



Facility Representative Program Manual

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Revision 3

U.S. Department of Energy
Oak Ridge Operations

OAK RIDGE OPERATIONS

**FACILITY REPRESENTATIVE
PROGRAM MANUAL**

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Submitted:

R. J. Brown, Assistant Manager for Asset Utilization

G. J. Malosh, Assistant Manager for Laboratories

R. R. Nelson, Assistant Manager for Environmental Management

R. W. Poe, Assistant Manager for Environment, Safety, Health, and Emergency
Management

R. D. Folker, Acting Assistant Manager for Administration

Approved:

G. Leah Dever, Manager
Oak Ridge Operations

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ACRONYMS

COR	Contracting Officer Representative
DOE	U.S. Department of Energy
FR	Facility Representative
FRPC	Facility Representative Policy Committee
FRPM	Facility Representative Program Manager
FRQS	DOE Facility Representative Qualification Standard
FRWG	Facility Representative Working Group
GTBQS	DOE General Technical Base Qualification Standard
DOE/HQ	U.S. Department of Energy Headquarters
IDP	Individual Development Plan
ISM	Integrated Safety Management
LCO	Limiting Condition for Operation
OPM	Office of Personnel Management
ORO	Oak Ridge Operations Office
OSR	Operational Safety Requirement
PAAA	<i>Price-Anderson Amendments Act</i>
TC	Training Center
TQP	Technical Qualification Program
TQR	Technical Qualification Record
TS	Technical Specifications
TSR	Technical Safety Requirement

DEFINITIONS

Contracting Officer Representative. The Oak Ridge Operations Office individual, designated by the Manager, who is directly involved in the operation of a facility under their cognizance and who holds signature authority to provide technical direction through DOE Field Organizations to contractors for these facilities.

Cost-Plus-Award-Fee Performance Evaluation. An evaluation process of monitoring, reviewing, and evaluating the contractor's performance against established criteria to determine the degree to which specified goals have been met.

Facility. Any equipment, structure, system, process, or activity that fulfills a specific purpose.

Imminent Danger. An existing situation where there is a reasonable certainty that the condition(s) or practice(s) could cause death or serious physical harm immediately or within a short period of time.

Oversight. As used in this procedure, observation, surveillance, review, audit, interrogation, interview, analysis, meeting, evaluation, monitoring, calculations, or any other activity that serves to verify, determine, or evaluate conditions of a facility.

Surveillance. A process, generally of one to two hours' duration, in which a person or a group of persons engages in observing chosen aspects of maintenance, operations, training, or other supporting activities within a facility.

Verification. An activity designed to ensure that a completed activity has been satisfactorily performed and conforms to that stated in the action or corrective action plan.

OAK RIDGE OPERATIONS FACILITY REPRESENTATIVE PROGRAM MANUAL

1.0 PROGRAM, POLICY, AND ORGANIZATION

In conjunction with DOE-STD-1063-2000, *Facility Representatives*, this manual documents the Oak Ridge Operations Office (ORO) approach to implementing an effective Facility Representative (FR) Program.

1.1 Policy

- 1.1.1** ORO will have adequate FR coverage for critical facilities and operations at each site and strive to have a uniform methodology for implementing Department of Energy (DOE) Standard 1063-2000, "Facility Representatives."
- 1.1.2** Line management programs determine the appropriate level of FR coverage for their sites based on a graded approach that considers hazards, the complexity of operations, and their programmatic importance. Each field program office shall assign sufficient personnel to ensure that facilities are operated safely and efficiently.
- 1.1.3** ORO will classify FR positions in accordance with Office of Personnel Management (OPM) classification standards. Grade structures for FR positions are typically at the GS-14 level based on completion of full qualification and acceptable performance for one year.
- 1.1.4** FR candidates will be selected based on uniform standards from the best qualified candidates available, and additional training will be provided, as needed, both to ensure they are effective in their defined roles and to provide career-enhancement opportunities.
- 1.1.5** Roles, responsibilities, and authorities shall be clearly defined. Collateral duties are to be minimized so that FR efforts are maximally directed toward fulfilling FR duties.
- 1.1.6** ORO line management shall strive to encourage FRs to develop their skills through continuing training, graduate study, and professional certification, and provide opportunities for FRs to develop management skills.
- 1.1.7** Annually, ORO senior management will, through a formally documented process, nominate a FR for the DOE Facility Representative of the Year Award (See Attachment A1).

1.2 Objectives

- 1.2.1** The objectives of the FR Program are to ensure that facility operations and projects are conducted within the safety envelope approved by the DOE, that facilities are maintained in a condition conducive to safe operation, that contractor performance continually meets minimum requirements and expectations, and that effective lines of communication are maintained between DOE and its contractors. Additionally, it is to ensure that competent DOE staff personnel are assigned to oversee day-to-day contractor operations at DOE's most hazardous facilities

1.2.2 ORO senior management will periodically review these objectives and their impact on improving the safety performance of ORO contractors. More specific objectives will be established, as needed, to focus on areas of concern. Any focused objectives will not detract from the primary objective of facility safety.

1.3 Applicability

1.3.1 The directions set forth in this manual are applicable to all ORO organizations and cover all DOE-owned, contractor-operated facilities and projects under the purview of ORO.

1.3.2 This guidance is applicable to nuclear and hazardous non-nuclear and radiological facilities as determined by the responsible Assistant Manager and is to be incorporated into implementation procedures for FRs that are specific to each organization.

1.3.3 This guidance should be applied using a graded approach based on risk to the workers, the public, and the environment.

1.4 Program

The major FR Program elements include:

- Defining program roles, responsibilities, and requirements
- Determining FR facility coverage
- Determining FR selection criteria
- Identifying performance, knowledge, and skill requirements (position standard)
- Establishing/implementing qualification and requalification requirements
- Identifying available training and qualification activity resources
- Developing examination banks for the qualification tests
- Maintaining training and technical qualification records
- Developing program office guidance for training and qualification, activity planning, issue identification and resolution, and reporting
- Performing periodic assessments of the ORO Facility Representative Program to ensure a high and continuously improving level of performance.

