DOE STANDARD

ESTABLISHING AND MAINTAINING A FACILITY REPRESENTATIVE PROGRAM AT DOE FACILITIES

DOE-STD-1063-97
October 1997
Supersedes DOE-STD-1063-93

U.S. Department of Energy
Washington, D.C. 20585

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   Facility Representative Program Manager, Office of Field Services and Liaison, Office of Field Management (FM-10).

3. DOE technical standards, such as this standard, do not establish requirements. However, all or part of the provisions in a DOE standard can become requirements if they are explicitly stated to be requirements in a DOE requirements document, or the organization makes a commitment to meet a standard in a contract or in an implementation plan or program plan required by a DOE requirements document.

4. Throughout this standard, the word "shall" is used to denote actions which must be performed if the objectives of this standard are to be met. If the provisions in this standard are made requirements through one of the two ways discussed above, then the "shall" statements would become requirements. It is not appropriate to consider that any "should" statements would automatically be converted to "shall" statements, as this action would violate the consensus process used to approve this standard.
# DOE-STD-1063-97

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1. SCOPE

1.1 Scope. This standard, "ESTABLISHING AND MAINTAINING A FACILITY REPRESENTATIVE PROGRAM AT DOE FACILITIES," DOE-STD-1063-97, defines the duties, responsibilities and qualifications for DOE Facility Representatives, based on facility hazard classification; risks to workers, the public, and the environment; and the operational activity level. This standard provides the guidance necessary to ensure that DOE facilities have sufficient staffing of technically-qualified Facility Representatives to provide day-to-day oversight of contractor operations. The information contained in this standard, as well as any additional facility-specific requirements, should be incorporated into site-specific implementation procedures for DOE Facility Representatives.

1.2 Purpose. The purpose of this standard is to help ensure that DOE Facility Representatives are selected based on consistently high standards and from the best qualified candidates available, that they receive the training required for them to function effectively, and that their expected duties, responsibilities, and authorities are well understood and accurately documented. To this end, this guidance provides the following practical information:

   a. An approach for use in determining the required facility coverage.

   b. The duties, responsibilities and authorities expected of a Facility Representative.

   c. The training and qualifications expected of a Facility Representative.

   d. Elements necessary for successful Facility Representative Programs at DOE Field Offices.

1.3 Applicability. This standard is intended for use by all DOE Components in establishing and maintaining Facility Representative programs at DOE owned, contractor-operated facilities. This guidance is not intended for facilities operated exclusively by DOE Federal employees. Although this guidance was written primarily to address Facility Representatives at nuclear facilities, applicable portions of this standard should be applied to hazardous non-nuclear facilities, as deemed appropriate by Field Element Managers and Secretarial Officers. Field Element Managers and Secretarial Officers may develop additional guidance regarding Facility Representative requirements.
2. REFERENCES

2.1 Government Documents. The following Orders, Standards, and Manuals are references to the extent specified herein.

2.1.1 DOE Orders.

DOE O 151.1 Comprehensive Emergency Management
DOE O 232.1 Occurrence Reporting and Processing of Operations Information
DOE O 360.1 Training
DOE O 420.1 Facility Safety
DOE 5480.19 Conduct of Operations Requirements for DOE Facilities
DOE 5480.23 Nuclear Safety Analysis Reports

2.1.2 DOE Standards.

DOE-STD-1027-92 Hazard Classification and Accident Analysis Techniques for Compliance with DOE 5480.23, Nuclear Safety Analysis Reports

2.1.3 DOE Manuals.

DOE M 411.1-1 DOE Safety Management Functions, Responsibilities, and Authorities (FRA) Manual [including the Level I document, and those lower level FRA Manuals specific to the field element]

2.1.4 Other.


2.2 Order of Precedence. In the event of conflict between the text of this document and DOE Order, the DOE Order takes precedence. Nothing in this document supersedes applicable laws and regulations.
3. DEFINITIONS

3.1 Activity Level. The level of operational activity within the facility. Activity refers to handling or moving hazardous material, or otherwise creating an opportunity for the occurrence of a reportable event.

3.2 Core Training Requirements. The portion of the training program designed to cover the DOE-wide, generic subjects on which all Facility Representatives are expected to be knowledgeable. This includes the DOE General Technical Base Qualification Standard and the DOE Facility Representative Functional Area Qualification Standard.

3.3 Contractor. Any person under contract or subcontract with the Department of Energy with the responsibility to perform activities in connection with any facility, laboratory, or program at a DOE-owned or leased facility.

3.4 Department or DOE. The Department of Energy.

3.5 Nuclear Facility Hazard Classifications. A systematic grouping of facility hazards into three categories, described in DOE-STD-1027-92:

- Category 1 Hazard. The hazard analysis shows the potential for significant off-site consequences.
- Category 2 Hazard. The hazard analysis shows the potential for significant on-site consequences.
- Category 3 Hazard. The hazard analysis shows the potential for only significant localized consequences.

DOE-STD-1027-92 provides guidance for determining the Hazard Category of a facility.

3.6 Facility Representative. For each major facility or group of lesser facilities, an individual assigned responsibility by the Field Element Manager (or designee) for monitoring the safety performance of the facility and its operations. This individual shall be the primary point of contact with the contractor and shall be responsible to the facility’s DOE Line Manager.

3.7 Facility Representative Coverage. The degree of attention a Facility Representative is expected to devote to an assigned facility. Coverage is usually expressed in terms of the amount of time, including back shift and weekend time, that the Facility Representative is expected to routinely spend in the facility.

3.8 Field Element or Organization. A DOE Operations Office, Field/Area/Site Office, or Project Office as opposed to DOE Headquarters.

3.9 Hazard. (10CFR830.3) Hazard means a source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or death to personnel
or damage to a facility or to the environment (without regard to the likelihood or credibility of accident scenarios or consequence mitigation).

3.10 **Hazardous Materials.** (DOE O 420.1) Any solid, liquid, or gaseous material that is chemical, toxic, explosive, flammable, radioactive, corrosive, chemically reactive, or unstable upon prolonged storage in quantities that could pose a threat to life, property, or the environment.

3.11 **Interim Qualification.** Specific requirements that must be met prior to a Facility Representative being assigned to provide limited coverage in a facility for which he or she is not fully qualified.

3.12 **Line Organization.** The unbroken chain of command that extends from the Secretary through the Under Secretary, to the Secretarial Officers who set program policy and plans and develop assigned programs, to the Program and Field Element Managers who are responsible for execution of these programs, and to the contractors who conduct the programs. Environment, Safety, and Health (ES&H) are integral parts of each program. Accordingly, responsibility for ES&H functions resides with the line organizations.

3.13 **Nonreactor Nuclear Facility.** (10CFR830.3) Nonreactor nuclear facility means those activities or operations that involve radioactive and/or fissionable materials in such form and quantity that a nuclear hazard potentially exists to the employees or the general public. Incidental use and generating of radioactive materials in a facility operation (e.g., check and calibration sources, use of radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and X-ray machines) would not ordinarily require the facility to be included in this definition. Transportation of radioactive materials, accelerators and reactors and their operations are not included. The application of any rule to a nonreactor nuclear facility shall be applied using a graded approach. Included are activities or operations that:

(a) Produce, process, or store radioactive liquid or solid waste, fissionable materials, or tritium;

(b) Conduct separations operations;

(c) Conduct irradiated materials inspection, fuel fabrication, decontamination, or recovery operations;

(d) Conduct fuel enrichment operations;

(e) Perform environmental remediation or waste management activities involving radioactive materials; or

(f) Design, manufacture, or assemble items for use with radioactive materials and/or fissionable materials in such form or quantity that a nuclear hazard potentially exists.

