

Office of Environment, Safety and Health Assessments Protocol for Site Leads



April 2015
Revision 1

Office of Nuclear Safety and Environmental Assessments
Office of Environment, Safety and Health Assessments
Office of Enterprise Assessments
U.S. Department of Energy

**Office of Environment, Safety and Health Assessments
Protocol for Site Leads**

April 2015

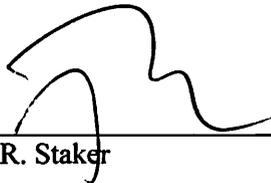
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1.0 PURPOSE

The purpose of this protocol is to establish the requirements and responsibilities for the Office of Nuclear Safety and Environmental Assessments Site Leads. Site Leads are assigned to Department of Energy (DOE) major sites with nuclear facilities.

2.0 APPLICABILITY

This protocol is applicable to the Office of Environment, Safety and Health (ES&H) Assessments.

3.0 REQUIREMENTS

General

- The Site Leads serve as the primary liaison and point of contact for the Office of Nuclear Safety and Environmental Assessments (EA-31) to the DOE site offices that have nuclear facilities.
- Site Leads are assigned to DOE/National Nuclear Security Administration sites (NNSA) or groups of sites with nuclear facilities that are categorized as hazard category 1, 2, or 3 in accordance with the provisions of 10 Code of Federal Regulations 830 and DOE Standard 1027-92. These sites currently include:
 - Argonne National Laboratory
 - Hanford Reservation (Richland and Office of River Protection)
 - Idaho Site
 - Lawrence Livermore National Laboratory
 - Los Alamos National Laboratory
 - New Brunswick Laboratory
 - Nevada National Security Site
 - Oak Ridge (Oak Ridge National Laboratory and Environmental Management)
 - Paducah
 - Portsmouth
 - Sandia National Laboratories
 - Savannah River Site
 - Waste Isolation Pilot Plant
 - West Valley Demonstration Project.
 - NNSA Production Office (Pantex and Y-12 National Security Complex (including the Uranium Processing Facility Project Office))
- The Site Lead program embodies the Office of Enterprise Assessments (EA) methodology for collecting and analyzing information and identifying sites' oversight-related activities, including independent appraisals, operational awareness. Collectively, these help EA provide meaningful independent oversight of high-hazard high-consequence nuclear facilities. The Site Lead program works in coordination with the targeted review program, which looks across the nuclear complex to identify and target areas for review.

- The Site Lead program also facilitates other Office of Environment, Safety and Health Assessments (EA-30) assessments such as worker safety and health appraisal activities. These activities may result from significant performance deficiencies, response to external stakeholders, or requests from line organizations.
- EA-31 assessment and operational awareness activities are performed in accordance with DOE Order 227.1, *Independent Oversight Program*, and applicable EA-30 protocols; guides; and criteria review and approach documents.
- Site Leads will be qualified in accordance with the Qualification Standard for the Office of Environment, Safety and Health Assessments Site Lead Program.
- Site Leads shall maintain the capability to access assigned sites and facilities by fulfilling site security and training requirements.
- Where feasible, Site Leads shall obtain access to the site's internal information systems, including records pertaining to assessments and issues management.

4.0 RESPONSIBILITIES

Director, Office of Nuclear Safety and Environmental Assessments

- Designates Site Leads.
- In coordination with the Director, Office of Environment, Safety and Health Assessments approves schedules of activities and resources for independent assessments and operational awareness 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 periodic Site Lead briefings to the Office of Enterprise Assessments senior management.
- Ensures that Site Leads complete and maintain qualification in accordance with established protocols.

EA-31 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. This should include routine communications (conference calls) with assigned site points of contact and regular site visits. Appendix A provides a list of activities to consider.

- Based on information from operational awareness and oversight activities, establishes and maintains a Site Lead Strategy utilizing the Site Lead Strategy Desktop Aid that provides a basis for oversight activities for the assigned site(s).
- Coordinates with line managers during annual planning (June through August) to identify independent assessments and operational awareness activities and schedules consistent with priorities for the next fiscal year. When planned, line management appraisal activities align with the Site Leads' priorities, concurrent reviews may be utilized. The list of priorities and corresponding schedule of activities and associated resource needs is submitted to the Director, Office of Nuclear Safety and Environmental Assessments for approval by September 15 of each year. The list of priorities and scheduled activities in the Site Lead Strategy(ies) is maintained as a living document and is updated on the basis of performance analysis information and changing site conditions. These unplanned changes are also submitted to the Director, Office of Nuclear Safety and Environmental Assessments for approval as they arise.
- Coordinates Office of Nuclear Safety and Environmental Assessments visits to assigned sites, including independent assessments and operational awareness activities.
- Schedules, as needed, 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 briefings to the Enterprise Assessments senior management as requested and scheduled on key site issues, projects, changes, oversight strategy, activities, and follow-up items.
- Analyzes site-specific data to develop input to support the identification of areas for broad targeted reviews.
- Completes Site Lead qualifications within 18 months from assignment and maintains currency.
- Maintains current site access credentials.

5.0 REFERENCES

- DOE Order 226.1B, *Implementation of Department of Energy Oversight Policy*
- DOE Order 414.1C, *Quality Assurance*
- DOE Order 227.1, *Independent Oversight Program*
- Office of Environment, Safety and Health Assessments Appraisal Process Protocols
- Office of Environment, Safety and Health Assessments Protocol for the Development and Maintenance of Criteria Review and Approach Documents
- Office of Environment, Safety and Health Assessments Protocol for High Hazard Nuclear Facilities Project Oversight
- Qualification Standard for the Office of Environment, Safety and Health Evaluations Site Lead Program
- Site Lead Strategy – Desktop Aid

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

Enforcement Actions

Metrics/Indicators

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)