Attachment 2 provides cross-referencing between the sections of DOE-STD-1063-2000 and the corresponding sections of this manual.

1.5 Organizational Responsibilities

1.5.1 ORO Manager or Designee

- a. Assigned overall responsibility for the ORO FR Program
- b. Designates FR Program Sponsor
- c. Determines overall priorities of the FR Program
- d. Conducts final interviews for qualification with FR candidates and certifies the candidate as qualified

1.5.2 ORO Facility Representative Program Sponsor

- a. Establishes and sponsors Facility Representative Working Group (FRWG)
- b. Ensures that all needed ORO-wide FR Program documentation is prepared and current
- c. Ensures that all ORO Program Managers understand the functions, responsibilities, and authorities of FRs, including stop work authority
- d. Ensures that support is provided to the FRs from the applicable functional organizations
- e. Ensures that the Generic Examination Bank is updated, as appropriate
- f. Establishes communications and sharing of lessons learned among FRs
- g. Ensures that an appropriate level of internal oversight of the FR Program is provided, including periodic performance assessments and tracking of corrective actions
- h. Coordinates with ORO senior management as necessary on ORO FR issues
- i. Distributes decisions to the applicable ORO line organizations for implementation
- j. Forwards nominations for DOE FR of the Year to cognizant ORO senior management for review and selection

1.5.3 Facility Representatives Working Group (FRWG)

- a. Identifies common issues and resolves those that do not need higher management guidance, direction, or support and prepares appropriate decision documentation
- b. Presents policy-related issues to the ORO FR Program Sponsor with options, recommendations, and rationales

1.5.4 Cognizant Program Assistant Manager or Designee

- a. Ensures that an adequate FR Program is implemented consistent with applicable standards and requirements
- b. Ensures that sufficient resources are available to fulfill the mission of the FR Program
- c. Ensures that administrative assignments will be limited
- d. Formally assigns FRs to facilities and notifies the ORO FR Program Sponsor and contractor management of those assignments
- e. Ensures that all ORO line personnel understand the functions, responsibilities, and authorities of FRs
- f. Ensures that contractors and subcontractors are aware of FR roles and responsibilities, including stop work authority
- g. Annually submits a nomination for DOE FR of the Year to the FR Program Sponsor, using criteria in Attachment 1

1.5.5 Facility Representative Supervisor

- a. Provides the overall priorities and guidance for the applicable FR Program
- b. Determines which facilities are provided FR coverage
- c. Maintains coverage and staffing analysis for the line management FR Program
- d. Provides guidance on emphasis areas for contractor performance evaluation
- e. Ensures technical support is available to the FR
- f. Ensures open and timely communication among the FRs and other ORO organizations
- g. Establishes facility-specific qualification standards and cards
- h. Ensures that the DOE Facility Representative Qualification Standard (FRQS) and the DOE General Technical Base Qualification Standard (GTBQS) are included in the qualification cards
- i. Develops and maintains a data bank of facility-specific test questions for written and oral examinations
- j. Ensures that clear lines of supervision, management, and authority among the FRs, the Field Organization, and the secretarial officer are established
- k. Supervises the daily activities of the FR

- l. Develops facility-specific experience criteria for the selection of FRs (see section 2.1 of this manual)
- m. In conjunction with the FR, specifies the minimum requirements for the types and frequency of FR activities
- n. Ensures that the FR is trained and qualified per applicable guidelines
- o. Documents any deviations from the approved qualification program according to program requirements
- p. Approves qualification requirement equivalencies
- q. Approves interim qualification of FR candidates
- r. Approves qualification/requalification extensions
- s. Approves oral and written exams
- t. Serves as Oral Board member, as appropriate
- u. Signs qualification program certificate of completion
- v. Ensures that an appropriate amount of the FR's time is devoted to performance-based observation activities especially when he/she is on collateral duties or shadowing someone to learn management skills
- w. Ensures that responsibilities assigned to the FR do not create a conflict of interest with the primary purpose of the FR Program; FR duties will be free from programmatic responsibilities to the extent possible

1.5.6 Facility Representative

- a. Serves as the DOE primary point of contact with the contractor facility manager for day-to-day operations
- b. Monitors and evaluates contractor performance associated with assigned facilities or operations to identify problems and initiate appropriate action through DOE line management and the contractor
- c. Recommends the minimum requirements for the types and frequency of FR activities to FR supervisor
- d. Periodically reviews logbooks and assessment reports to determine if a systemic or recurring problem exists with contractor activities
- e. Provides input to the contractor performance evaluation (if applicable) with regard to the contractor's implementation of contractual requirements and contractor programs and procedures in assigned facilities

- f. Meets regularly with contractor counterpart(s) to discuss planned or ongoing facility activities
- g. Maintains general knowledge and operational awareness of all aspects of the assigned facility, utilizing other available technical staff as needed
- h. Supports and participates in accident investigations, audits, appraisals, and visits to the assigned facility
- i. Performs/participates in verification inspections
- j. Performs reviews prior to Operational Readiness Reviews to help DOE line management ensure that facilities, staff, and operations are ready for start-up and for independent external review
- k. Initiates stop work of an operation or process if imminent danger is deemed to exist (see paragraph 3.1.1 of this manual)
- l. Ensures that the contractor's management system is effectively implementing Integrated Safety Management (ISM) into daily tasks
- m. Communicates/coordinates with other FRs
- n. Supports *Price-Anderson Amendments Act* (PAAA) enforcement activities
- o. Submits qualification-related documents to the Training and Development Group for inclusion in training records (e.g., position standards, qualification standards, qualification cards, Technical Qualification Records (TQRs), Individual Development Plans (IDPs), supporting documentation for equivalency credit, exemptions, and documentation of completion for developmental activities, such as course certificates)
- p. Requests needed developmental activities through the Training and Development Group
- q. Submits completed evaluation forms to the Training and Development Group on completion of developmental activities
- r. Completes qualification activities
- s. Keeps DOE line management informed of operational and safety issues

1.5.7 Training and Development Group (Human Resources Division)

- a. Maintains FR training and qualification records in accordance with the requirements of the OPM
- b. Provides guidance for development of on-the-job training and self-study modules
- c. Develops guidance for the development and administration of examinations
- d. Through the IDP and the TQR process, conducts training needs analysis to assist divisions in identifying needed developmental activities for FR qualification
- e. Identifies and procures learning activities to support the Qualification Program
- f. Maintains test bank for the FR Qualification Program

- g. Maintains a Training Center (TC) that includes printed, audiovisual, and computer-based training materials that provide support to the FR Qualification Program

2.0 SELECTION, TRAINING, AND TECHNICAL QUALIFICATION PROGRAM

A goal of the FR program is to develop technically qualified FRs in a timely manner. Appropriate time will be provided to complete self-study and on-the-job training as well as formal classroom training; therefore, no collateral duties should be assigned during the training period without the approval of the appropriate line organization management.

