

## **FEEDBACK AND IMPROVEMENT PROGRAMS (F&I)**

### **OBJECTIVE**

**FI.1:** The NNSA Site Office feedback and improvement processes are functioning and effective and the Site Office oversight processes and procedures have ensured that an effective and compliant Contractor Assurance System (CAS) has been implemented by the Site Contractor.

### **CRITERIA**

1. NNSA Site Office procedures and mechanisms include provisions for performing management assessments of nuclear operations to evaluate contractor performance in doing work safely (DOE O 226.1A, NA-1 SD 226.1A).
2. NNSA Site Office procedures and mechanisms include provisions for operational awareness of the contractor's work activities, with emphasis on nuclear facilities and activities (DOE O 226.1A, NA-1 SD 226.1A).
3. NNSA Site Office procedures and mechanisms include provisions for evaluating the contractor's performance against formally established nuclear safety and environment, safety, and health (ES&H) performance measures and other nuclear safety and ES&H performance indicators (DOE O 226.1A, NA-1 SD 226.1A).
4. The Site Contractor has submitted, and the Site Office Manager or designee has approved, a Contractor Assurance System (CAS) description that meets the contract requirements (DOE O 226.1A, NA-1 SD 226.1A).
5. NNSA Site Office procedures and mechanisms ensure that the contractor's CAS is periodically evaluated to ensure that it meets contract requirements and to determine its effectiveness in the areas of nuclear activities, facilities, and operations. The Site Office evaluations ensure that nuclear safety management programs are implemented effectively (DOE O 226.1A, NA-1 SD 226.1A).
6. NNSA Site Office procedures and mechanisms ensure that the contractor and the Site Office develop and monitor lessons-learned programs. A process is established for reviewing occurrence reports and approving corrective action reports (DOE O 226.1A).
7. Issues identified during previous reviews (e.g. CDNS Biennial Reviews, HSS reviews, self-assessments) have been appropriately resolved, corrective actions have been completed and are adequate, or a clear path to completion is indicated (DOE O 226.1A; NA-1 SD 226.1A).
8. The Site Office has sufficient staff, and assigned personnel have adequate technical competence, to oversee the performance of the contractor in this functional area (NA-1 SD 411.1-1C).

## APPROACH

### References:

- DOE O 226.1A, *Implementation of Department of Energy Oversight Policy*
- NA-1 SD 411.1-1C, *NNSA Safety Management Functions, Responsibilities and Authorities Manual (FRAM)*
- NA-1 SD 226.1A, *NNSA Line Oversight and Contractor Assurance System Supplemental Directive*

### Record Review:

- Review the process established to provide line oversight of the contractor's CAS.
- Review guidance that has been issued to the contractor concerning the establishment of a lessons-learned program.
- Review the following with emphasis on nuclear operations and nuclear safety management programs:
  - Routine contractor self-assessment reports,
  - Independent and focused assessment reports,
  - Incident investigations,
  - Occurrence reports,
  - DOE Price-Anderson Amendments Act (PAAA) enforcement action reports,
  - Enforcement activity conducted by external state and Federal ES&H agencies,
  - Recent evaluations of the contractor training programs performed by NNSA field staff personnel,
  - Site Office assessment reports of the effectiveness of Site Office processes and programs associated with implementation and maintenance of nuclear safety,
  - Contractor assessment procedures, practices, and results, and
  - Other relevant documentation that provides evidence as to the status of implementation, integration, and effectiveness of the contractor's CAS.

- Evaluate the Site Office issues management and tracking system to ensure that an adequate system is in place. Review the Site Office evaluation documentation of the Site Contractor's issues management and tracking system. Review actual issue packages to verify the elements of the program through closure and follow-up assessments by both the Site Office and the Site Contractor.

#### Interviews:

- Interview Site Office personnel responsible for administering the issues management program, the lessons-learned program, the occurrence monitoring programs, and those line managers who provide oversight of the contractor's CAS.
- Interview Site Office personnel who are responsible for planning and conducting assessments of nuclear facilities, activities, and safety management programs.

#### Observations:

- Observe Site Office assessment and issues management activities, including assessments, critiques, and feedback activities, with emphasis on nuclear facilities and operations and safety management programs.

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