



Ensuring Effective and Efficient Contractor Oversight

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Contractor Oversight Structure

- **Guidance Documents**
 - DOE P 450.4, Safety Management System Policy (ISMS)
 - EM-1 memo, 5/23/03, EM Project Oversight and Assessment Policy
 - RFFO M 220.2A, Closure Project Oversight Program Manual (CPOP)
- **Line Responsibility and Accountability**
 - Manager to Direct Reports (3) to Staff
 - Senior Safety Advisor in Manager's Office
 - Facility Rep's have Stop Work authority and direct access to Manager
- **Current challenges**
 - DOE/RFFO in transition
 - Site closure is entering most dynamic phase
 - FR role and AB processes provide continuity and stability



Contractor Oversight Activities

- **Formal**
 - **Authorization Basis approval and change process**
 - **DOE Monthly Safety evaluation review**
 - **Quarterly K-H Safety Review meeting**
 - **DOE assessments and Joint DOE/K-H assessments***
 - **Quarterly Contract Fee evaluation and Fee Determining criteria**
 - **Joint Evaluation Team (JET)**
- **Informal**
 - **Daily Facility Representative interaction**
 - **Weekly DOE Management workspace tours and surveillances***
 - **Weekly “1 on 1” with K-H Senior Management**
 - **Bi-weekly “1 on 1” with K-H Safety VP**
- **Participatory**
 - **Daily Safety Analysis Center (SAC) meeting and Event Summary**
 - **Weekly K-H Joint Union-Management Safety review meeting**

* = Needs significant improvement



DOE Self-Assessment

- **Self-Assessment Program**
 - The keystone of DOE/RFFO oversight is self assessment
 - RFFO M 220.2A (CPOP), Chapter 8 - Self Assessment
 - Results captured in Oversight and Evaluation (O&E) database
- **Scheduled Self-Assessments**
 - Structured and comprehensive; Evaluate programs and processes
 - Criteria Based Upon DOE Orders, Guidance, Policies, Manuals, and RFFO Procedures and internal guidance
 - Two required per year per Direct Report (RFFO M 220.2A)
- **Unscheduled Self-Assessments**
 - Flexible and focused; Evaluate events and operations
 - Workspace tours, data analysis, review of employee performance data, and management performance reviews
 - Greatest value in dynamic D&D environment



DOE Technical Staffing

- **Staffing needs established per DOE-STD-1063-2000 and EM policy**
 - Tailored to balance effectiveness and efficiency
 - Analysis completed Feb 2003; updated July 2003; re-look Feb 2004
- **Risks eliminated during 2003**
 - PuSPS processing completed
 - All CAT I and II Pu shipped
 - Protected Area eliminated
 - B-886 (EU Criticality Facility) demolished
 - B-865 (high Be contamination) demolished
 - B-771, B-776/777, and B-559 declared criticality incredible (2 remain)
 - 903 Pad completed
- **Remaining key technical skill needs**
 - Fire Protection
 - Risk Analysis
 - Beryllium
 - IWCP / Work Controls
 - Criticality Engineering (until April 2004)
 - Radiation Protection
 - Authorization Basis
 - Industrial Hygiene
 - Environmental / Waste management



DOE Technical Staffing (cont.)

- **RFFO Staffing Changes**

	<u>Mgmt/Admin.</u>	<u>Technical</u>	<u>Fac. Rep.</u>	<u>Safe Work Resources</u>
One year ago	59	83	14	62%
Post-RIF	16	33	9	72%

- **Post-RIF Organization will re-focus Line Management oversight**
 - **Line lead for formal K-H assessments and self assessments in Jan 2004**
 - **Formal assessment schedule in Feb 2004**
 - **Senior Management policy for workspace tours in Jan 2004**
- **FR roles re-clarified per DOE-STD-1063-2000 in Dec 2003**
 - **FR's maintain day-to-day operational oversight for Line Management**
 - **Senior Safety Advisor serves as FR Program Sponsor**



Conforming with EM-HQ Guidance

- **Historical Oversight**
 - Driven by multiple DOE policies and orders
 - RFFO CPOP integrated and provided single-point focus
 - Line Management accountability has drifted
 - » Viewed as Safety Program organization function
 - » Distraction of management and staff changes
- **Conformance with DOE 226.1 (Draft) and EM policy**
 - Strong philosophical alignment
 - » RFFO CPOP already incorporates much of 226.1
 - » K-H Contract already includes much of 226.1 CRD
 - Full implementation expected within 6 months of final
- **Transition Planning**
 - Already in transition due to other factors
 - Organizational actions being aligned to anticipate final 226.1



Learning from the Columbia Investigation

- **Review of the investigation report**
 - Read and discussed by Senior DOE and K-H Managers
 - Distributed to next management level to review
- **Key learnings for Rocky Flats**
 - Overconfidence based on past success – “the good safety stats trap”
 - Rationalizing nonconformance – “believe your instruments”
 - Communication breakdowns – “eliminate stovepipes”
- **Response to Columbia learnings**
 - Daily SAC and Event reviews seek leading indicators and trends
 - AB and waiver processes require Manager-level approvals
 - Flat and flexible RFFO organization improves communication
 - Management workspace tours increase management awareness
 - FR’s maintain “operational awareness” with direct line to Manager



Corrective Action Program

- **Corrective Action Program defined by K-H Procedure 3-X31-CAP-001**
 - **RFFO-identified deficiencies**
 - **PAAA issues**
 - **Site NCRs**
 - **Program or Management deficiencies**
 - **WIPP deficiencies**
 - **NTS deficiencies**
 - **Other Externally-identified deficiencies**
- **DOE tracking to resolution**
 - **Weekly review of Plant Action Tracking System (PATs)**
 - **Weekly review of overall safety performance metrics tracked in other databases (i.e., Radiological Incident Reports)**
 - **Minor Issues tracked daily though SAFETY ANALYSIS CENTER**



Corrective Action Program (cont.)

- **Causal Analysis (CA)**
 - **Causal Analysis Defined by MAN-062-CAUSEANALYSIS**
 - **CA Program provides Significance Screening**
 - **High Significance Issues receive formal Causal Analysis**
 - » **Barrier Analysis**
 - » **Change Analysis**
 - » **MORT**
 - » **Event and Causal Factors Charting**
 - » **Phoenix Handbook**
 - **Low Significance items (e.g., ORPS Significance Category 3 or 4) use Direct Derivation Method**
- **The Site's Corrective Action Program has undergone several significant revisions and is robust and mature, but...**
 - **Continuous improvement and vigilance are a requirement**
 - **Increasing focus to screening and CA of potential leading events**



Oversight Summary

- **Contractor Oversight**
 - **Tailored for current closure mission**
 - **DOE transitions provide for strengthen line accountability and focused FR roles**
 - **Rocky Flats oversight program will ensure safe closure completion**