2.1 Selection Criteria

2.1.1 Education Requirements

To enter the FR training and qualification program, the expected minimum education is a bachelor's degree or equivalent technical degree. Alternately, completion of an appropriate formal training program and extensive experience in a directly related field such as naval nuclear power, commercial nuclear power, radioactive waste management, nuclear weapons, nuclear research, industrial safety, chemical safety, or accelerator facility programs is also sufficient. This is necessary to ensure that the individual possesses the baseline knowledge to successfully complete the training program, the ability to function independently in the field, and the ability to understand scientific principles and communicate in technical terms. Waivers to this requirement must be approved by the cognizant Assistant Manager consistent with DOE-STD-1063-2000, 5.8.1.

2.1.2 Experience Requirements

Facility-specific experience criteria should be developed and applied as part of the selection criteria for FR candidates. The facility-specific experience criteria should reflect the complexity, hazard classification, and activity level of the facility and be commensurate with the responsibilities, authority, and duties of the assigned facility.

2.1.3 Medical Certification

The FR candidate must be able to successfully complete a physical examination and perform those physical activities necessary to qualify as a radiation worker, wear respiratory equipment, and/or carry out any other necessary FR functions.

2.2 Technical Qualification Program Elements and Schedule

2.2.1 Purpose

A FR shall be qualified by education, experience, and/or training to carry out the duties and responsibilities of the position. FRs are required to meet stringent and comprehensive qualification standards. FRs should possess a broad technical knowledge in a variety of disciplines and be able to demonstrate an understanding of the management, processes, practices, regulatory requirements, and operating limits of their assigned facilities.

2.2.2 Scope

FRs shall be qualified through a formal program in which the training requirements are tailored to the specific needs of the facilities involved. Some requirements may be met based on documented equivalency of knowledge and experience. The program should define the following:

- a. The requirements to satisfy the elements contained in the Technical Qualification Program (TQP) (see section 2.1.4), which is the core training program that will cover the subjects in which the FR must be knowledgeable
- b. The facility-specific training necessary to allow the FR to effectively perform his/her duties

Each line organization shall establish facility-specific qualification standards, learning objectives, and qualification cards for each major facility or group of lesser facilities for which it has identified an FR. In addition, line management shall ensure that the training and qualification requirements are met by the FR candidates.

2.2.3 Elements

The major FR Qualification Program elements include:

- Determining applicable qualification requirements (qualification standards/cards)
- Completing equivalency documentation for qualification requirements already met
- Identifying individual training/developmental needs (IDP and TQR)
- Completing needed training and qualification activities
- Completing qualification exams
- Maintaining training and qualification records
- Requalification requirements

2.2.4 Requirements

The documentation for ORO FR qualification is as follows:

- GTBQS
- FRQS
- Office/facility-specific qualification standards

2.2.5 Qualification Schedule

2.2.5.1 Employees in the FR Qualification Program shall complete the program in accordance with the following schedule:

- a. New hires and personnel transferred or promoted into the FR position shall complete the program within 18 months of their hire, transfer, or promotion date, whichever is more advantageous to the employee

- b. FRs reassigned to new facilities shall complete office- and facility-specific requirements within 1 year of the transfer

2.2.5.2 This requirement is subject to availability of training and FR workload. Exceptions to the above shall be approved by the FR supervisor/coordinator.

2.2.6 Certification

Upon satisfactory completion of all elements of the qualification card(s) and associated examinations, line management within the Field Organization will review and confirm satisfactory completion of the training requirements and eligibility of the candidate to become a FR. Certification is granted by ORO senior management after satisfactory completion of their interview with the candidate.

2.2.7 Extension Requirements

2.2.7.1 Requests for extensions of qualification/requalification requirements shall be approved by the cognizant Assistant Manager or Designee on a case-by-case basis to support operational or scheduled commitments. Requests for extensions shall include the following information:

- a. Name of employee and organization to which assigned
- b. Reason the extension is being requested, including
 - explanation of circumstances that prevented the person from completing the requirements
 - description of the operational and/or scheduled situation that necessitated the extension
 - length of extension
 - requirements that will not be completed
 - consequences if extension is not granted

2.2.8 Qualifying Officials

The immediate supervisor shall identify qualifying official(s) for FR core and facility-specific qualification requirements.

2.2.9 Interim Qualification

Where applicable, the cognizant Assistant Manager or Designee shall approve a documented statement of interim qualification for FR candidates that addresses the following:

- Qualification and selection criteria used as the basis for the interim qualification
- Work activities the FR candidate will perform during the interim qualification period
- Level of supervision required for the FR candidate during the performance of work activities
- Expiration date of the interim qualification (not to exceed 24 months)

2.3 DOE Technical Qualification Program (TQP) Implementation

2.3.1 Process

The TQP is the process used to objectively determine whether individuals performing activities related to the technical management, performance monitoring, or operation of defense nuclear facilities possess the necessary knowledge, skills, and abilities to perform their specific duties and responsibilities. Qualification of individuals is based on the three-tiered approach that includes the GTBQS, FRQS, and facility-specific qualifications.

2.3.2 Implementation

Guidance for ORO implementation of the DOE TQP is provided in DOE O 360.1, *Training*. A formal evaluation of the program will be conducted by line management with support from the Training and Development Group at least every 3 years in accordance with DOE O 360.1, *Training*.

