence Reporting Causal Analysis Guide*
- 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, *CN2, Preparation Guide for U. S. Department of Energy Nonreactor Nuclear Facility Documented Safety Analysis*
- 3.1.17. DOE-STD-5505-96, *Operations Assessments*
- 3.1.18. 10 CFR 830, *Nuclear Safety Management*
- 3.1.19. EM-3.3, *Integrated Assessment Program*
- 3.1.20. EM-2.5, *EM Facility Representative Training and Qualification Program*

- 3.1.21. Memorandum from DR. Ines R. Triay, Chief Operating Officer for EM, *Occurrence Report Categorization and Review*, Dated July 5th 2006
- 3.1.22. BJC Procedure, BJC-PQ-1220 *Occurrence Notification and Reporting*
- 3.1.23. ORO O 420, Chapter IV, *Conduct of Operations Requirements for DOE Facilities*
- 3.1.24. ORO O 420, Chapter XV, *Safety Systems Oversight Program*
- 3.1.25. ORO O 420, Chapter XVII, *Facility Representative Program*

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 (see 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. 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.
- 3.2.4. 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.
- 3.2.5. 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.
- 3.2.6. 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.
- 3.2.7. 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.

3.2.8. **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.

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.

3.2.10. **Facility Representative On-Call:** An 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 FR personnel.

3.2.11. **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.

3.2.12. **Field Element Manager:** the DOE employee having overall responsibility for a field element.

3.2.13. **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).

3.2.14. **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.
- DOE-STD-1027-92 contains additional information on methods and criteria for determination of Hazard Categories.

3.2.15. **Hazard Classes:** (DOE-STD-3006-2000) non-nuclear facilities are categorized as high, moderate, or low hazards based on the following:

- High – hazards with a potential for onsite and offsite impacts to large numbers of persons or for major impacts to the environment;
- Moderate – hazards which present considerable potential onsite impacts to people or the environment, but at most only minor offsite impacts; and,
- Low – hazards which present minor onsite and negligible offsite impacts to people and the environment.

- 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. **Headquarters Program Manager:** A Headquarters organization, reporting to the CSO, responsible for executing program management functions, and for directing and supporting field elements in safety and health, administrative, management, and technical areas.
- 3.2.18. **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.
- 3.2.19. **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.
- 3.2.20. **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.
- 3.2.21. **Secretarial Officer:** (DOE M 411.1-1C) A manager who reports directly to the Secretary, the Deputy Secretary or the Under Secretaries.
- 3.2.22. **Required Reading:** An administratively controlled means of conveying important information to Facility Representatives.
- 3.2.23. **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.
- 3.2.24. **Safety Systems Oversight (SSO):** Individuals assigned responsibility for contractor oversight based on a specific system or group of systems. This oversight can be applied to various facilities, projects, and/or operations. With respect to the SSO staff member's expertise, the individual has technical understanding of the system requirements, design, operation, testing, and maintenance and knowledge of relevant codes, standards, procedures, and acceptance criteria.
- 3.2.25. **Surveillance:** This is a cross between a walkthrough and an assessment. It applies more rigor than a walkthrough but less formality than an assessment. A Surveillances covers a specific topic, the topic covered must have a basis, and surveillances are usually scheduled. See EM-3.3 for addition details.
- 3.2.26. **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. Ensuring that an adequate EM 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. Ensuring FRs are assigned to facilities and notifying the responsible Project Manager (PM) and contractor management of those assignments.
- 4.1.4. Ensuring 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 Division Director

- 4.2.1. Provides the overall priorities and guidance for the EM FRP.
- 4.2.2. Approving assignment of collateral duties to FRs.
- 4.2.3. Ensures EM facilities and projects are analyzed and provide FR coverage 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, including the elements from the FRQS and the GTBQS.
- 4.2.5. Ensure criteria for the selection of FRs are developed.
- 4.2.6. Ensures the FRs primary duty is to conduct performance based observation.
- 4.2.7. Ensuring an EM Facility Representative program is established based on the expectations of EM Management, the AMEM, and procedural requirements.
- 4.2.8. Support the Facility Representative Team Leader (FRTL) and FR by providing the resources necessary to carry out their assigned duties.
- 4.2.9. Periodically review ORION Tracking System.