3.14 **Nuclear Facility.** (10CFR830.3) Nuclear facility means reactor and nonreactor nuclear facilities.
3.15 **Occurrence Report.** A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance, consequences, or implications and to evaluate the actions being proposed or employed to correct the condition or to avoid recurrence.

3.16 **Proficiency.** The process by which a qualified Facility Representative stays current on technical knowledge, assigned facilities, procedures, etc. Regaining proficiency may be required after an absence from Facility Representative duties, a period of inactivity at a given facility, as an ongoing training, or based on length of time between the Facility Representative's full qualification and next requalification date.

3.17 **Program Manager.** (DOE Glossary) A Headquarters organization responsible for executing program management functions, and for assisting and supporting field elements in safety and health, administrative, management, and technical areas. (The Program Manager holds signature authority to provide technical direction through DOE field elements to contractors for these facilities. The Program Manager is a member of the Line Organization.)

3.18 **Qualification.** The process of completing requirements determined to be vital to performing the Facility Representative role in a given facility. This process will include acknowledgment of the required education and experience, completion of the core knowledge requirements to perform Facility Representative duties, facility-specific requirements determined by the field element, and oral and written examinations.

3.19 **Qualifying Official.** An individual, designated by the Field Element Manager, or designee, authorized to sign the Qualification Card after verifying the candidate possesses the appropriate level of knowledge or skills for such signature.

3.20 **Reactor.** (10CFR830.3) Reactor means, unless it is modified by words such as containment, vessel, or core, the entire nuclear reactor facility, including the housing, equipment, and associated areas devoted to the operation and maintenance of one or more reactor cores. Any apparatus that is designed or used to sustain nuclear chain reactions in a controlled manner, including critical and pulsed assemblies and research, test, and power reactors, is defined as a reactor. All assemblies designed to perform subcritical experiments that could potentially reach criticality are also to be considered reactors. Critical assemblies are special nuclear devices designed and used to sustain nuclear reactions. Critical assemblies may be subject to frequent core and lattice configuration change and may be used frequently as mockups of reactor configurations.

3.21 **Risk.** (DOE 5480.23) Risk means the quantitative or qualitative expression of possible loss that considers both the probability that a hazard will cause harm and the consequences of that event.
3.22 Safety Analysis. A documented process:

a. to provide systematic identification of hazards within a given DOE operation;

b. to describe and analyze the adequacy of measures taken to eliminate, control, or mitigate identified hazards; and

c. to analyze and evaluate potential accidents and their associated risks.

3.23 Safety Analysis Report. That report, fully defined in 10CFR830, which documents the adequacy of safety analysis to ensure that the facility can be constructed, maintained, shut down, and decommissioned safely and in compliance with applicable laws and regulations.

3.24 Secretarial Officer. (DOE Manual 411.1-1) The head of a first-tier organization; a DOE Headquarters employee reporting directly to the Secretary, the Under Secretary, or the Deputy Secretary. The following designations are also used to identify Secretarial Officers with specific responsibilities in various areas: 1) a Program Secretarial Officer is a Head of a Departmental Element who has responsibility for a specific program or facility(ies). These include the Assistant Secretaries for Defense Programs, Energy Efficiency and Renewable Energy, Environmental Management, and Fossil Energy; and the Directors of the Offices of Civilian Radioactive Waste Management, Energy Research, and Nuclear Energy; and 2) a Cognizant Secretarial Officer is a DOE official at the Assistant Secretary level who is responsible for the assignment of work, the institutional overview of any type of facility, or the management oversight of a laboratory.

3.25 Training Equivalency. The completion of training requirements by an individual through the means of prior experience or training, which results in comparable knowledge or capabilities, equivalent to that which would be gained by complying with the specified requirements. Prior experience and training must be evaluated and documented to demonstrate equivalency to the specified requirements.

3.26 Training Program. A planned, organized sequence of activities designed to prepare persons to perform their jobs, to meet a specific position or classification need, and to maintain or improve their performance on the job.

3.27 Walkthrough. A tour through a facility with a qualifying official for the purpose of verifying a Facility Representative candidate's knowledge of the facility.
4. GENERAL REQUIREMENTS

4.1 Purpose and Coverage. Because of the importance of the Facility Representative program to the Department's overall commitment to the safe operation of its facilities, this DOE standard has been developed with the intent of placing increased emphasis on recruiting, selection, and training efforts to ensure that Facility Representative positions are filled by highly qualified personnel. This standard provides the guidance necessary to ensure that DOE facilities have sufficient staffing of technically-qualified Facility Representatives to provide day-to-day oversight of contractor operations. This standard should be followed in the establishment and maintenance of Facility Representative programs for DOE facilities to ensure that:

a. Facility Representatives are selected based on consistently high standards and from the best qualified candidates available;

b. Facility Representatives receive the training required to function effectively; and

c. Facility Representative duties, responsibilities and authorities are well understood and accurately documented.

4.1.1 DOE Facility Representatives. DOE Facility Representatives perform DOE line management oversight of their assigned facilities to ensure that:

a. the contractor is operating facilities safely and efficiently (i.e., within the boundaries of those controls invoked in the facility authorization basis);

b. the contractor's management system is effectively controlling conduct of operations; and

c. effective lines of communication between DOE and its operating contractors are maintained during periods of normal operation, and following reportable events, in accordance with DOE Orders and requirements.

4.1.2 Facility Coverage and Staffing. This standard is designed to provide flexibility to field elements in how they choose to use their available resources in applying this standard for a Facility Representative Program. Facility Representatives should be assigned to facilities based on programmatic importance and potential environmental, safety, and/or health impact.

a. Most hazard category 1 nuclear facilities require one or more full time Facility Representatives. For hazard category 2 or 3 nuclear facilities, a Facility Representative may be assigned to two or more facilities. At non-nuclear facilities the level of coverage should be established consistent with the nature of the work and the hazards. In unusual situations, when it is impractical to assign a sufficient number of facilities to occupy a person full-time, the duties of a Facility Representative may be performed part-time as a collateral function.
The field element is responsible for preparing staffing plans to document these assignments and supporting rationale.

b. It is important that a Facility Representative's primary duty of providing DOE an on-site presence not be diminished. Administrative duties should not detract from a Facility Representative's primary duties as provided in Section 5.2. Facility Representatives should spend a significant portion of their time in their assigned facility(s). It is preferable that Facility Representative offices be located within the facility of primary responsibility. Administrative work should not prevent Facility Representatives from performing their primary function of monitoring the performance of the facility and its operations.

c. The number of Facility Representatives assigned to facilities is based on the number of buildings or areas involved, their size, complexity, hazard levels and risks, level of operational activity, and uncertainties associated with the aforementioned factors.

d. It is important for the field element to ensure the proper number of Facility Representative positions are established to maintain adequate coverage. The Secretarial Officers are responsible for allocating staff and necessary resources to provide adequate Facility Representative coverage per Section 4.1.2.c above. Additionally, to the degree that Facility Representatives are advanced or otherwise lost from the program, field elements should take necessary steps to ensure departing Facility Representatives are replaced in a timely manner.

4.2 Unencumbered Access. Facility Representatives shall have independent and direct access to contractor personnel, facilities, and records, as necessary, to carry out their assigned responsibilities. Unencumbered and immediate access does not preclude a Facility Representative from following industrial safety, emergency action, radiation protection, safeguards and security, or operational requirements and controls of the facility. Facility Representatives shall adhere to these requirements and controls when discharging their duties.

a. Facility Representatives shall have immediate unannounced access to every assigned facility. They shall maintain the proper clearances, training, personal protective equipment, and physical qualifications for such access.

b. Contractor management should afford the Facility Representative the opportunity to attend all meetings, training classes, operator certification boards/examinations, etc., that may contribute to the execution of the duties and responsibilities of the Facility Representative.

c. Access to some records may be limited due to Privacy Act considerations.

d. Due to safeguards and security requirements, access to some areas may require that more than one properly trained and cleared individual be present before access can be gained to those areas.
4.3 **Responsibilities and Authorities.** Responsibilities and Authorities for key positions at DOE Headquarters and Field Element Managers with respect to the Facility Representative program are defined in DOE Order 232.1, Occurrence Reporting and Processing of Operations Information, and DOE Order 5480.19, Conduct of Operations for DOE Facilities, and the Level I and Level II DOE M 411.1-1, DOE Safety Management Functions, Responsibilities, and Authorities (FRA) Manuals. Specifically, the Field Element Managers shall ensure that Facility Representatives are assigned appropriately and have the required support to carry out the functions of the position.