2.3.3 Standards and Records

2.3.3.1 DOE General Technical Base Qualification Standard

The GTBQS is the basis for the TQP and is required of all technical positions. FRs must meet the competencies in the GTBQS through equivalencies or through training identified in their IDPs.

2.3.3.2 DOE FR Qualification Standard

The second tier of the TQP for FRs is the FRQS. FRs must meet the competencies of the FRQS through equivalencies, exemptions, or through training identified in their IDPs or TQRs.

2.3.3.3 Technical Qualification Record

Compliance with the GTBQS and the FRQS shall be documented. Documentation may be accomplished through completing the TQR and identifying equivalencies for the competencies via previous training, education, or documented duty assignments. Although not recommended for FRs, competencies may be exempted if the FR does not perform those duties. An equivalency/exemption memo is included in the TQR.

2.3.4 Facility Representative Qualification Process

The qualification process for the TQP requires that a qualification card be created, equivalencies documented, and a training plan developed for the remaining competencies. The requirements include:

- GTBQS
- FRQS
- Office/Facility Specific

Copies of the GTBQS and the FRQS are available through the Training and Development Group, and the facility-specific standards and cards are available through the FR Supervisor.

The facility-specific qualification programs address required competencies in addition to the GTBQS and the FRQS. Each site/program office is responsible for developing its own facility-specific standards.

2.3.4.1 Qualification Standards and Qualification Card

Each line organization shall establish facility-specific qualification standards, learning objectives, and qualification cards for each major facility or group of lesser facilities for which it has identified an FR. Cross-training FRs is encouraged after initial qualification of assigned facilities to ensure adequate coverage of facilities during vacation, school, or other absences.

The facility-specific qualification standards/cards should include the following:

- Facility-related performance objectives
- Facility-related DOE Orders and Standards
- Federal and state safety and environmental regulations
- Facility safety documentation
- Operational Safety Requirements (OSRs)/Technical Specifications (TSs)/Technical Safety Requirements (TSRs)
- Facility-specific environmental documentation
- Appropriate contractor environmental, safety, and health documentation
- Appropriate contractor quality assurance documentation
- Appropriate contractor radiation protection documentation
- Appropriate contractor emergency action procedures documentation
- Appropriate contractor implementation plans for DOE Orders
- Appropriate contractor conduct of operations documentation

2.3.4.2 Equivalency

Equivalencies may be granted to personnel who satisfy competencies indicated in qualification standards based upon previous education, training, certification, or experience. Equivalencies shall be processed as follows:

- a. Equivalencies for individual competencies shall be granted based only upon objective evidence that the individual satisfies the competency.
- b. All equivalencies shall be documented and approved one level above the individual's immediate supervisor.
- c. Formal documentation of equivalencies as outlined by the Training and Development Group in the TQR instructions shall be included as part of the individual's training and qualification record.

2.3.4.3 Exemptions

All competencies in the FRQS will apply unless they are exempted because those duties are not in the particular FR's assigned area. Exemptions for competencies must be approved by the next-level supervisor.

2.3.4.4 Training Plan

A Training Plan documents the planned learning activities in which an individual will participate to satisfy qualification requirements. The training plan is the TQR or other approved means.

2.3.4.5 Learning Activities

Complete needed training and qualification activities. These activities may include formal classes, self-study, coaching/shadowing, and/or job rotation. Identify resources through the Training and Development Group TC or other sources.

When an activity is completed, copies of supporting documentation shall be submitted to the Training and Development Group TC for placement in the training record (e.g. course completion certificates, diplomas).

2.4 Written and Oral Examinations

2.4.1 Evaluations and Examinations

2.4.1.1 Upon satisfactory completion of associated qualification card requirements, the FR candidate shall pass a written examination covering topics from the FRQS. This examination should also evaluate the competency requirements of the office/facility-specific qualification standard. The examination shall only include subjects on the FR's generic and facility-specific qualification standards as defined in the test specifications. The examination may be taken in multiple phases (e.g., general and facility-specific at separate times) as appropriate. (A study guide for the general examination will be available through the Training and Development Group.)

2.4.1.2 Facility walkthroughs of assigned facilities at selected points in the FR qualification process shall require demonstrating to a qualifying official practical skills and knowledge of selected key elements, including safety systems, structures, and components of the facility.

2.4.1.3 Upon satisfactory completion of the written examination by the FR candidate, the cognizant Assistant Manager or Designee will convene and chair a qualification board for the purpose of conducting an examination of the candidate. The composition of the board will be determined by the cognizant Assistant Manager or Designee. Board members should ask critical questions intended to integrate identified learning objectives during qualification. Additionally, follow-up questions may help the board determine how the candidates "think on their feet". Formal guidance for the qualification board should be developed by ORO and should include standards for qualification, use of technical advisors by the board, questioning procedures or protocol, voting authorization and procedures, and board deliberation and documentation process. The board may conduct the oral exam as a group or individually as an interview and/or facility walkthrough. Any questions and answers that result in an oral exam failure should be explicitly documented.

2.4.1.4 Minimum passing score for written examinations is 80%.

2.4.2 Failure of Written or Oral Examinations

2.4.2.1 Upon failure of the candidate to meet any qualification requirement, the immediate supervisor shall:

- a. Assist the candidate in identifying study materials based on demonstrated weak areas
- b. As appropriate, ensure that the candidate is relieved of other duties during the remedial training period
- c. Recommend retesting on completion of remedial training

2.4.2.2 The candidate studies the required materials to prepare for retesting and participates in retesting. After two consecutive failures of a comprehensive written examination, oral examination, or facility walkdown, the cognizant Assistant Manager or Designee shall determine if the candidate will be removed from the program or will be allowed additional remedial training and retesting. The final reassignment decision shall be made by the cognizant Assistant Manager or Designee, who may wish to take any extenuating circumstances into consideration before rendering a decision.

2.4.2.3 If the candidate will exceed the initial qualification period of 18 months when completing the remedial training, an extension must be requested.

