DIRECTIVES CONTROL FORM - ORO O FINAL DIRECTIVE

PART A (To be completed by the Division of Primary Interest (DPI)

1. **NUMBER AND TITLE OF DIRECTIVE**: **ORO O 420, Chapter IV, Change 1, CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES**

2. **PURPOSE OF TRANSMITTAL**: ___ New Directive ___ Revised Directive _X_ Page Change

3. **CONTRACTOR REQUIREMENTS**: Does directive contain requirements applicable to contractor(s)? Check appropriate boxes:

   __ No (all contractors)

   _X_ Yes If yes, whom? _X_ LMES _X_ LMER _X_ ORAU _X_ Bechtel Jacobs Company

   ___ Other contractors (list by type)

   Many ORO contractors have approved S/RIDs or WSS sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

4. **SUMMARY OF SIGNIFICANT PROVISIONS OR CHANGES**: Revises paragraph 4 to modify the language to acknowledge that the subject matter of this Chapter (not any specific requirements from this Chapter) may be covered under one or more WSS sets or S/RIDs.

5. **CONTACT POINT**: Mike Parker (Name) Nuclear Safety Division, SE-33 (Organization) 576-0841 (Telephone)

PART B (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS**:

Remove	Dated	Insert	Dated
ORO O 420, Chapter IV Page IV-1	07-26-96	ORO O Control Form	03-31-98
		ORO O 420, Chapter IV, Chg. 1 Pages IV-1 and IV-1a	03-31-98

ORO Orders are available on the ORO Directives Management Home Page [http://www.ornl.gov/doe_oro_dmg/orchklst.htm] within 5-10 working days after receipt of this Control Form. The ORO Orders will no longer be mailed in printed copy unless you do not have Internet capabilities.

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST**:

Original signed by Jennifer H. Cusick *03/31/1998*

Signature Management Analyst, AD-440 Date

U.S. Department of Energy

Oak Ridge Operations

ORO O 420
Chapter IV
Chg. 1

DATE: 03-31-98

SUBJECT: **CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES**

1. PURPOSE.

   a. This Chapter correlates to DOE 5480.19, CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES, dated July 9, 1990, by assigning responsibility and accountability and providing administrative and/or contractual guidance to Oak Ridge Operations (ORO) and its contractors. Nothing in this issuance changes any requirements contained in any DOE Order.

   b. This Chapter establishes overall guidance and administrative controls and assigns ORO responsibility for ORO senior management observation of ongoing activities and reinforces conduct of operations principles and practices (see paragraph 5 of this Chapter).

2. CANCELLATION. This Chapter cancels and replaces ORIG N 5480.19B, CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES, dated March 30, 1995.

3. APPLICABILITY. This document applies to ORO Principal Staff, management and operating (M&O) contractors, and other contractors responsible for the operation of a DOE-owned or -leased facility.

4. RESPONSIBILITIES. Many ORO contractors have developed Standards/Requirements Identification Documents (S/RIDs) or Work Smart Standards (WSS) sets that may not include requirements referenced or included in DOE 5480.19 or this Chapter. Interpretation and performance of Federal responsibilities outlined below must take into account the approved standards set for each particular contract and must not be deemed to add any requirements to the approved set.

   Contracting Officers' Representatives:

   a. Perform those tasks identified in DOE 5480.19, subparagraph 6e, items (1) and (3). For item (2), perform that task if a major facility or group of lesser facilities are Category 1, 2, or 3 nuclear facilities.

   b. Approve the document required by DOE 5480.19, subparagraph 5c.

   c. Serve as the overall implementation and verification agent for DOE and provide the direct day-to-day oversight of the M&O contractor.

   d. Receive direction from the cognizant Secretarial Officer as defined in the management agreements applicable to their site.

e. Ensure day-to-day implementation, verification, and reporting of program activities and manage the on-site staff.