4.4 **Supervision, Management, and Authority.** Clear lines of supervision, management, and authority shall be established between the Facility Representative, the field element, and the Secretarial Officer. The Facility Representative shall have the authority to represent line management to the contractor regarding operational safety issues, except where this would change scope, cost, or schedule. Each field element should develop specific guidance that covers the duties and responsibilities of the Facility Representatives for situations specific to their facilities. DOE line management is responsible for safety at DOE facilities. Well-managed, well-trained Facility Representatives are an important line management tool for ensuring safe operations.

4.5 **General Training and Qualification Requirements.** A Facility Representative shall be qualified by education, experience, and training to carry out the duties and responsibilities of the position. Facility Representatives are required to meet stringent and comprehensive qualification standards. Facility Representatives should possess a broad technical knowledge in a variety of disciplines and be able to demonstrate an understanding of the management, processes, practices, regulatory requirements, and operating limits of their assigned facilities.

4.5.1 **Qualifications.** The field element will develop the overall qualification program, in accordance with DOE Order 360.1, Training, including training elements specific to the assigned facilities and systems. The qualifications, and authority of personnel involved in the training of Facility Representatives should be defined and documented.

4.5.2 **Training Requirements.** Facility Representatives directly interface with facility management and supervisory personnel. Therefore, Facility Representatives shall have a high level of technical knowledge regarding facility operations in order to intelligently evaluate and discuss the subject with the contractor and DOE management.

4.5.2.1 **Tailored Program.** Development of qualified Facility Representatives shall be accomplished by means of a formal program in which the training requirements are tailored to the specific needs of the facilities involved and shall include:

a. The minimum educational and experience requirements for entry into the Facility Representative Training and Qualification Program;
b. A core training program that will cover the generic subjects in which the Facility Representative must be knowledgeable; and

c. The facility-specific training necessary to effectively perform the duties of the Facility Representative.

4.5.2.2 Training Objectives and Scope. Training should be directed toward developing an understanding of the technical and management aspects of a facility's operation, and a familiarity with the assigned facility.

4.5.2.3 Training Progression. When designing a Facility Representative training program, each field element should consider the desirability of establishing a standard training progression for prospective Facility Representative positions.

4.5.2.4 Advancement Considerations. As qualified Facility Representatives gain experience, they become a valuable resource of DOE. Field elements should take necessary steps to ensure that Facility Representative positions are career enhancing and remain desirable to Facility Representative candidates. This includes incentives to maintain qualification, and the encouragement of skills enhancement through continuing training, graduate study, and professional certifications. In addition, opportunities to develop management skills should be made available. This experience and training should make them prime candidates for positions of higher responsibility both in the field and at DOE Headquarters. Field elements and Headquarters should account for this in the personnel development plans for their organizations, and in the Facility Representatives' Individual Development Plans. The DOE-HR Handbook, Recruiting, Hiring, and Retaining High Quality Technical Staff -- A Manager's Guide to Administrative Flexibilities, provides various mechanisms that can be used to retain these valuable resources.

4.5.3 Training of Field Element Management. Field element managers should take steps to ensure that all field element line management personnel understand the functions, responsibilities, and authorities of Facility Representatives.

4.6 Facility Representative Program Performance Assessment and Feedback. Periodic evaluation and adjustment of the program is necessary to ensure a high and continuously improving level of performance. It is the responsibility of the Cognizant Secretarial Office and the Field Element Manager to ensure that performance assessments are accomplished, and any indicated corrective actions are completed. This function is monitored by the DOE Headquarters Facility Representative Program Manager, Office of Field Services and Liaison, FM-10, and accomplished using the following methods:
4.6.1 **Performance Indicators.** Carefully chosen performance indicators (PI) can provide valuable measures of the effectiveness of Facility Representative Programs. The performance measures should address compliance to program requirements, improvements to safety, and performance effectiveness. DOE-wide Performance Indicators are shown in Appendix A. Field elements shall submit quarterly PI data to Program Offices at DOE-HQ, with a copy to the Facility Representative Program Manager, FM-10. PI's for the preceding quarter are due to HQ on the first working day of February, May, August, and November. These PIs can be used by FM-10 to evaluate DOE-wide program effectiveness. FM-10 will then compile a department-wide PI report that will be disseminated to all field elements.

4.6.2 **Field Element Self-Assessments.** Each field element shall periodically (not to exceed three years) evaluate its Facility Representative Program relative to the requirements in Sections 4 and 5 of this Standard. Results of these Self-Assessments should be sent to the responsible Program Office at DOE-Headquarters, with a copy to Facility Representative Program Manager, FM-10. Guidance for the performance of these assessments is provided in Appendix B.

4.6.3 **Peer Reviews.** Field elements should invite Facility Representatives and/or Facility Representative management from other sites to perform peer reviews of their Facility Representative Programs. These reviews will provide a mutual benefit through sharing lessons learned. In addition they will foster a more consistent Facility Representative program throughout the DOE.

4.6.4 **Annual Facility Representative Workshop.** FM-10 will host an Annual Facility Representative Workshop to promote sharing lessons learned from Facility Representative Programs across the complex, and foster the growth of the Facility Representative community. Each field element should encourage as many Facility Representatives and Facility Representative Program Managers as possible to attend the workshops to share information with other sites and identify potential improvements for use in their own programs.
5. DETAILED REQUIREMENTS

5.1 Facility Coverage and Assignment. Each nuclear facility shall be evaluated by the field element to determine an appropriate level of coverage by a Facility Representative. This determination should be based on an assessment of the hazards presented by each facility and documented in field element staffing plans. This assessment will consider risks to the public, workers, and the environment resulting from operation of the facility; the operational status and activity level of the facility; as well as other factors specified in this section. The evaluation of hazards will consider radiological, chemical, and physical dangers to workers, the public, and the environment, as well as the barriers against these dangers provided by the facility. Field elements may also elect to include certain non-nuclear facilities in this evaluation. Secretarial Officers should validate the facility coverage and assignments for field elements, since they are responsible for allocating staff and necessary resources to provide adequate Facility Representative coverage.

a. Existing safety analysis and hazard assessment documentation (such as that required by DOE 5480.23 and DOE-STD-1027-92 for nuclear facilities) should be used to determine hazard categorization for each facility. This information provides a basis for the risks associated with the facility and a starting point for selecting the appropriate level of Facility Representative coverage. Hazard categories are defined in Section 3.5.

b. Once the facility hazard has been categorized, the initial Facility Representative coverage is determined by the operational status and activity level of the facility. Three activity levels are used.

HIGH: Facilities that daily to weekly involve activities related to hazardous operations.

MEDIUM: Facilities that weekly to monthly involve activities related to hazardous operations.

LOW: Facilities that monthly to quarterly involve activities related to hazardous operations.

c. Table 1 is the matrix used for determining an appropriate level of coverage.