2.5 Continuing Training and Proficiency Requirements

2.5.1 Continuing Training

Continuing training is required for all FRs to enhance and strengthen his or her knowledge, skills, and abilities. The continuing training program should include the following as a minimum:

- a. Identified weaknesses in group or individual job performance
- b. Changes to procedures, Orders, or Standards
- c. Facility modifications or equipment changes
- d. Industry and in-house operating experience (lessons learned)
- e. Upcoming major operating or maintenance evolutions
- f. Review of those portions of the initial training program that are not directly reinforced on the job
- g. Additions to the initial training program
- h. Required training (e.g., General Employee Training or Radiation Worker)
- i. Opportunities to develop management skills

2.5.2 Maintaining Proficiency

Any ORO FR who does not actively perform in FR duties at his or her assigned facilities for a minimum of 40 hours per calendar quarter, shall be required to do a walkthrough of his or her facility with a designated Subject Matter Expert in order to demonstrate proficiency. Additional requirements may be mandated by each program.

2.5.3 Retaining Qualification

FRs shall maintain satisfactory job performance to retain qualification.

2.6 Requalification Requirements

2.6.1 Requirements

The FR shall participate in and successfully complete the requirements of a FR Requalification Program every 3 years.

- a. Requalification shall include facility-specific topics such as changes to the facility, significant facility events, industry events (including both DOE and applicable commercial events), and lessons-learned. Training in these topics should concentrate on the application or potential application of these lessons-learned and events specific to the DOE site and/or facility to which the FR is assigned.

- b. The requalification process shall also include, as a minimum:
 - Items added to the FR qualification card since the individual originally qualified
 - Comprehensive written and/or oral examination(s) covering new and selected topics from previously required material
 - Documentation of satisfactory completion of qualifications
 - Record of on-the-job training performance

2.6.2 Reassignment

Upon reassignment to a different ORO facility, line management at the FR's new facility will verify that the FR has previously met the ORO qualification requirements and will ensure that the FR only needs to complete the appropriate site and/or facility-specific portion of the qualification card for the newly assigned facility.

2.7 Records

A training and qualification record system shall be established for each employee in the FR Qualification Program. The following records shall be maintained in this system:

- a. Documentation of approved exemptions from competencies
- b. Documentation of approved equivalencies for competencies
- c. Completed qualification cards, records, or other documents that substantiate satisfactory achievement of competencies including copies of training certificates and individual development plans
- d. TQP certificates of completion
- e. Documentation of completed oral, general, and facility-specific exams such as a signed-off copy of the FR Qualification Program Checklist. Completed general exams will be filed in the Training Center while sites maintain and store oral and site-specific exams.

2.8 Development Opportunities

As qualified FRs gain experience, they become a valuable resource to DOE. Necessary steps should be taken to ensure that FR positions are career enhancing and remain desirable to FR candidates. This includes incentives to maintain qualification, and the encouragement of skills enhancement through continuing training, graduate study, and professional certifications. In addition, opportunities to develop management skills should be taken into account in developing FR IDPs.

3.0 AUTHORITIES, ROLES, AND RESPONSIBILITIES

3.1 Authority Granted to Facility Representatives

3.1.1 Stop Work Authority

- 3.1.1.1 The FR shall have the authority to represent DOE to the contractor for operational safety issues.

3.1.1.2 FRs shall have the authority to stop work in the facility. This authority shall cover work performed by the contractor and subcontractors. The FR shall issue stop work in the following conditions, as a minimum:

- a. Potential imminent danger to the health and safety of workers or the public
- b. Potential adverse effect on the safe operation of, or potential serious damage to, the facility
- c. Potential release from the facility of radiological or chemical effluents to the environment that exceed regulatory limits

3.1.2 Unencumbered Access

- 3.1.2.1 FRs shall have independent and direct access to contractor personnel, facilities, and records, as necessary to carry out their assigned responsibilities.
- 3.1.2.2 FRs shall have immediate unannounced access to every assigned facility. They must maintain the proper clearances, training, personal protective equipment, and physical qualifications for such access.
- 3.1.2.3 Contractor management should afford the FR the opportunity to attend all meetings, training classes, and operator certification boards/examinations that may contribute to the execution of the duties and responsibilities of the FR.
- 3.1.2.4 Because of 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.

3.1.3 Limitations to Authority

- 3.1.3.1 The FR, as an observer and/or advisor, is not authorized to direct facility operations or the personnel involved in its operations and maintenance.
- 3.1.3.2 The FR has no authority to approve contractor actions or procedures. Informing an FR of a reportable occurrence does not relieve the contractor of the obligation to report the event in accordance with DOE event reporting requirements.
- 3.1.3.3 The FR will not direct, approve, or concur with contractor actions or proposals, except as specifically identified by the Contracting Officer Representative.
- 3.1.3.4 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.

3.2 Role of Facility Representatives

3.2.1 The FR must be available to respond to incidents that require immediate presence at the facility and should be accessible to ORO, DOE/HQ, and appropriate contractor personnel at all times through personal paging devices or an equivalent system. As a minimum, the FR must comply with requirements of DOE Order 232.1, *Occurrence Reporting and Processing of Operations Information*.

- 3.2.2 The FR will serve as the primary DOE point of contact for contractor facility management regarding the application of and compliance with regulations and guidelines applicable to contractor operational activities, including problem identification and resolution.
- 3.2.3 The FR may team with the facility manager or other contractor operations supervisors to perform field observations.
- 3.2.4 The FR may conduct a fully independent assessment.
- 3.2.5 The FR's supervision and relationship to other DOE managers should be clear and defined in writing.

