

Office of Safety and Emergency Management Evaluations Protocol for Site Leads



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**Office of Enforcement and Oversight
Office of Health, Safety and Security
U.S. Department of Energy**

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Emergency Management Evaluations Protocol for
Site Leads**

May 2011

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1.0 PURPOSE

The purpose of this protocol is to establish the requirements and responsibilities for the Office of Safety and Emergency Management Evaluations Site Leads. The Site Lead's primary responsibility is to perform independent safety oversight at their assigned site(s). Site Leads are assigned to Department of Energy (DOE) sites with nuclear facilities to maintain operational awareness, establish and implement a prioritized set of oversight activities focused on high hazard nuclear facilities and tailored to site conditions, activities and issues.

2.0 APPLICABILITY

This protocol is applicable to the Office of Safety and Emergency Management Evaluations.

3.0 REQUIREMENTS

General

- Site Leads serve as the primary liaison and point of contact between the Office of Health, Safety and Security (HSS) and nuclear site line management regarding the assessment and awareness of nuclear safety and worker safety and health issues.
- Site Leads are assigned to a DOE/National Nuclear Security Administration site or group of sites with nuclear facilities that are categorized as hazard category 1, 2, or 3 in accordance with the provisions of 10 CFR Part 830 and DOE Standard 1027-92. These sites currently include:
 - Argonne National Laboratory
 - East Tennessee Technology Park
 - Hanford Site Richland Office
 - Hanford Site Office of River Protection
 - Idaho National Laboratory
 - Lawrence Livermore National Laboratory
 - Los Alamos National Laboratory
 - New Brunswick Laboratory
 - Nevada National Security Site
 - Oak Ridge National Laboratory
 - Pacific Northwest National Laboratory
 - Paducah Gaseous Diffusion Plant
 - Pantex Plant
 - Portsmouth Gaseous Diffusion Plant
 - Sandia National Laboratories

- Savannah River Site
 - Waste Isolation Pilot Plant
 - West Valley Demonstration Project
 - Y-12 National Security Complex
- The Site Lead program embodies the HSS Office of Safety and Emergency Management Evaluations' methodology for collecting and analyzing information and identifying sites' oversight-related activities, including independent appraisals, operational awareness, and mission support activities. Collectively, Site Leads help HSS provide meaningful independent oversight of high-hazard, high-consequence nuclear facilities. The Site Lead program works in coordination with the safety and emergency management evaluations targeted review program, which looks across the nuclear complex to identify and target areas for review.
 - The Site Lead program also facilitates the Office of Safety and Emergency Management Evaluations' worker safety and health support and appraisal activities. These activities may result from significant performance deficiencies, response to external stakeholders, or requests from line organizations. Support activities are typically associated with a line management request for an independent review.
 - HSS Office of Safety and Emergency Management Evaluations inspection activities are performed in accordance with DOE Order 227.1, *Independent Oversight Program*, and applicable Office of Independent Oversight protocols; guides; and criteria, review, and approach documents.
 - Site Leads will be qualified in accordance with the Qualification Standard for the Office of Safety and Emergency Management Evaluations Site Lead Program.
 - Site Leads shall maintain the capability to access assigned sites and facilities by fulfilling site security and safety training requirements.
 - Where feasible, Site Leads shall obtain authorized access to the site's internal information systems pertaining to assessments and issues management.

4.0 RESPONSIBILITIES

Director, Office of Safety and Emergency Management Evaluations

- Designates Site Leads.
- Approves schedules of activities and resources for independent appraisals, operational awareness, and mission support activities.
- Coordinates with line managers to ensure the functionality of the Site Lead program and obtain feedback on performance.

- Maintains cognizance of the Site Lead program's effectiveness and conducts self-assessments to facilitate improvement.
- Coordinates quarterly Site Lead briefings to the HSS Nuclear Safety Coordinating Committee.