<table>
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<th>Hazard Classification</th>
<th>Activity Level</th>
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<td>High</td>
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<td>Category 1 Hazard</td>
<td>Continual</td>
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<tr>
<td>Category 2 Hazard</td>
<td>Frequent</td>
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<tr>
<td>Category 3 Hazard</td>
<td>Intermittent</td>
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d. Table 2 provides definitions for each of the coverage terms.
TABLE 2. Coverage Definitions

<table>
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<th>Continual</th>
<th>The Facility Representative is present daily. If a Facility Representative is gone for one week or longer, a temporary replacement should be named. This coverage may require the complete attention of one or more individuals and may require back shift, weekend, or 24-hour coverage.</th>
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<tr>
<td>Frequent</td>
<td>The Facility Representative is present approximately half of the time. The Facility Representative can be gone for up to two weeks without requiring a temporary replacement. One person can cover multiple facilities.</td>
</tr>
<tr>
<td>Intermittent</td>
<td>The Facility Representative is present at least one day per week. One person can cover several such facilities.</td>
</tr>
<tr>
<td>Occasional</td>
<td>The Facility Representative should visit the facility 12-24 days a year.</td>
</tr>
<tr>
<td>Seldom</td>
<td>The Facility Representative should visit the facility 6-12 days a year.</td>
</tr>
</tbody>
</table>

e. Following establishment of the coverage for each facility, it may be necessary to adjust the level of coverage, taking into consideration factors such as those listed below:

1. History of contractor performance for similar activities
2. Potential for DOE or public interest
3. The risks to successful mission accomplishment
4. Financial risks
5. Complexity of the facility and facility operations
6. Hazardous work environments for workers
7. Age, maintenance condition, and level of uncertainty of the facility
8. Anticipated changes in operational status of facility
9. Number of significant accidents/incidents on site.

f. The level of Facility Representative coverage could increase or decrease based on the above additional considerations. Additionally, if personnel resource limitations affect the number of available Facility Representatives, the Secretarial Officer and Field Element Manager should agree as to which facilities require coverage with the available resources. It may also depend on provisions made for extra or special coverage. This means that, as the degree of hazard, complexity, or other governing factors is reduced, the number of processes, facilities, buildings or areas covered by a single individual may be increased. Hazard category 1 nuclear facilities may each be assigned a single or multiple Facility Representatives. Or, if the facility is sufficiently complex, it might be subdivided and assigned to more than one individual. If the contractor has established a building or facility manager concept, it may be appropriate to assign Facility Representatives on a similar basis. Facilities with many configuration changes (like test facilities, for example) require closer observation than facilities with very stable
configurations. Also, it may be possible to use special coverage for a facility that operates only intermittently.

5.2 **Duties and Responsibilities of a Facility Representative.** The following paragraphs describe the duties and responsibilities normally expected of a Facility Representative. Additional duties and responsibilities should be tailored to reflect the specific requirements of the site, the facility, the operational activities, and the involved organizations.

a. The Facility Representative shall maintain frequent communication with field element supervision. The Facility Representative shall ensure that DOE line management is cognizant of current facility conditions. Facility Representatives should spend the majority of their time in their assigned facilities observing operations and assessing operating conditions.

b. A Facility Representative shall be thoroughly familiar with site and facility characteristics, operating procedures, and key process control personnel. The Facility Representative shall be aware of major work in progress and in planning. The Facility Representative shall know the personnel controlling the work, what procedures will be used, whether the workers are trained and qualified, and whether the activity is being performed safely. This knowledge is primarily acquired by walking through the facility, observation of work in progress, review of facility records and documentation, and attendance at appropriate management meetings of the operating contractor. The Facility Representative shall be apprised by the contractor of planning, scheduling, maintenance, operations review, and safety review meetings.

c. The Facility Representative shall be available to respond to facility events and serve as the DOE presence for special operations. The operating contractor shall have easy access to the Facility Representative to facilitate the notification, if required, and reporting of occurrences and any safety or operational concerns.

d. A Facility Representative shall not be responsible for the preparation of the budget or schedule for the facility assigned and, therefore, should be in a position to provide information to DOE line management independent of programmatic responsibilities. When it is impractical to assign a Facility Representative as a full-time duty, the separation of programmatic responsibilities, though desirable, may not be possible. The Field Element Manager or designee should approve assigning Facility Representatives to programmatic responsibilities.

e. The Facility Representative shall observe, evaluate, and report on the effectiveness of the operating contractor in several areas. These areas include operational performance, quality assurance, management controls, emergency response readiness activities, and assurance of worker health and safety. Additionally, the Facility Representative shall evaluate the overall effectiveness of the operating contractor in implementing corrective actions to deficiencies identified by facility reviews. The frequent presence of a Facility Representative in the facility should improve communication between DOE
and the operating contractor. This should lead to a better understanding of DOE expectations by the contractor, and aid in the implementation of enhancements to facility work practices and operating conditions.

f. While there can be beneficial oversight achieved by walking through assigned facilities with contractor facility managers, certain benefits are lost when Facility Representative presence is 100% predictable and always with facility managers.

5.3 Authority Granted to Facility Representatives. The Facility Representative is assigned to monitor the performance of facility operations and management. The Facility Representative is a direct safety oversight extension of DOE line management to each respective facility. The authority provided to each Facility Representative shall be defined by the responsible field element. Facility Representatives shall have the authority to "Stop Work" in the facility, except as expressly limited in governing contracts with the operating contractor. This authority shall cover work performed by the contractor and subcontractors. The Field Element Manager shall ensure that contractors and subcontractors are aware that Facility Representatives have this authority. The Facility Representative shall "Stop Work" in the following instances, as a minimum:

a. Conditions exist that pose an imminent danger\(^1\) to the health and safety of workers or the public.

b. Conditions exist, that if allowed to continue, could adversely affect the safe operation of, or could cause serious damage to, the facility.

c. Conditions exist, that if allowed to continue, could result in the release, from the facility to the environment, of radiological or chemical effluents that exceed regulatory limits.

5.4 Facility Assessments. The Facility Representative Program should be proceduralized and may include a set of oversight assessment requirements. Annual assessment plans may be developed to ensure that a broad-based and systematic review of all aspects of facility operations is conducted over an established period of time. Guidance may be derived from Conduct of Operations resources, such as the DOE-EM-STD-5505-96, Operations Assessments. These assessments are not intended to conflict with or duplicate other Field Office assessment efforts nor are they intended to unduly restrict the Facility Representative's day-to-day oversight of assigned facilities.

5.5 Operational Reports. The Facility Representative is the primary point of contact for the contractor to notify DOE of reportable occurrences as prescribed in DOE Order 232.1. For the Secretarial Officers and field elements to realize the maximum benefit

\(^1\)Any condition or practice such that a hazard exists that could reasonably be expected to cause death or serious physical harm to employees (permanent or prolonged impairment of the body or temporary disablement or requiring hospitalization), unless immediate actions are taken to mitigate the effects of the hazard and/or remove employees from the hazard.
5.6 Relationship of the Facility Representative with other DOE Managers. The Facility Representatives' relationship with DOE managers within the field element shall be clear and defined in writing. Each facility's operation should be clearly assigned to a Facility Representative, a Program/Line Manager, and a Secretarial Officer. The Facility Representative should have access to the Program/Line manager to provide information related to the assigned facilities. It is highly desirable that each Facility Representative only be assigned facilities under a single Program/Line Manager and Secretarial Officer. This may not be practical at multi-program facilities, or when more than one facility is involved.