4.3. Facility Representative Team Leader

- 4.3.1. Ensure that EM FR are conducting walkthroughs and documenting the walkthroughs and issues in ORION in a timely manner.
- 4.3.2. Assign an FR to fill in for an FR that is on extended leave.
- 4.3.3. Through established guidance identify backups for Nuclear Facilities
- 4.3.4. Monitor performance to ensure FRs review, approve, and/or reject occurrence reports in a timely manner.
- 4.3.5. Designating pertinent programmatic, departmental, DOE-wide or commercial industry information as an RR on an as needed basis.
- 4.3.6. Responsible for inclusion of the RR material in the RR file, notification of assigned personnel, and maintenance of RR file records.
- 4.3.7. Prepare a FR Group Quarterly report and provide this report to the Assistant Manager for Environmental Management and Headquarters Program office.

- 4.3.8. Ensuring open and timely communications among the FRs and other ORO organizations via staff meetings.
- 4.3.9. Recommending FR coverage for the applicable buildings and activities, including maintenance of the staffing analysis, and making assignment recommendations to the AMEM.
- 4.3.10. Assist in obtaining technical support for FRs when needed.
- 4.3.11. Determining and approving 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. Nominate a FR for the DOE FR of the year award.
- 4.4. Nuclear Safety Team Leader**
 - 4.4.1. Responsible for inclusion of the RR material in the SSO RR file, notification of assigned personnel, and maintenance of RR file records.
- 4.5. Facility Representatives**
 - 4.5.1. Representing EM by maintaining day-to-day operational oversight of the contractor's activities.
 - 4.5.2. 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.
 - 4.5.3. Keep track of significant oversight items that need to be documented in ORION.
 - 4.5.4. Be available as required to receive notification of occurrences at their assigned facilities/projects.
 - 4.5.5. Complete the review, comment, and approval of Operational Emergencies and Significance Category 1, R, and 2 Final Reports within 10 calendar days after receipt of the report.
 - 4.5.6. Responsible for reading and understanding assigned RR prior to or on the established completion date.
 - 4.5.7. Based on the SMEs unique skills, knowledge and hazards associated with their assigned facilities, determine the required SME to assist in the performance of walkthroughs and surveillances. Identify SME participants in ORION.
 - 4.5.8. Perform walkthroughs and surveillances in accordance with EM 3.3, "Integrated Assessment Program Oversight" and this procedure.
 - 4.5.9. 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.
 - 4.5.10. Adhering to established DOE/Contractor codes of conduct and protocols, and all safety requirements, while performing assigned duties.
 - 4.5.11. Being thoroughly familiar with site and facility characteristics, operating procedures, operating organizational structure, and key process control personnel.
 - 4.5.12. Being available to respond to facility events and serve as the DOE presence for special operations.
 - 4.5.13. Observing, evaluating, and reporting on the effectiveness of the contractor in multiple areas important to safe, efficient, and productive operation.

- 4.5.14. Supporting and participating in accident investigations, audits, appraisals, PAAA enforcement activities, and visits to the assigned facility, as requested.
- 4.5.15. Maintaining frequent communication with supervision and other FRs, and informing line management of current facility conditions, and communicating hazards to DOE line management.
- 4.5.16. Being readily available to operating contractor personnel to facilitate the notification, if required, and reporting of occurrences and any safety or operational concerns.
- 4.5.17. Reviewing contractor documentation, and assessment reports periodically to determine if a systemic or recurring problem exists with contractor activities.
- 4.5.18. Requesting needed technical resources from the FRTL.
- 4.5.19. Satisfactorily completing all required elements of EM-2.5, *EM Facility Representative Training and Qualification Program* as needed.
- 4.5.20. Submitting qualification related documents to the FRTL or designee.
- 4.5.21. Maintaining proper clearances, training, and qualifications to ensure immediate unannounced access to assigned facilities.
- 4.5.22. When assigned, provide mentoring training support to new FR candidates.
- 4.5.23. Issue weekly written reports (via ORION) of activities performed with the following on distribution at a minimum:
 - 4.5.23.1. Facility Representative Team Leader
 - 4.5.23.2. Facility Operations and Safety Division Director
 - 4.5.23.3. Integrated Project Team or Federal Project Director

4.6. Safety Systems Oversight Personnel

- 4.6.1. Responsible for reading and understanding assigned RR prior to or on the established completion date.

5.0 PROCEDURES

5.1. Facility Representative Area of Authority

- 5.1.1. 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 FO&SDD.
 - 5.1.1.1. Areas include those Nuclear Facilities that are assigned to FRs as a back-up role. Nuclear Facilities assigned to FRs in a back-up capacity do not require additional training above their current qualification set.
 - 5.1.1.2. 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 AMEM and TSADD.
 - 5.1.1.3. 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.