HSS Site Lead

- Maintains operational awareness of the assigned site(s), including the status of contracts, nuclear facilities safety basis, nuclear facility projects, major modifications or changes to nuclear facilities, schedules of oversight activities and assessments, significant issues, and the status of corrective actions for significant findings. Appendix A provides a list of activities to consider.
- Based on information from operational awareness and oversight activities, establishes and maintains a Site Lead Status Report that provides a basis for oversight activities for the assigned site(s). Appendix B provides a preferred format for this report.
- Develops and submits to the Director, Office of Safety and Emergency Management Evaluations, a prioritized schedule of oversight activities for the assigned site(s).
- Coordinates with line managers during annual planning to identify independent oversight, operational awareness and mission support activities and schedules consistent with priorities. When planned line management appraisal activities align with the Office of Safety and Emergency Management Evaluations' priorities, concurrent reviews are the preferred data-gathering method. Submits the list of priorities and corresponding schedule of activities and associated resource needs to the Director, Office of Safety and Emergency Management Evaluations for approval. Maintains the list of priorities and scheduled activities as a living document that is regularly updated on the basis of performance analysis information and changing site conditions.
- Coordinates Office of Safety and Emergency Management Evaluations visits to assigned sites, including Office of Safety and Emergency Management Evaluations appraisals, operational awareness, and mission support activities, consistent with the Office of Safety and Emergency Management Evaluations' Protocol for Small Team Oversight.
- Applies the guidance in the *Office of Safety and Emergency Management Evaluations Oversight Appraisal Guide* to tailor follow-up activities addressing findings and other issues, including selective use of appraisals to review the timeliness and adequacy of corrective actions, verify and validate effectiveness, and confirm closure.
- Maintains a list of issues requiring follow-up, monitors the status of those issues, and coordinates follow-up activities.

- Provides a quarterly briefing to the HSS Nuclear Safety Coordinating Committee on key site issues, projects, changes, oversight strategy, activities, and follow-up items, in accordance with the schedule established by the Director, Office of Safety and Emergency Management Evaluations.
- Analyzes site-specific data to develop input to support the identification of areas for broad targeted reviews.
- Maintains current site access credentials.

5.0 REFERENCES

- DOE Order 226.1B, *Implementation of Department of Energy Oversight Policy*
- DOE Order 414.1D, *Quality Assurance*
- DOE Order 227.1, *Independent Oversight Program*
- *Office of Independent Oversight Appraisal Process Protocols*, dated July 2009
- *Office of Environment, Safety and Health Evaluations Safety Oversight Program Plan*
- *Office of Safety and Emergency Management Evaluations Protocol for Small Team Oversight Activities*
- *Qualification Standard for the Office of Safety and Emergency Management Evaluations Site Lead Program*

6.0 APPENDICES

- A. Examples of Operational Awareness Information
- B. Site Lead Status Report Format

APPENDIX A
Examples of Operational Awareness Information

Status of Nuclear Facility Safety Basis and Associated Activities

Major Modifications

Facility Status - Startups/Restarts

Site Annual Assessment Schedules

Site Problem Identification and Resolution Procedures and Data

Assessment Reports

Defense Nuclear Facilities Safety Board Correspondence, Recommendations, Staff Issue and Weekly Site Representative Reports

Safety-focused Government Accounting Office or Office of Inspector General Audits, Reviews, and Investigations

Occurrence Reporting and Processing System and Noncompliance Tracking System Reports

Enforcement Actions

Metrics/Indicators

Chief of Defense Nuclear Safety Biannual Reviews and Quarterly Reporting

Chief of Nuclear Safety Reports and Products

Delegations of Safety Authority

Exemptions from Nuclear Safety Requirements

Results of Quarterly Project Reviews and Construction Project Reviews

ES&H Quarterly Reporting by Headquarters Program Offices

Safety Culture Information, including survey data (where available)

APPENDIX B
Site Lead Status Report Format

Site
Site Lead

Last Update

1. Key Issues, Activities, and Changes

Issues – Include *major* issues from internal and external sources, such as previous Independent Oversight findings, enforcement actions, Defense Nuclear Facilities Safety Board Recommendations and staff issues, Government Accounting Office and Office of Inspector General audit issues, and other external stakeholder concerns. Cite the source of the issue.

Activities – Include *important* projects and key milestones (high level), such as major modifications to nuclear facilities; restart of existing nuclear facilities; and key milestones for design, construction, and startup of new nuclear facilities.

Changes – Include such items as changes in contracts or contractors, major budget changes, and reductions in force (e.g., reductions in force related to the completion of the American Recovery and Reinvestment Act efforts).

2. Priorities and Overall Strategy

Based on the above, establish priorities for oversight activities and an overall strategy for accomplishment.

3. Scheduled Independent Oversight Activities

List scheduled activities, with a short description and planned dates.

4. Items for Monitoring or Follow-up

These could include: findings that rise to a level where HSS monitoring and follow-up are deemed necessary; open items for which more information or follow-up is needed, such as technical questions on safety basis documents; or monitoring actions associated with a significant event.