Ensuring Safe, Compliant Work at RFETS

- Assurance Program Overview

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Rocky Flats Environmental Technology Site

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Self Assessment / Assurance Activities

- Broad Array of Tools/Types of Assessments
- Self Assessments
  - Project Self Assessment Program
  - Internal Independent Assessments
  - Safety Management Program Assessments
- External Independent Assessments
- Safety Analysis Center
- Joint Evaluation Team
- Surveillances
- Readiness Determinations
- Project ESH&Q and Manager Walkdowns/Walk-Around
- SCI-FI, CSI - leading indicators
Expectations of Assessment / Assurance Program

- Safe work
- Adherence to applicable requirements
- Achievement of performance objectives
- Implementation of best management practices
- Continuous improvement
Assurance Program Structure

- **JCUSC, SPO, MUST**
- **KH Senior Site Management**
- **SAC**

### Project Self Assessment Program
- Focused Self Assessments
- Management Directed Assessments
- Walk Aroun ds
- Ops and management on the floor
- Surveillance Programs
- Project union safety reps
- Mentoring

### SE&QP Assessments
- Safety Analysis Center (SAC)
  - Event analysis
  - Performance indicators
- Independent Assessment
- Management Directed Assessments
- External Risk & Vulnerability Assessments
- Readiness Determinations
- Implementation Validation Reviews
- Leading indicators - SCI-FI, CSI

### Safety Management Programs
- Quarterly Program Reviews
- Management Directed Assessments
- Centers of Excellence Reviews
Project Self Assessment

- Implementing Directive: PRO-1576-SAP-001
  - **Ongoing Self Assessments** - continuing basis - verify desired standards of performance are being achieved
  - **Management Directed Self Assessments** - based on emerging adverse performance trends or indicators - immediate determination of process or programmatic condition
  - **Focused Self Assessments** - periodic - evaluate programs, processes or performance against specific criteria
Internal Independent Assessments

- Implementing Directive: 3-B52-IA-003
  - Formally conducted and documented evaluations performed by qualified individuals, groups, or organizations not part of the organizations directly performing or accountable for the work being assessed
  - Measure item and service quality; adequacy of work performance; implementation and effectiveness of programs, operation processes, and past corrective actions; compliance with requirements and/or procedures; promote improved performance
  - Planned and scheduled IAW 1-W37-IA-002:
    » Integrated Assessment Schedule
      ■ Annual
      ■ Periodic
      ■ Conditional
      ■ Management directed
Safety Management Program Assessments

- Implementing Directive: PRO-1331-SMP
  - 17 Safety Management Programs
  - Evaluate program performance, report results, recommend actions for improvements
    » Quarterly
    » Annually
  - Suite of methods
    » review of internal and external assessments
    » analysis of SAC events
    » participation in SAC process
    » floor level observations
    » feedback from Center of Excellence members
Implementing Directive: PRO-1441-SAC-01

- Collection of data from events and other safety issues, analysis of that information, dissemination of results, and coordination of management action to be taken
- Daily meeting to discuss safety issues and events
  » Project ESH&Q managers
  » SE&QP personnel
  » Project management
  » RFFO
Frequency of Self Assessment Activities

- Over 600 discrete, formal assessments
  - 26 Independent (SE&QP) assessments (1 Joint with RFFO)
  - 611 Project self assessments
  - 108 Corrective Actions identified and entered into site tracking systems
- 1700 Events reviewed by Safety Analysis Center
  - Used to focus assessments and take actions to head off future events
- Leading indicators
  - 4000 SCI-FI observations
  - 210 CSI observations (new program)
Scope of Assessment Topics

- Conduct of Operations, Work Control, Document Management
- Criticality Safety, Nuclear Safety
- Radiological Protection, Emergency Preparedness
- Fire Protection, Engineering, Configuration Management
- Quality Assurance, Testing, Surveillance, and Maintenance
- Industrial Safety
- Environmental Management
- Waste Management, Transportation Safety
- Training

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<th>Self</th>
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<td>Conduct of Operations, Work Control, Document Management</td>
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DOE P226.1 Implementation

Changes required:
- Few - currently meeting the intent
- Technical assets adequate, key resources available on demand
  - Technical resources concentrated in line organization
  - Adequate core assessment and safety program expertise maintained in SE&QP
  - Funding flexibility/availability to bring in outside experts
- Implementation approach
  - Contract direction
  - Full implementation within 6 months
Actions to Fully Comply with Draft DOE Guidance

- Prepare and submit a detailed program description for RFFO review and approval
- Formalize qualification program for project self-assessment personnel - already institutionalized for internal independent assessment teams
- Evaluating the following for incorporation prior to issuance of new directive
  - Enhance our ability to utilize assessment data identify negative trends and collective significance
  - Revise assurance program descriptions to ensure that support organizations perform self-assessments of their performance and the adequacy of their processes
  - Enhance programmatic requirement to validate that corrective actions are effectively implemented and accomplish their intended purpose
  - Provide clearer programmatic guidance on performance measures and performance indicators
K-H Technical Staffing

- Technical staffing levels
  - Safety/technical/assessment support 170
  - SE&QP 30
- Dedicated independent assessment staff, formal qualification process, supported by matrixed project personnel
- Safety staff have increased in FY03 in occupational safety and industrial hygiene
- No constraints on safety resources
- Fully supports implementation of contractor assurance program
Corrective Action Program

- Cause Analysis Requirements Manual - MAN-062-CAUSEANALYSIS
- Corrective Action Process - 3-X31-CAP-001
- Price Anderson Amendments Act Program Manual - 1-MAN-022-PAAAPROG
- Self Assessment Program feeds directly into Corrective Action Program

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<td>Criticality Safety Deficiency Tracking Database</td>
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Safety Issue Resolution

- High significance issues receive formal Causal Analysis
  - Barrier analysis
  - Change analysis
  - MORT
  - Event and causal factors charting
  - Phoenix handbook
- The Site’s CA Program has undergone several significant revisions and is mature
  - Continuous improvement and vigilance are required
  - Increasing focus to screening and CA of potential leading events