- 5.1.2. Unencumbered Access: FRs shall have independent and direct access to contractor and leased 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.
- 5.1.2.1. Contractor management shall 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.
- 5.1.2.2. 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. This correspondence should be revisited periodically (especially if there is a change in Contractors) for revision and reissuance.
- 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 may stop work on any DOE-funded operation or activity when in the best professional judgment of the FR for the following reasons:
- Conditions pose immanent 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.
- 5.1.3.1.1. Assistant Manager for Environmental Management
- 5.1.3.1.2. Facility Operations and Safety Division Director
- 5.1.3.1.3. Facility Representative Team Leader
- 5.1.3.1.4. Integrated Project Team Leader or Federal Project Director
- 5.1.3.2. The activation 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 FRTL 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 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 facility[s])
- 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 weekly written reports (via ORION) of activities performed with the following on distribution at a minimum:
 - Facility Representative Team Leader
 - Facility Operations and Safety Division Director
 - Integrated Project Team or Federal Project Director
- 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.
 - 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 following describes the Authorities of the FRC and IQFR
- 5.1.4.2.1. Stop Work Authority as described 5.1.3.
 - 5.1.4.2.2. Report directly to line management on performance of the facility
 - 5.1.4.2.3. Interact directly with the contractor and its representatives
- 5.1.4.3. The FRC can not approve final occurrence reports until they have fully meet 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 significance category 1 and 2 occurrence reports.
 - 5.1.5.2. The FR shall not direct, approve, or concur with contractor actions or proposals, except as specifically identified by the COR in writing.
 - 5.1.5.3. The FR may advise or suggest actions or activities but must take care that such advice or suggestion is not construed by the contractor as direction, approval, or concurrence.

5.2. Logkeeping Practices

- 5.2.1. The Purpose of this section is to establish the expectations applicable to logkeeping by EM FRs. Such logs are only for use by the individual FR as an aid in their documentation of issues and report preparation.
- 5.2.1.1. EM FR logkeeping is not essential to EM facility or process operations. FR logs are not intended to be used to reconstruct an adverse activity or an event. Therefore, it is not mandatory to maintain a formal log detailing the FR activities. ORION is the primary means for documenting oversight activities and items.
 - 5.2.1.2. If a log is used by the FR then the FR may use DOE-STD-1035-93, *Guide to Good Practices for Logkeeping* as guidance for writing their logs.
 - 5.2.1.3. Each FR should keep track of oversight activities and items related to issues that need to be brought to the attention of DOE management and/or the contractor. These activities must be reported weekly via ORION.
 - 5.2.1.4. Once the recorded information is no longer needed and all pertinent information is in ORION, then the log can be either maintained or discarded at the discretion of the FR.

5.3. Occurrence Reporting

- 5.3.1. The purpose of this section is to establish guidelines for FR activities related to the reporting and approval of Occurrence Reports. These guidelines apply only to an EM FR. The Occurrence Reporting and Processing System (ORPS) is a computerized way to submit, collect, transmit, update, and sign 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.
- 5.3.2. 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
 - ORO O 230, Chapter 1V, *Occurrence Reporting and Processing of Operations Information*
- 5.3.2.1. FRs will be available at all times to receive notifications of events that take place in their assigned facilities and projects. If an FR is not available for what ever reason the contractor will be instructed to notify designated backups as assigned by the FRTL.
- 5.3.2.2. FRs shall be notified by the contractor and asked to review all Cat 3 and Cat 4 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 (reference BJC procedure, BJC-PQ-1220 *Occurrence Notification and Reporting*).
- 5.3.2.3. FRs shall be notified and asked to review all Cat 3 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 (reference BJC procedure BJC-PQ-1220, *Occurrence Notification and Reporting*).
- 5.3.2.4. FRs will inform contractors when Cat 3 occurrences (especially electrical events) warrant corrective action(s) to prevent recurrence.
- 5.3.2.4.1. FRs will ensure near misses per Group 10, Management Concerns/Issues, subparagraph (3) of the Manual are categorized as Cat 1,2, or 3.