NOTE: Responsibilities and procedures for the ORO Management Walk-Through Program are prescribed in paragraph 5 of this Chapter.

5. REQUIREMENTS AND PROCEDURES. Management Walk-Through Program:

a. Purpose.

(1) DOE issued a Corrective Action Plan (Identification No. III.A.1.a.3) in response to the Defense Nuclear Facilities Safety Board Recommendation 94-4 that committed ORO to develop a Management Walk-Through Process for Y-12. The program described below responds to that commitment.

(2) The program is mandatory at Y-12 and, if deemed necessary, may be performed at other ORO sites. Its intent is to require ORO management observation of ongoing activities and reinforce conduct of operations principles and practices.

(3) Reviewers shall coordinate their visits with the site office point of contact to ensure that inspections are performed during on-going work activities.

b. Responsibilities. The following responsibilities apply to performance of walk-through inspections at Y-12. The Assistant Managers for Energy Research and Development (ER-10) and Environmental Management (EW-90) may mandate their applicability at the Oak Ridge National Laboratory (ORNL) and K-25 sites, respectively.

(1) Manager; Deputy Manager; Assistant Managers for Defense Programs, Environmental Management, and Environment, Safety & Quality.

(a) Perform and document quarterly walk-through inspections in accordance with the procedures described below.

(b) Notify the cognizant Assistant Manager of observations that require corrective action.

(2) Cognizant Assistant Managers.

(a) Develop and implement an ORO management walk-through program for sites under their jurisdiction.

(b) Follow up on issues of concern to ensure that appropriate actions are taken to resolve observed deficiencies.

(3) Site Office Managers shall schedule walk-through inspections, assist reviewers in their inspections, and maintain records of assessments.

c. Frequency of Inspections. Inspections shall be conducted not less often than quarterly and should last from one to three hours. Unscheduled walk-throughs resulting from incident

investigations may be considered part of the quarterly walk-throughs. No reviewer should be scheduled to perform more than one assessment per year.

d. Assessment Subjects.

(1) Acceptable subjects for walk-throughs include:

6,34 Organization and Management
6,34 Radiation Protection
6,34 Industrial Safety
6,34 Industrial Hygiene
6,34 Fire Protection
6,34 Transportation Safety
6,34 Nuclear Safety
6,34 Criticality Safety
6,34 Facility Safety
6,34 Maintenance Practices
6,34 Training and Training Certification
6,34 Quality (Configuration Management and Documentation)
6,34 Environmental Protection
6,34 Chemical Safety
6,34 Safeguards and Security
6,34 Emergency Preparedness
6,34 Manager's Prerogative
6,34 Conduct of Operations (see References in paragraph 6 below)

(2) Walk-through assessments should consider:

(a) Reports (performance indicators, work permits, reported incidents) of significant issues of concern and assessments of mitigation actions taken by the contractor to determine if actions are adequate, complete, implemented, and effective.

(b) Contractor performance against work permits and budget by task, if appropriate.

(c) Contractor strategic planning objectives and performance measures.

(d) Contractor performance against items identified in the Cost Plus Award Fee (CPAF) determination.

(e) New procedures implemented by the contractor to determine their effectiveness and degree of implementation.

(f) Contractor and management working relationships.

e. Management Walk-Through Report (see Attachment 2 of this Chapter).

(1) Reviewers shall document the results of their observations. Walk-through reports should be brief but specific and readily convey what activities were assessed in each facility and any deficiencies observed.

(2) The walk-through report shall include:

(a) A brief description of the scope of the walk-through and the date it took place;

(b) Identification of the facilities or activities assessed;

(c) Concerns or observations identified; and

(d) Recommended corrective actions (if no action required, state N/A) and assignment of responsibility for tracking resolution.

f. Walk-through Followup and Observation Resolution.