5.7 Relationship of Facility Representative with Operating Contractor. The relationship between the Facility Representative and the facility operator shall be clearly defined and understood by both parties. Facility Representatives occupy a unique position in the transmission of information between DOE and its contractors. Facility Representatives should be able to communicate effectively with all levels of the contractor organization. They should be familiar with the contractor chain of command for facility operations. However, the Facility Representatives should not become subverted to the contractor's interests nor simply verify compliance with DOE requirements. Facility Representatives should represent DOE to the contractor and ensure the contractor carries out DOE operational safety policies. In defining the relationship between a Facility Representative and contractor, the following points are emphasized:

a. The Facility Representative functions as a part of DOE line management, and therefore should exercise authority consistent with specific program and management guidance established by the field element.

b. The contractor is responsible for the safety and efficient operation of the facility. The contractor is accountable to DOE to perform its operations in a manner that ensures the safety and health of personnel and protection of the environment. No Facility Representative activity or inactivity can diminish the contractor's responsibility.

c. The Facility Representative is responsible for determining that the contractor is operating the facility in a safe manner. Facility Representatives fulfill this responsibility by assessing the contractor's performance and discussing identified deficiencies and corrective action with contractor management.
d. Although the Facility Representative identifies deficiencies, the ultimate responsibility for identifying and correcting deficiencies rests with the operating contractor. The contractor shall never rely solely on the Facility Representative to identify or correct deficiencies.

e. Minor events or problems are frequently clues that indicate more general problems in the contractor's organization, management, personnel abilities, or practices. Therefore, attention to detail in the identification and correction of minor problems can result in significant improvements in the contractor's performance. When corrective actions are called for, DOE management should initiate formal action with the operating contractor. Additionally, the Facility Representative should also provide input to formal mechanisms such as confirmation of actions or orders, if necessary.

f. The Facility Representative shall adhere to certain rules of conduct, or protocol, while performing assigned duties, including the facility's approved conduct of operations procedures. A formal protocol should be established for Facility Representatives and should include the following:

1. Facility Representatives should avoid interrupting operators in their work. The Facility Representative should wait for opportune times to deal with facility operators. If the Facility Representative is observing operations or activities, the observation should be performed unobtrusively. Operators carry the true burden of safety, and a diversion from their duties could adversely affect plant operations.

2. The Facility Representative should maintain frequent contact with facility management. When Facility Representatives observe something that raises a safety concern, they should discuss their concerns with the facility management. If the contractor response is deemed unsatisfactory, the Facility Representative should discuss the concern with DOE management for appropriate action.

3. All Facility Representative requests for action should go through established chains of command, except when exercising “Stop Work” authority.

4. Facility Representatives shall keep a record of their activities and observations. This record should be periodically reviewed to determine if a systemic or recurring problem exists with contractor activities at one or more facilities. This record is subject to review in audits or appraisals and may be a source of information for the contractor evaluation process.

5.8 Specific Education and Experience. In order for individuals to enter a Facility Representative training and qualification program with the greatest opportunity for successful completion, they should meet certain education and experience requirements. Several mechanisms available to assist field elements in the recruitment and retention of high quality candidates necessary for their program are identified in the DOE Facility Representative Personnel Guide and the DOE-HR
5.8.1 Education Requirements. Educational requirements are necessary to ensure that the individuals possess the baseline knowledge to successfully complete the training program, the ability to function independently in the field, and the ability to understand scientific principles and communicate in technical terms. The expected minimum education is that which the field element determines is necessary to provide competent technical assessment of the contractor. This will normally be a Bachelor's degree or extensive experience in a directly related field such as naval nuclear power, commercial nuclear power, radioactive waste management, nuclear weapons, nuclear research, or accelerator facility programs.

5.8.2 Experience Requirements. Facility-specific experience criteria should be developed and applied as part of the selection criteria for Facility Representative candidates. The facility-specific experience criteria should reflect the complexity, hazard classification, and activity level of the facility and be commensurate with the responsibilities, authority and duties of the assigned position.

5.9 Training. Facility Representative training and qualification programs shall be in accordance with DOE Order 360.1, “Training”, with additional requirements defined in this Standard.

5.9.1 Needs Analysis. The first step in the design of a formal training program for a Facility Representative candidate is to identify and document the requirements of the specific position to be filled. Many of these requirements are generic in nature, since they are common to most Facility Representative positions. However, facility-specific requirements should be defined and added to the generic list. An analysis of the candidate’s training needs is then conducted. This is the process by which the tasks, duties, and responsibilities of the position are analyzed to identify formal or informal training, self-study, seminars, on-the-job-training, briefings, rotational assignments, or other types of training necessary for effective job performance.

5.9.2 Self-Study Documents. The Facility Representative should be knowledgeable of all relevant DOE Rules, Orders, Directives, Notices, etc., and the Federal and state regulations under which the assigned facility operates. In addition, the Facility Representative should be familiar with pertinent national and consensus standards, facility operating procedures, and the facility safety documentation. The list of self-study documents identified for each Facility Representative should, therefore, be extensive. Each document listed should have a standard of achievement that defines the level of knowledge necessary.

5.9.3 Formal training. Certain competencies associated with the Facility Representative qualification standards are of such complexity or significance that formal training should be required to satisfy them. The field element is
responsible for ensuring that the Facility Representative receives the training necessary for the position. Frequently, appropriate courses and training can be found within the DOE complex, other Federal agencies, or from non-government sources within the scientific community. Headquarters, in coordination with the field elements, will develop additional training courses and material to help meet the non-facility-specific Facility Representative training needs. Close collaboration among field elements and Headquarters Line Management is encouraged to minimize development costs for courses. In cases where formal course work is not practical, Field Element Managers should ensure that informal training provides Facility Representatives the required level of knowledge. The following training elements should be addressed in formal training:

a. Environmental laws and regulations, including the Resource Conservation and Recovery Act, Clean Air Act, Clean Water Act, and others as appropriate;
b. Safety and health laws and regulations, including the Occupational Safety and Health Act;
c. DOE Conduct of Operations;
d. DOE Conduct of Maintenance;
e. Quality Assurance;
f. Radiation protection;
g. Fire protection;
h. Electrical safety;
i. Industrial hygiene and waste management concerns related to chemical hazards;
j. Observation, Assessment, Investigation techniques;
k. Occurrence Reporting and Processing Systems;
l. Facility Authorization Basis, Safety Analysis Reports, Technical Safety Requirements and Unreviewed Safety Questions;
m. Provisions of the governing contract;
n. Configuration management;
o. Stop Work Authority;
p. Price Anderson Amendment Act Rules;
q. Facility Emergency Management Procedures;
r. Facility-Specific Access Requirements; and
s. Facility Safeguards and Security Requirements.

5.9.4 On-the-Job Training. Each field element should establish the “on-the-job” training requirements, regarding the controls, activities, processes, and specialized procedures necessary for qualification. These should be demonstrated to a qualifying individual.

5.9.5 Training Equivalency. Each field element shall develop a system (based on requirements in DOE Order 360.1) for granting equivalency for training requirements on the basis of prior experience or education. Justification should be provided for each equivalency, which will include appropriate support documentation, such as transcripts or certificates of completion. A copy of the approved equivalency shall be maintained in the Facility Representative's Qualification Record.
5.10 Qualification. The Facility Representative position requires a great deal of education, experience and training. In order to document and certify that a Facility Representative has achieved this high level of technical competence, Facility Representatives will undergo a formal qualification process.

5.10.1 Qualification Card. Field elements should establish a Facility Representative Qualification Card (Qual-Card) for each major facility or group of lesser facilities for which they are responsible. The Qual-Card contains a list of all of the training elements or learning objectives, a corresponding standard detailing the required level of knowledge for each objective, and provisions for signatures to attest to satisfactory completion of each objective to the appropriate level of knowledge. Learning objectives should be designated by the Facility Representative's immediate supervisor based on an analysis of training needs, elements of the position description, and facility-specific requirements.