- 5.3.2.5. The FR shall ensure that appropriate line management (e.g., Facility Representatives Team Leader and Project Director) is made aware of any occurrence related to their assigned facilities as soon as reasonably possible.
- 5.3.2.6. The FR should attend occurrence critiques when available.
- 5.3.2.7. When a notification or update report is submitted by the contractor to ORPS, the assigned FR should review it for accuracy and appropriate completeness.
- 5.3.2.8. 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.
- 5.3.2.9. The FR shall complete their review and approval or rejection of the final occurrence report 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 Required Reading program that will ensure EM FRs and SSO personnel understand any pertinent information related to the performance of their duties. These guidelines apply to all EM FRs and SSO Personnel.
 - 5.4.1.1. A RR file will be established and maintained for the EM FR Group and SSO Group. As a minimum, the following information should be included in the required reading binder/file:
 - 5.4.1.1.1. Notification of new procedures and/or revision to existing procedures
 - 5.4.1.1.2. Significant Lessons Learned
 - 5.4.1.1.3. Notification of unusual operations; and
 - 5.4.1.1.4. Any information determined by management to be of significant importance or common interest to the program.
 - 5.4.1.2. EM FR and SSO Personnel should be able to complete the RR assignments during the course of their normal work activities.
 - 5.4.1.3. A RR Index shall be placed in the RR file. The index shall include a listing of documents designated by the FRTL or Nuclear Safety Team Leader (NSTL).
 - 5.4.1.3.1. The RR Index must be updated as new documents are issued by the FRTL and NSTL.
 - 5.4.1.4. The EM FRTL and NSTL will designate appropriate pertinent information as RR material. The FRTL and NSTL will request the RR File Administrator to enter the material in the RR file.
 - 5.4.1.5. Each item entered into the RR file shall have a RR Sign-off Sheet attached and completed as follows:

- 5.4.1.5.1. Enter the title of the document to be read.
 - 5.4.1.5.2. Enter the RR completion date (usually 30 days from the date the item is placed in the RR file)
 - 5.4.1.5.3. Enter the names of the personnel required to read the material.
 - 5.4.1.5.4. Attach the RR Sign-off Sheet to the document and place it in the RR file.
 - 5.4.1.5.5. The RR File Administrator is responsible for assuring that the RR Index is current and complete.
 - 5.4.1.6. The RR File Administrator shall notify designated individuals that a new RR is in the file, and the date by which the reading must be completed.
 - 5.4.1.6.1. This can also be completed by scanning the document and e-mailing it to assigned individuals notifying them of the completion date.
 - 5.4.1.7. Each assigned person must perform the reading within the established time constraints.
 - 5.4.1.8. Upon completion of the reading the assigned individual shall acknowledge the RR is complete by notifying the RR File Administrator and reporting completion.
 - 5.4.1.8.1. The RR File Administrator will place the notification in RR file with the document and annotate on the RR Sign-off Sheet by the individuals name that it was completed.
 - 5.4.1.9. The EM FRTL and NSTL will review the RR file periodically. If a RR is overdue, corrective action should be taken by the FRTL or NSTL.
- When all designated individuals have indicated that they have read the RR, the document shall be removed from the active RR file by the RR File Administrator and filed in the inactive file and maintained for three years.
- 5.4.1.11. Upon receipt of the completed RR Sign-off Sheet the RR File Administrator will file the Sign-off Sheet and the target RR document.

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. Significant walkthrough and surveillance activities that identify P1, P2, or P3 issues shall be documented in ORION.

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 FRTL.
 - 5.6.1.1. 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 FRTL. To fulfill these requirements, and to meet the expectations of HQ and ORO EM management, the following specific reporting activities are required of each FR in the ORO EM program.
 - 5.6.1.2. On a weekly basis FRs shall provide a report to the FRTL. 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

5.6.1.3. On a monthly basis the FRTL shall provide a summary report to line management that is derived from the FR individual weekly reports.

5.6.1.4. The FRTL 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.

5.6.1.5. At a minimum this report shall be sent to the Assistant Manager and Chief Operating Officer for Environmental Management, with copies going to (at a minimum) , the EM Facility Representative Group Leader, and DOE EM Federal Project Directors.

5.7. Facility Representative Initial, Delta, and Requalification Program (FRQ&RP)

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 and corrective actions 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 FRTL with input from the FRs consistent with the guidance specified in DOE-STD-1063-2006. The DD 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, 3, Radiological, Industrial)
 - Work Activity Level
 - Other factors (i.e. regulator interest, cost, scheduled work, etc.)
- 5.9.3. These considerations assist with determining the desired 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.

7.0 ATTACHMENTS

- No Attachments