3.3 Normal Duties and Responsibilities

3.3.1 FRs are responsible for the following:

- a. Monitoring contractor activities to enhance safe and reliable operations and to promote daily operational excellence; being a ready source of technical information on facility operations for DOE management
- b. Being knowledgeable of local DOE ES&H organization responsibilities, personnel, and contacts
- d. Maintaining a working relationship with facility managers and operators that results in frequent communications regarding operational status, planned changes, and unplanned events
- e. Observing operations to assess management's effectiveness in implementing key policies and procedures
- f. Preparing reports for their managers; meeting with other DOE FRs to discuss critical items, observations, trends, and issues of interest; and participating on teams to review operational readiness or to investigate an operational event
- g. Being knowledgeable of Authorization Basis for their facilities
- h. Understanding management systems used by the contractor to control operations, including operating procedures, radiation work permits, criticality control, lockout/tagout, environmental control, design and configuration control, and maintenance activities
- i. Periodic monitoring of shift turnover as well as weekend and back-shift activities to evaluate consistent implementation of management policy

3.3.2 FRs are expected to be involved in the following typical activities:

- a. Maintaining awareness of current operations and activities, including making visits to portions of the facility to observe operations, maintenance activities, and the status of the facility and equipment; holding discussions with operators and supervisors regarding current activities and concerns; attending such activities as plan-of-the-day meetings, shift changes, or maintenance meetings; holding discussions with contractor managers regarding the status of operations; and reviewing operating records, logbooks, and event reports
- b. Reporting information, including reporting significant issues to FR supervisors in a timely manner and methodically screening and analyzing information to be disseminated to other FRs

- c. Planning activities, including helping the FR supervisor develop the annual assessment plan
- d. Preparing for specific field observations, including coordinating with contractor managers and reviewing related documents, such as procedures, regulations, safety analysis documents, audit reports, TSRs, OSRs, and limiting conditions for operation (LCOs)
- e. Conducting field observations, including back shift and weekend activities
- f. Reporting field observations to the appropriate DOE line management
- g. Meeting periodically with contractor management and presenting the results of field observations in a constructive manner
- h. Assessing the effectiveness of the contractor's corrective action closure process
- i. Attaining and maintaining FR qualification, which includes reviewing training and qualification material
- j. Responding to notification of events and incidents, often as the first DOE representative at the scene, and attending subsequent critiques, as appropriate, involving those events and incidents
- k. Being available when notification about events and incidents is made to ORO or DOE/HQ
- l. Following up on events and incidents
- m. Reviewing, concurring with, and commenting on event reports in accordance with DOE requirements
- n. Providing input to the daily operations and event report, as appropriate

3.4 Assessment Plan

- 3.4.1** Assessment plans shall be developed by line management to ensure that a broad-based and systematic review of all aspects of facility operations is conducted over an established period of time. Upon approval, these plans shall be provided for information to the FR Program Sponsor.
- 3.4.2** The responsible line organization shall implement the assessment plan, outlining the objectives for each period. The plan will address the number of surveillances and other assessments to be performed.

3.5 Field Observations

- 3.5.1** The FR is one of the primary interfaces between DOE line management and the contractor and, as such, must be cognizant of operational activities, both technical and administrative.
- 3.5.2** The FR will perform walkthroughs (condition-based observations) of areas of responsibility to maintain an awareness of activities in assigned facilities. Walkthroughs are conducted to identify hazards, incidents of noncompliance with standards and guidelines, and potential problem areas where more thorough inspection is warranted (i.e., pulling the string) and to monitor changes to the facility (e.g., construction, maintenance, and temporary modifications).

3.5.3 The FR will perform surveillances (performance-based observations), generally of one to two hours' duration, in which a person or group of persons engages in observing chosen aspects of maintenance, operations, training, or other supporting activities within a facility. Additional requirements may be determined by individual programs.

3.5.4 Functional areas that may be considered during a walkthrough and other assessments are listed in Attachment 3, Facility Representative Functional Area Examples

3.5.5 A sample list of items that may be considered during walkthroughs to ensure that various health and safety aspects of a facility are consistently evaluated by the FR is provided in Attachment 4, Facility Representative Sample Facility Walkthrough Items.

3.6 Handling Facility Deficiencies

3.6.1 The FR should notify contractor management of any significant concerns noted during the field observations as soon as possible.

3.6.2 The FR will communicate items of concern to appropriate DOE personnel. The FR will coordinate applicable observations with other FRs if there is a probability that the concern may be plant-wide or operations wide.

3.7 Reporting

3.7.1 Documentation of Significant Items and Actions

Significant items, concerns, and actions shall be documented. Line management shall specify use of logbooks, e-mail, reports, or any combination thereof.

3.7.2 Reporting/Tracking of Findings/Concerns

3.7.2.1 The FR and DOE management shall meet with senior contractor management on a periodic basis (no less than quarterly) to report the results of FR assessments. The purpose of the meeting should be to discuss trends and systemic issues.

3.7.2.2 Results of walkthroughs and inspections, observations, and findings/concerns will be reported to DOE and contractor management in accordance with policies established by the cognizant Assistant Manager.

3.7.2.3 Each line organization is responsible for the establishment of a program to track FR findings and concerns. DOE concerns and resolution thereof will be documented.

3.7.2.4 In general, the resolution of findings/concerns should be handled at the lowest level (i.e., FR, FR supervisor, contractor facility manager, and contractor division manager). If comments are not resolved satisfactorily, the concern will be escalated to the next higher level of management.

3.7.2.5 Copies of periodic FR formal reports issued to contractor management shall be provided quarterly to the FR Program Sponsor. The FR Program Sponsor or Designee shall review the reports to identify any common issues or trends, and shall take appropriate actions based on these items.

3.7.3 Occurrence Reporting

The FR is the primary point of contact for assigned facilities for the contractor to notify DOE of reportable occurrences as prescribed in DOE event reporting requirements (DOE O 232.1, *Occurrence Reporting and Processing of Operations Information*). The FR will provide input in accordance with DOE event reporting requirements.

3.7.4 Verification of Corrective Actions

Before submittal to DOE/HQ, the FR should randomly check a sampling of completed corrective actions described in the final occurrence report to ensure they are completed. The FR will verify completion of select corrective actions in accordance with policies established by the cognizant Assistant Manager.