5.10.2 Generic and Facility-Specific Requirements. Field elements should identify any additional core training requirements on a Generic Qualification Card, and supplement that with a Facility-Specific Qual-Card designed to meet the needs of the individual facility. It is also acceptable to have one Qual-Card that covers both generic and facility-specific requirements. Additionally, the Field Element Manager should designate qualifying officials who are authorized to sign the Qual-Card after verifying the candidate possesses the appropriate level of knowledge for each requirement. The Qual-Card should include the following:

a. Self study. All facility related DOE Orders and Standards, Federal and State safety and environmental protection regulations applicable to the assigned facility, the facility safety documentation, and all facility-specific documents and procedures that are pertinent to the responsibilities of the Facility Representative.

b. Formal training. All formal training, both on-site and off, necessary for the Facility Representative to function effectively. The training may be presented by DOE, contractors, other Federal Agencies, or private firms.

c. On-the-job training. All knowledge of facility processes, systems requirements, and specialized procedures that must be demonstrated to a qualifying official.

d. Facility walkthroughs. A walkthrough of the assigned facilities, in the presence of a qualifying official, for the purpose of demonstrating practical skills and thorough knowledge of selected key elements or systems of the facility.

5.10.3 Interim Qualification. DOE field elements shall establish the specific requirements that must be met prior to a Facility Representative candidate being assigned to provide interim coverage in a facility for which he or she is not fully qualified. The field element shall formally define and document the
duties and authorities which may be assigned to an Interim Qualified Facility Representative. The Interim Qualification process shall be documented. The time spent as a Facility Representative under Interim Qualification should be minimized. The field element should also determine what compensatory measures will be implemented during interim periods while no fully qualified Facility Representative is assigned to a given facility.

5.10.4 Examinations. Formal procedures should be developed by the field element for the administration of facility walkthroughs, and written and oral examinations. Additional information on examinations is available in DOE-STD-1011-92 and DOE-STD-1009-92.

5.10.4.1 Facility walkthroughs. Facility walkthroughs of assigned facilities at selected points in the Facility Representative qualification process shall require demonstrating to a qualifying official practical skills and knowledge of selected key elements, including safety systems, structures, and components of the facility.

5.10.4.2 Written Examinations. Upon satisfactory completion of all Qual-Card requirements, the Facility Representative shall take a written examination. The examination should include only subjects on the Facility Representative core and facility-specific Qual-Cards. The minimum passing grade should be 80%.

5.10.4.3 Oral Examinations. Upon satisfactory completion of the written examination by the Facility Representative candidate, the Field Element Manager or his designee will convene and chair a Qualification Board for the purpose of conducting an oral examination of the candidate. The composition of the Board will be determined by the Field Element Manager or designee. Board members should ask critical questions intended to integrate identified learning objectives during qualification. Additionally, follow-up questions may help the Board determine how the candidates 'think on their feet'. Formal guidance for the Qualification Board should be developed by the field element and include: the standards for Qualification, the use of technical advisors by the Board, the questioning procedures or protocol, pass/fail criteria, the voting authorization and procedures, and the Board deliberation and documentation process. The Board may conduct the oral interview as a group or individually. The minimum passing grade should be 80%. Any questions and answers that result in an oral exam failure should be explicitly documented.

5.10.4.4 Failure of Written or Oral Examinations. Failure to pass a written or oral examination will cause the Facility Representative candidate to go on a special study program designed to strengthen each area of weakness revealed in the examination. The candidate will then be reexamined, with concentration in the identified weak areas. Facility Representative candidates who
repeatedly fail examinations, should be reassigned by the field element to a non-Facility Representative position. The final reassignment decision should be made by the Field Element Manager, who may wish to take any extenuating circumstances into consideration before rendering a decision.

5.10.5 Full Qualification. Upon completion of all elements of qualification, line management within the field element should review and confirm satisfactory completion of the training requirements and eligibility of the candidate to become a Facility Representative. Qualification is granted by the Field Element Manager or designee. Upon assignment to a different or additional facility or site, it is necessary for a Facility Representative to complete the appropriate additional qualification requirements for that facility or site.

5.10.6 Requalification. Facility Representatives shall be required to requalify every three years. DOE field elements will establish the specific requalification training designed to update and maintain the qualifications of Facility Representatives. The requalification process shall be documented and as a minimum consist of the following:

a. Items added to the Facility Representative Qualification Card since the individual's last qualification or requalification.

b. A comprehensive examination covering new material and selected material from the initial qualification process.

5.10.7 Proficiency. Field elements shall formally define proficiency requirements. These requirements shall include actions required to regain proficiency following periods of inactivity as a Facility Representative, and the length of time which triggers a need for proficiency training.

5.10.8 Continuing Training. Field elements should establish continuing training to enhance and strengthen the knowledge, skills and abilities of facility representatives. The continuing training program serves to improve the overall technical capabilities and credibility of the Facility Representative and the organization. Field elements should also ensure that opportunities to develop management skills are made available.
6. NOTES

This section contains information of a general or explanatory nature that may be helpful, but is not mandatory.

6.1 Intended Use. This standard is intended for the use of DOE managers responsible for establishing and maintaining a Facility Representative program at DOE nuclear facilities with the goal of ensuring that the Department's Facility Representatives are selected based on consistently high standards and from the best qualified candidates available, that they receive the training required for them to function effectively, and that their expected functions, responsibilities and authority are well understood and accurately documented. Guidance is provided in the following areas:

a. Assessing Facility Representative coverage,
b. Defining Facility Representative qualifications,
c. Defining Facility Representative functions, responsibilities and authorities,
d. Establishing Facility Representative training requirements,
e. Establishing Facility Representative training programs,
f. Formal examination of Facility Representatives, and
g. Facility Representative Program Performance Assessment.

6.2 Key Word Listing.

a. Facility Representative
b. Facility Representative coverage
c. Hazard classification
d. Line management
e. Occurrence reporting
f. Operational activity
g. Performance Indicator
h. Program manager
i. Qualification
j. Safety analysis
k. Self study
l. Stop work
m. Training
FACILITY REPRESENTATIVE PERFORMANCE INDICATORS

Scope: Carefully chosen Performance Indicators (PI) can provide valuable measures of the effectiveness of Facility Representative (FacRep) Programs. These PIs will be used by DOE-HQ to evaluate DOE-wide program effectiveness. Other PIs may be useful at a local level to determine the need for local program changes, depending on circumstances that may be unique to a site.

DOE-wide Facility Representative PIs are relatively few in number, easy to measure and report, applicable to all FacRep Programs, and resistant to misinterpretation. Since effectiveness in providing contractor oversight may be difficult to capture in measurable terms, some subjective measures are used.

General Points:

1. The attached Performance Indicators are for DOE-wide use. Field elements may use additional, local PIs that suit their own needs.

2. PIs for DOE-wide use are divided into the following categories: Staffing, Training and Qualification, Facility Representative Program Accomplishments, and Fulfilling the Facility Representative Role.

3. PIs that measure contractor performance have been avoided as measures of FacRep program effectiveness.

4. PIs should be reported to program offices quarterly, with copy sent to the Facility Representative Program Manager, Office of Field Services and Liaison (FM-10). At the close of a given quarter, one month is allocated to assemble PI reports, which are then due on the first working day of the months of February, May, August, and November.