Reviewers shall notify the Site Office Manager and the cognizant Assistant Manager of his/her observations. Observations requiring immediate corrective action shall be reported as soon as possible. Otherwise, the assessment report shall be provided within five working days. The Site Office Manager shall communicate any findings, concerns, or observations to the point of contact or Facility Representative. The point of contact or Facility Representative will work with the contractor to ensure tracking of corrective actions and appropriate resolution of the deficiencies.

g. Records.

(1) Documentation shall be transmitted to the Site Office Manager with a copy to the cognizant Assistant Manager by electronic mail or paper copies.

(2) The Site Office Manager maintains record copies for two years.

6. REFERENCES.

a. DOE-STD-1032-92, Guide to Good Practices for Operations Organization and Administration, dated December 1992.

b. DOE-STD-1041-93, Guide to Good Practices for Shift Routines and Operating Practices, dated June 1993.

c. DOE-STD-1042-93, Guide to Good Practices for Control Area Activities, dated June 1993.

d. DOE-STD-1031-92, Guide to Good Practices for Communications, dated December 1992.

e. DOE-STD-1040-93, Guide to Good Practices for Control of On-Shift Training, dated June 1993.

f. DOE-STD-1045-93, Guide to Good Practices for Notifications and Investigation of Abnormal Events, dated June 1993.

g. DOE-STD-1039-93, Guide to Good Practices for Control of Equipment and System Status, dated March 1993.

h. DOE-STD-1030-92, Guide to Good Practices for Lockouts and Tagouts, dated November 1992.

i. DOE-STD-1036-93, Guide to Good Practices for Independent Verification, dated June 1993.

j. DOE-STD-1038-93, Guide to Good Practices for Operations Turnover, dated June 1993.

k. DOE-STD-1037-93, Guide to Good Practices for Operations Aspects of Unique Processes, dated June 1993.

l. DOE-STD-1033-92, Guide to Good Practices for Operations and Administration Updates Through Required Reading, dated December 1992.

m. DOE-STD-1034-93, Guide to Good Practices for Timely Orders to Operators, dated March 1993.

n. DOE-STD-1029-92, Guide to Good Practices for Technical Procedures, dated September 1991.

o. DOE-STD-1043-93, Guide to Good Practices for Operator Aid Postings, dated June 1993.

p. DOE-STD-1044-93, Guide to Good Practices for Equipment and Piping Labeling, June 1993.

7. DEFINITIONS. None.

8. CONTRACTOR REQUIREMENTS DOCUMENT. See Contractor Requirements Document, Attachment 1 of this Order.

9. ATTACHMENTS.

a. Attachment 1 - Contractor Requirements Document.

b. Attachment 2 - Sample Management Walk-through Report.

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors that are identified in paragraph 3 of this Chapter shall implement programs and management systems consistent with DOE policy (DOE 5480.19, paragraph 4); program requirements identified in DOE 5480.19, paragraph 5; and the guidelines described in DOE 5480.19, Attachment 1, Chapters I-XVIII.

SAMPLE MANAGEMENT WALK-THROUGH REPORT

MAY 99

SCOPE: The criticality safety program for Y-12 Building 9212 was observed on May 13, 1999. Personnel were observed following approved CSA procedures during performance of the observed activity. Supervisors were present as required by the procedure. Procedural adequacy was also evaluated.

DATE OF WALK-THROUGH: May 13, 1999

MANAGER: I. M. Helpful

NOTEWORTHY PRACTICES:

During the activity, a procedural discrepancy was discovered. The contractor personnel backed off 15 feet and notified supervision and the criticality safety department as required by the procedure. No further work was performed until a criticality safety engineer corrected the procedure.

FINDINGS, CONCERNS, OR OBSERVATIONS: None

RECOMMENDED ACTIONS:

Because this activity was hampered by a time constraint and there was a considerable amount of time before the criticality safety engineer arrived due to another important commitment, the contractor management should consider hiring more criticality safety engineers.

cc: Lead Assistant Manager
Site COR