4.0 FACILITY COVERAGE AND STAFFING

4.1 Facility Coverage

- 4.1.1** Facility coverage will be based on the hazard (nuclear and nonnuclear) level of the facility; the size, complexity, and importance of the mission; programmatic importance; level of operational activity; potential environmental, safety, and/or health impact; and other management considerations. Coverage may also depend on provisions made for extra or special coverage. For example, as the degree of hazard, complexity, or other governing factors is reduced, the number of processes, facilities, buildings, or areas covered by a single individual may be increased. Special coverage may be used for a facility that operates only intermittently.
- 4.1.2** For operations that do not have an FR assigned because they do not meet the above criteria, the ORO self-assessment programs shall ensure an appropriate level of facility coverage.
- 4.1.3** A FR's primary duty of providing DOE on-site presence is very important. Administrative duties should not detract from a FR's primary duties. FRs should spend a significant portion of their time in their assigned facilities. Administrative work should not prevent FRs from performing their primary function of monitoring the performance of the facility and its operations.
- 4.1.4** Coverage for facilities should be based on an assessment of the hazards or risks to the public, workers, and environment, resulting from operating the facility, and on the operational status and activity level of the facility. Coverage should be determined by a graded system, with facilities that pose little hazard receiving modest coverage and those that pose a high hazard receiving frequent or dedicated coverage. Once the coverage needed at a facility has been determined, staffing can be established.
- 4.1.5** The hazard classification and activity level establish the basis for determining the risks associated with the facility and provide a basis for selecting the appropriate level of FR coverage. Facility hazard classifications are defined in DOE-STD-1027-92, *Hazard Categorization and Accident Analysis Techniques for Compliance with DOE*, and/or DOE Order 5480.23, *Nuclear Safety Analysis Reports*, and activity levels are defined in DOE-STD-1063-2000, *Facility Representatives*.

Examples of activity levels and coverage definitions are provided in section 5 of DOE-STD-1063-2000.

4.1.6 Facility coverage may also be impacted by the availability of resources. For those facilities where adequate coverage cannot be provided because of limited resources, a justification should be made as to what type of coverage will be provided. This should receive the concurrence of the cognizant Assistant Manager. The results of the FR coverage and staffing process shall be documented.

5.0 FR PROGRAM PERFORMANCE ASSESSMENT AND FEEDBACK

5.1 Periodic FR Program Assessments

The FR Program Sponsor shall periodically (not to exceed 3 years) conduct assessments of their Facility Representative Program relative to Sections 4.0 and 5.0 of this Manual. Assessment reports shall be provided to the cognizant Assistant Managers for development of any necessary corrective actions, and to the distribution required in DOE-STD-1063-2000, paragraph 4.6.2. The FR Program Sponsor or Designee shall track applicable corrective actions to ensure completion. Additional guidance in this area is contained in Appendix B of DOE-STD-1063-2000. Copies of assessment reports shall be sent to the cognizant Headquarters Program Offices and the DOE Facility Representative Program Manager.

5.2 Performance Indicators

The cognizant Assistant Manager or Designee shall provide, on a quarterly basis, data relative to the performance indicators in DOE-STD-1063-2000, Appendix A. This information should be provided to the applicable HQ Program Office, to the HQ FR Program Manager (FM-10), and to the ORO FR Program Sponsor. Reports for the preceding quarter are due to HQ on the first working day of February, May, August, and November.

REFERENCES

Price-Anderson Amendments Act

DOE O 151.1, *Comprehensive Emergency Management*

DOE O 232.1, *Occurrence Reporting and Processing of Operations Information*

DOE O 360.1, *Training*

DOE O 414, *Quality Assurance*

DOE O 420.1, *Facility Safety*

DOE O 425.1B, *Startup and Restart of Nuclear Facilities*

DOE P 426.1, *Federal Technical Capability Policy for Defense Nuclear Facilities*

DOE G 426.1-1, *Recruiting, Hiring, and Retaining High-Quality Technical Staff*

DOE O 430.1A, *Life Cycle Asset Management*

DOE G 450.4-1A, *Integrated Safety Management System Guide*

DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*

DOE O 5480.21, *Unreviewed Safety Questions*

DOE O 5480.22, *Technical Safety Requirements*

DOE Order 5480.23, *Nuclear Safety Analysis Reports*

DOE Order 5481.1B, *Safety Analysis and Review System*

DOE-STD-1063-2000, *Facility Representatives*

DOE-STD-1027-92, *Hazard Categorization and Accident Analysis Techniques for Compliance with DOE 5480.23, Nuclear Safety Analysis*

DOE-EM-STD-5502-94, *Hazard Baseline Documentation*

DOE-EM-STD-5505-96, *Operations Assessments*

DOE Facility Representative Functional Area Qualification Standard, February 2000

DOE M 411.1-1 *DOE Safety Management Functions, Responsibilities, and Authorities (FRA) Manual*

ATTACHMENT 1

DOE

FACILITY REPRESENTATIVE AWARD PROGRAM

FACILITY REPRESENTATIVE AWARD PROGRAM

OBJECTIVE

The Facility Representative Award Program is a performance-based award designed to recognize superior or exemplary service by a Facility Representative over a period of one year. This special award program has been established in accordance with the requirements of DOE Order 3450.1B, Incentive Awards.

FACILITY REPRESENTATIVE OF THE YEAR AWARD

The Facility Representative of the Year Award is granted by a panel consisting of five senior Headquarters personnel representing the Offices of the Secretary (S-3.1), Defense Programs (DP), Environmental Management (EM), Science (SC), and Nuclear Energy (NE), and five personnel representing the field offices.

The Facility Representative Program Manager in S-3.1 will serve as the executive secretary for this annual award. The award is granted for distinguished service and excellent achievements or contributions that are clearly and demonstrably greater than normally would be expected in performing assigned duties. The award is performance-based and therefore the occasion of an employee's retirement, transfer, or long period of service do not constitute sufficient basis for this award. The award is for performance over a period of one calendar year.

1. Eligibility

All qualified Department of Energy and National Nuclear Security Administration Facility Representatives are eligible to receive the Facility Representative of the Year Award.