5. Performance Indicators, their methods of calculation, and goals (or targets) are presented in the following tables.
## STAFFING

<table>
<thead>
<tr>
<th>TYPE</th>
<th>INDICATOR NAME</th>
<th>HOW TO CALCULATE</th>
<th>GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOE-wide</td>
<td>Staffing level (%)</td>
<td>Number of FacRep positions filled</td>
<td>100% of [#FacReps] * per DOE-STD-1063-97</td>
</tr>
<tr>
<td>DOE-wide</td>
<td>Attrition</td>
<td>Number of FacReps leaving the program this quarter. Include a comment regarding reason (e.g. promoted, resignation from DOE, lateral transfer, etc.)</td>
<td>N/A</td>
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## TRAINING AND QUALIFICATION

<table>
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<th>INDICATOR NAME</th>
<th>HOW TO CALCULATE</th>
<th>GOAL</th>
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</thead>
<tbody>
<tr>
<td>DOE-wide</td>
<td>% of FacReps Core Qualified</td>
<td>Number of FacReps Core Qualified</td>
<td>No GOAL specified</td>
</tr>
<tr>
<td>DOE-wide</td>
<td>% of FacReps Interim Qualified (if applicable)</td>
<td>Number of FacReps Interim Qualified</td>
<td>No GOAL specified</td>
</tr>
<tr>
<td>DOE-wide</td>
<td>% of FacReps Fully Qualified</td>
<td>Number of Fully Qualified FacReps</td>
<td>Greater than 75%</td>
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## FACILITY REPRESENTATIVE PROGRAM ACCOMPLISHMENTS

<table>
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<th>INDICATOR NAME</th>
<th>HOW TO CALCULATE</th>
<th>GOAL</th>
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<tbody>
<tr>
<td>DOE-wide</td>
<td>Accomplishments</td>
<td>Any accomplishments of note during the quarter</td>
<td>N/A Anything of note during the quarter</td>
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## FULFILLING THE FACILITY REPRESENTATIVE ROLE

<table>
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<tr>
<th>TYPE</th>
<th>INDICATOR NAME</th>
<th>HOW TO CALCULATE</th>
<th>GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOE-wide</td>
<td>FacRep Time Spent in the Plant/Field (plant walkthroughs, surveillances, assessments, etc.)</td>
<td>Average number of hours spent in the plant/field this quarter Number of available work hours this quarter</td>
<td>Greater than 40% * Denominator only includes number of hours expected by DOE-STD-1063-97, if the FacRep is a part-time FacRep.</td>
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<tr>
<td>DOE-wide</td>
<td>FacRep Time Spent Performing Contractor Oversight (includes time in plant/field as above, and procedure reviews at desk, ORPS activities at desk, etc.)</td>
<td>Average number of hours FacReps spend performing contractor oversight this quarter Number of available work hours this quarter</td>
<td>Greater than 60% * Denominator only includes number of hours expected by DOE-STD-1063-97, if the FacRep is a part-time FacRep.</td>
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</tbody>
</table>
Example Performance Indicator Submittal.

RED RUN Site

Performance Indicators for First Quarter CY97 (Jan 97 through Mar 97).

Submitted May 01, 1997.

<table>
<thead>
<tr>
<th>TYPE</th>
<th>INDICATOR NAME</th>
<th>INDICATOR</th>
<th>GOAL</th>
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</thead>
<tbody>
<tr>
<td>DOE-wide</td>
<td>Staffing level (%)</td>
<td>90% of 10 FacReps</td>
<td>100%</td>
</tr>
<tr>
<td>DOE-wide</td>
<td>Attrition</td>
<td>1 - Promotion</td>
<td>N/A</td>
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<table>
<thead>
<tr>
<th>TYPE</th>
<th>INDICATOR NAME</th>
<th>INDICATOR</th>
<th>GOAL</th>
</tr>
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<tbody>
<tr>
<td>DOE-wide</td>
<td>% of FacReps Core Qualified</td>
<td>100% [9 OF 9]</td>
<td>No GOAL specified</td>
</tr>
<tr>
<td>DOE-wide</td>
<td>% of FacReps Interim Qualified (if applicable)</td>
<td>89% [3 OF 9]</td>
<td>No GOAL specified</td>
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<tr>
<td>DOE-wide</td>
<td>% of FacReps Fully Qualified</td>
<td>78% [7 OF 9]</td>
<td>Greater than 75%</td>
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<th>GOAL</th>
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<tbody>
<tr>
<td>DOE-wide</td>
<td>Accomplishments</td>
<td>30% Reduction in ORPS review times for FY97.</td>
<td>N/A This is an optional field.</td>
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<table>
<thead>
<tr>
<th>TYPE</th>
<th>INDICATOR NAME</th>
<th>INDICATOR</th>
<th>GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOE-wide</td>
<td>FacRep Time Spent in the Plant/Field</td>
<td>55%</td>
<td>Greater than 40%</td>
</tr>
<tr>
<td>DOE-wide</td>
<td>FacRep Time Spent Performing Contractor Oversight</td>
<td>70%</td>
<td>Greater than 60%</td>
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</table>
The Department of Energy has implemented its Facility Representative Program, and is now looking to improve the program’s effectiveness DOE-wide. An effective Facility Representative Program has many elements, as spelled out in DOE-STD-1063-97, “Establishing and Maintaining a Facility Representative Program at DOE Facilities”. These elements are intended to yield a program which provides DOE facilities with well-trained Facility Representatives, who spend appropriate amounts of time in their facilities, and can work effectively with their contractor management counterparts. The program, to be effective, must have the functional support of management and must be able to assess its own performance using this guide. Any assessment of a Facility Representative Program should determine the extent to which these objectives are being met, and provide recommendations on improving the program’s effectiveness.

Objectives:

1) Well-trained, qualified Facility Representatives.  
2) Adequate coverage for DOE facilities.  
3) Effective relationships with the Contractor.  
4) Adequate functional support from the Field Element Management.  
5) Performance assessment and feedback program in place.

Purpose:

The purpose of this guide is to provide the Department with a consistent set of guidelines to assess the effectiveness of Facility Representative Programs.

Scope:

This guide should be used by DOE HQ and Field Elements to assess the effectiveness of their Facility Representative Programs as described in DOE STD-1063-97.

References:

The following references should be used in conjunction with this guide:

DOE-STD-1063-97  
General Technical Base Qualification Standard  
Facility Representative Qualification Standard  
Applicable Field Element site-, and facility-specific qualification standards  
Applicable Field Element site-, and facility-specific program implementing documents  
Applicable Field Element Facility Representative Program Performance Indicators
I. ASSESSMENT LINES OF QUESTION

The following Lines of Question examine the strength and maturity of the Field Element's Facility Representative Program and the effectiveness of its Facility Representatives (FacReps) by assessing performance at meeting the five objectives of the Facility Representative Program. That is, once in place, how well does the Field Element implement the Program?

1. Well-trained, qualified Facility Representatives.

   Do training records show that Facility Representatives, who are listed as qualified, have the proper education and experience, and that they have completed all qualification requirements as specified in General Technical Base Qualification Standard, Facility Representative Qualification Standard, and local directives? Are the qualifications approved by line management? Do the training records show that Facility Representatives complete all requalification requirements at the periodicity specified in the program directive?

   Are the personnel involved in training and qualifying FacReps formally identified?

   What is the process used to ensure that qualified FacReps maintain or regain proficiency, and is it effective?

   How many FacReps have failed to qualify within the time allowed by the program directive? How many have failed to requalify? What actions were taken by the responsible Field Element Management?

   How is test bank adequacy and security verified for all qualification areas and facilities? Do written examinations challenge candidates sufficiently to ensure the proper level of knowledge?

   Does the oral examination process challenge the candidate sufficiently to verify the proper level of knowledge of all qualification areas and facilities? Do they test the FacRep's technical understanding of facility processes, judgement and decision-making abilities, and ability to communicate expectations to the Contractor?

   How well does the FacRep understand his/her roles and responsibilities under the Field Element's Facility Representative Program?

   What continuing training is conducted for Facility Representatives? Does it cover topics germane to FacRep duties and responsibilities?
2. **Adequate coverage for DOE facilities.**

   Is FacRep Staffing in accordance with DOE-STD-1063-97? If not, is a written agreement with the Program Office in place?

   What is done to recruit and hire satisfactory candidates to fill known or projected FacRep vacancies? Are sufficient numbers of FacRep candidates undergoing qualification to fill known or projected FacRep vacancies? Is there a FacRep “pipeline” to train new FacRep candidates?