2. Criteria/Basis for Award

Has made unique or notable contributions which clearly distinguish job performance and achievements as a Facility Representative from those of other qualified competent employees.
For example:

- outstanding activities in direction, leadership, or skill in devising or implementing an element of a Facility Representative Program (i.e. surveillances, report writing)
- outstanding knowledge of engineering or physical science theories which is marked by exceptional success in performing Facility Representative duties
- outstanding knowledge of laws and regulations, and their implementation, relating to occupational safety and health, environmental compliance, nuclear safety, and industry

standards applicable to conduct of operations/maintenance which are applied to and improve the facility's operation

- unique and/or notably creative service which is marked by exceptional success in meeting responsibilities as a Facility Representative
- keen ability to identify performance indicators and examine records and activities to determine weaknesses in work processes which is marked by exceptional success in the Facility Representative performing his/her duties
- exceptional skill in preparing analytical, persuasive, and concise technical reports and documents
- exceptional skill in oral presentations to present technical briefings, deal persuasively with other engineers or physical scientists and administrators, and negotiate with contractors and appropriate regulatory agencies on plans, criteria, and implementing strategies
- establishes a standard of excellence with respect to situational analysis, innovation, and creativity of problem solving

3. Submission of Nominations

- a. Facility Representative Sponsors from each of the field offices should submit nominations directly to the Headquarters Facility Representative Program Manager in S-3.1 who will coordinate the panel and the selection of the awardee.
- b. A maximum of one nominee can be nominated from each Operations, Field, or Area Office.
- c. Nominations should be prepared under a heading: Nomination for the Facility Representative of the Year Award. The following information should be included:
 - (1) nominee's name, position title, date of qualification, brief description of duties, and organizational location;
 - (2) justification for nomination, including dates of performance period, (justifications should not exceed one page);
 - (3) statement of achievement (not to exceed 50 words) to appear on the citation.

4. Description and Presentation of Award

- a. The Facility Representative of the Year Award consists of a citation or scroll signed by the approving officials, a plaque with the recipient's name, and a monetary award. The final

award amount shall be determined in accordance with the requirements of DOE Order 3450.1B.

- b. The Facility Representative of the Year Award shall be presented at the Annual Workshop for Facility Representatives or other appropriate forum as determined by the Headquarters Facility Representative Program Manager in S-3.1.

ATTACHMENT 2
DOE-STD-1063-2000
CROSS REFERENCE

DOE-STD-1063-2000 CROSS REFERENCE

DOE-STD-1063-2000 PARAGRAPH NO.	ORO FR PROGRAM MANUAL PARAGRAPH NO.
4.1.1	1.5
4.1.2.	1.1, 4.1
4.2	3.1.2
4.3	1.5
4.4	1.5, 3.1, 3.3
4.5	2.0
4.5.1	1.5, 2.2
4.5.2.1	2.2
4.5.2.2	1.5, 2.2
4.5.2.3	2.5.1
4.5.2.4	1.1, 2.5.1
4.5.3	1.5, 2.5.3
4.6	1.4
4.6.1	5.2
4.6.2	5.1
5.1	1.5, 4.1
5.2	1.5, 3.1, 3.2, 3.4
5.3	1.5, 3.1
5.4	3.4, 1.5
5.5	3.7
5.6	1.5, 3.2
5.7	1.5, 3.2
5.8.1	2.1
5.8.2	2.1.2
5.9.1	2.3
5.9.3	1.5
5.9.5	2.3.2.2
5.10	2.3
5.10.2	2.3

DOE-STD-1063-2000 PARAGRAPH NO.	ORO FR PROGRAM MANUAL PARAGRAPH NO.
5.10.3	2.2.9
5.10.4 (and subparagraphs)	2.4 (and subparagraphs)
5.10.6	2.3
5.10.7	2.6
5.10.8	2.5.2
5.10.9	2.5.1

ATTACHMENT 3

FACILITY REPRESENTATIVE

EXAMPLES OF
FUNCTIONAL AREAS

**Examples of
Functional Areas**

<p>OPERATION</p>	<p>Operating Procedures Emergency Procedures Shift Supervisor Logbooks Equipment Status Logbooks Shift Turnover Shift Inspection Sheets Authority to Operate Equipment Equipment and System Alignments Operational Readiness Reviews</p>
<p>MAINTENANCE AND TESTING</p>	<p>Work Control Post Modification Testing Start-up Testing Preventive Maintenance Calibration Program (Recall A) Surveillance Testing</p>
<p>ENGINEERING AND CONSTRUCTION</p>	<p>Configuration Control Temporary Modification Engineering As-Built Drawings</p>
<p>SAFEGUARDS AND SECURITY</p>	<p>Physical Security Materials Control and Accountability</p>
<p>ENVIRONMENT, SAFETY AND HEALTH</p>	<p>Lockout/Tagout Safety Culture Radiation Protection Criticality Safety Environmental Compliance Industrial Safety Industrial Hygiene Emergency Preparedness Safety Basis Documentation and Processes</p>
<p>TRAINING AND QUALIFICATION</p>	<p>General Employee Training Operator Training (e.g., Operating and Emergency Instructions and Criticality Safety Assessments) Radiation Training Operator Required Reading Quality of Training Training Records</p>
<p>QUALITY ASSURANCE</p>	<p>Occurrence Reporting and Trending Verification Activities Corrective Action</p>
<p>MANAGEMENT AND ADMINISTRATION</p>	<p>Procedures and Programs Planning and Scheduling Self-Assessment</p>

ATTACHMENT 4

FACILITY REPRESENTATIVE

SAMPLE FACILITY
WALKTHROUGH ITEMS

Sample Facility Walkthrough Items

1. Proper use of health physics equipment (e.g., respirators, personnel dosimetry, protective clothing, and proper frisking on exiting radiological boundaries)
2. Adequate posting/marketing of respirator, confined space, radiological, and construction areas
3. General facility cleanliness/housekeeping
4. Operator use of procedures/round sheets
1. Operator response to alarms/indications
2. Accessibility to exits/safety equipment
3. Damage or deterioration of equipment, signs, or operator aids
4. Adequate lighting/ventilation
5. Permanent/temporary storage of equipment/supplies
6. Adequate operator staffing commensurate with facility activities/safeguards and security requirements
7. Review of logbooks (e.g., lockout/tagout, shift supervisor, and equipment status)
8. General facility/equipment condition/availability
9. Control of ignition sources and flammable material
10. Availability of emergency equipment (e.g., first aid and fire extinguisher)
11. Control of activities in the operating areas (e.g., maintenance, construction, inspections, and tours)
12. Temporary modification control
13. Shift turnover
14. Operator aids
15. Equipment calibration/surveillance/inspection schedules