   How long have current FacRep vacancies existed?

   What is the trend of the reported time spent in the facility and time performing oversight?

   What methods are used by the Field Element to ensure that adequate facility coverage is maintained by qualified FacRep during periods of leave, attrition, or downsizing?
3. **Effective relationships with the Contractor.**

Do FacReps actually have unencumbered access and “Stop Work” authority to their assigned facilities? Has this been communicated formally to the contractor?

Has “Stop Work” authority been exercised? Was it appropriate? Was it effective? Are there occasions that it should have been, but was not used?

What is the effectiveness of the FacReps as verified by observing selected qualified personnel who are monitoring training, operations, or maintenance evolutions?

Are reviews of occurrence reports accomplished in a timely manner while ensuring that the root cause has been determined and effective action proposed?

Do FacReps accomplish facility assessments, surveillances and audits as scheduled and are the findings meaningful and consistent with facility performance? Do assessments limit the amount of time the FacRep can spend on day-to-day facility oversight?

How effective is the process for correcting deficiencies when comparing reported dates against the completed action dates? Have all completed actions actually been performed? How is tracking, follow-up, and closure of FacRep findings performed? Is there follow-up on issues informally identified by the FacRep?

How effective is the documentation of FacRep activities (e.g., reports, log keeping)?

How are FacRep findings reported (formally and informally) to the contractor? Are the reports provided to the contractor consistent with the information recorded by the FacReps? How clear is the process of reporting findings to the contractor?

Does the FacRep have access to all levels of facility management? How often does the FacRep discuss facility operations issues with the facility manager? Do the FacReps regularly interface with facility operations personnel?

Are FacRep to contractor interactions formal or informal; collegial or confrontational; helpful or adversarial? Are these interactions effective or harmful to operational safety?

Does a process exist for ensuring the continued objectivity of FacReps assigned to a given facility?
4. **Adequate functional support from the Field Element Management.**

What are the reasons for any FacRep attrition? Are FacRep's leaving for promotions, laterals, downsizing?

What steps has management taken to ensure that the FacRep positions are career enhancing? Are there senior or supervisory FacRep opportunities?

What continuing education is actively supported?

What role does Field Element Management have in the qualification process? Does management provide the resources necessary to qualify FacReps within the time allowed by the program directive?

How does line management support the actions taken by the FacReps at the respective facilities? What is interface relationship between the FacReps and each level of DOE line management? How often does line management ‘walk the spaces’ with the FacReps.

How does DOE line management track and follow up on issues raised by the FacReps?

What local processes exist to allow FacReps access to Field Element technical expertise regarding Contractor issues?

What local Performance Indicator data is used to provide indication of the FacRep program status? What trending and analysis is done on Performance Indicator data? How is this information used?

What incentive programs are in place and used effectively for the FacRep position? Do these programs make the Facility Representative position desirable and career enhancing?
5. **Performance assessment and feedback program in place.**

How often does the Field Element conduct self-assessments of the entire Facility Representative program? How are peer reviews incorporated into the self-assessment process?

How well does the self-assessment program ensure that the evaluators have adequate knowledge and experience to conduct meaningful reviews?

Based on self-assessment reports, have adequate reviews been conducted to be able to properly evaluate the assigned area of assessment? Have the self-assessments generated meaningful recommendations for improvement and corrective actions?

How is the accomplishment of self-assessment actions tracked? Are corrective actions being completed in a timely manner?

How are the FacReps kept informed on changes to their facilities and their operating practices? How are lessons learned from facility events disseminated to FacReps?

How are lessons learned from facility events at other DOE facilities sought and disseminated to FacReps? Are lessons learned from other relevant industrial events disseminated to FacReps?
II. APPROACH

The approach to be used in performing the Facility Representative Program assessment will vary between Field Elements. In order to obtain a valuable assessment of the program, the following methodology is presented.

**Documentation.** Much information can be determined in advance of the assessment by careful review of program documentation. This can include:

1. Program directive(s)
2. Performance Indicators (DOE-wide and locally generated)
3. Qualification tracking data
4. Significant Occurrence Reports
5. Performance Assessments including the Facility Representative Program Self-Assessment
6. Training records (including continuing training)
7. Qualification records
8. Facility Representative logs
9. Facility Representative reports
10. Management tracking system for Facility-Representative-reported issues
11. Written and oral examination question banks

**Interviews.** By discussing the program with its participants, a determination can be made about program performance 'on paper' as opposed to 'in reality'. Consideration should be given to interviewing:

1. Facility Representative Program managers
2. Facility Representatives
3. Facility Representative supervisors
4. Line managers
5. Contractor facility managers
6. Technical Expertise support (health physics, explosive safety, etc)

**Walkthroughs.** Much information can be determined by performing walkthroughs with the Facility Representatives. Walkthroughs can provide indication of:

1. Level of Facility Representative qualification
2. Actual practices of the facility
3. Interactions with contractor personnel
4. Log-keeping and reporting practices
5. Corrective action verification

**Other methods.** The preceding list of methods is for example purposes. Additional methods exist which may help in assessing program performance. These methods should be used as appropriate.
III. REPORT

This section contains the report format which can be used to document these reviews of Facility Representative Programs. The report will be in narrative format and include the following:

Report header:

Facility Representative Program Review
Field Organization
Date(s) of review

Summary:

Includes a brief synopsis of the program assessment including activities observed, personnel interviewed (by position), and documents reviewed. Each section of the report should be evaluated as adequate, marginal, or unsatisfactory. An overall grade for the assessment (satisfactory or unsatisfactory) should be assigned. The report should specifically identify excellent practices worth sharing as well as significant, or key weaknesses noted. A rationale should be provided for the grade given, based on current program status, progress made, and achievement of the program objectives.

Discussion:

For each of the listed program objectives, provide a report of current status, progress made in this area, grade assigned, and recommendations for improvement.

1. Well-trained, qualified Facility Representatives.
2. Adequate coverage for DOE facilities.
3. Effective relationships with the Contractor.
4. Adequate functional support from the Field Element Management.
5. Performance assessment and feedback program in place.
Review Activities:

DOE-DP
EE
EH
EM
ER
FE
FM
HR
NE
RW
AL
CH
ID
NV
OAK
OH
OR
RF
RL
SPRO
SR

Preparing Activity:

DOE-FM

Project Number:

FACR-0019
1. Document Number

2. Document Title

3a. Name of Submitting Organization

4. Type of Organization (Mark one)
   - ☐ Vendor
   - ☐ User
   - ☐ Manufacturer
   - ☐ Other (Specify: ____________________________)

3b. Address (Street, City, Zip Code)

5. Problem Areas (Attach extra sheets as needed.)
   a. Paragraph Number and Wording
   b. Recommended Wording
   c. Reason/Rationale for Recommendation

6. Remarks

7a. Name of Submitter (Last, First, MI)

7b. Work Telephone Number (Include Area Code)

7c. Mailing Address (Street, City, State, Zip Code)

8. Date of Submission
INSTRUCTIONS: In a continuing effort to improve the U.S. Department of Energy (DOE) Technical Standards, this form is provided for use in submitting comments and suggestions for improvements. All users of DOE Technical Standards are invited to provide suggestions. This form may be detached, folded along the lines indicated, taped along the loose edge (DO NOT STAPLE) mailed to the address indicated or faxed to (423) 574-0382.

1. The submitter of this form must complete blocks 1 through 8.

2. The Technical Standards Program Office (TSPO) will forward this form to the Preparing Activity. The Preparing Activity will reply to the submitter within 30 calendar days of receipt from the TSPO.

NOTE: This form may not be used to request copies of documents, nor to request waivers, deviations, or clarification of specification requirements on current contractors. Comments submitted on this form do not constitute or imply authorization to waive any portion of the referenced document(s) or to amend contractual requirements.

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