

SELF-ASSESSMENT FOR DOE CRITICALITY SAFETY PROGRAMS



**OFFICE OF NUCLEAR AND FACILITY SAFETY, EH-3
OFFICE OF ENVIRONMENT, SAFETY AND HEALTH**

U.S. DEPARTMENT OF ENERGY

TABLE OF CONTENTS

- I. SCOPE..... 1
- II. PURPOSE..... 1
- III. ASSESSMENT REQUIREMENTS 1
 - A. DOE LINE ENVIRONMENT, SAFETY AND HEALTH OVERSIGHT 1
- Appendix A: Examples of DOE Performance Measures..... 4
- Appendix B: Sample Review Form..... 5

I. SCOPE

The Department of Energy (DOE) issued DOE P 450.5, *Line Environment, Safety and Health Oversight*, to set forth its expectations for line management environment, safety and health (ES&H) oversight. DOE line oversight and contractor self-assessments together ensure that field elements and contractors adequately implement the DOE Safety Management System. Both DOE and contractor line managers must acquire and maintain sufficient knowledge of program activities in order to make informed decisions on safety resources for these activities. The Department's line organizations have the following responsibilities:

- A. Develop ES&H performance objectives, measures, and expectations tied to DOE's strategic goals and objectives, as well as to performance goals and objectives of the Safety Management System elements.
- B. Develop contract performance measures and performance indicators that are linked to the DOE Safety Management System.
- C. Develop a high level of performance assurance that results in improved ES&H performance.

II. PURPOSE

The purpose of this document is to provide an assessment tool to evaluate the elements of the DOE nuclear criticality safety (NCS) oversight program. The requirements are based on the criteria outlined in DOE P 450.5.

III. ASSESSMENT REQUIREMENTS

A. DOE LINE ENVIRONMENT, SAFETY AND HEALTH OVERSIGHT

Criteria for the review of DOE criticality safety programs were extracted from DOE P 450.5, *Line Environment, Safety and Health Oversight*.

Criterion: Elements of the DOE Criticality Safety Program must be documented.

- a. Are the responsibilities of the DOE NCS Program Manager clearly defined and understood?
- b. Are the elements of a DOE NCS surveillance plan documented?

Criterion: DOE must acquire and maintain sufficient knowledge of program activities in order to make informed decisions on criticality safety resources for these activities.

- a. Are routine meetings held with contractor NCS management?
- b. Are periodic meetings held with DOE contractor operations management?
- c. Does the DOE NCS Program Manager review budget requests made by contractor NCS management?
- d. Does the DOE NCS Program Manager review budget requests made by contractor operations management?

- e. Does the DOE NCS Program Manager have input to the DOE site budget process?

Criterion: DOE maintains operational awareness of contractor work activities, typically through DOE line managers and staff such as Facility Representatives and criticality safety subject matter experts.

- a. Do the DOE NCS Program Manager and Facility Representatives work closely on NCS-related issues in the field?
- b. Does the DOE NCS Program Manager routinely spend time in the field performing walkdowns and interacting with Operations?
- c. Does the DOE NCS Program Manager review contractor occurrence reports related to criticality safety programs?

Criterion: DOE reviews performance against formally established criticality safety performance measures, performance indicators, and contractor self-assessments.

- a. Have contractor NCS program performance measures been established? See Appendix A for examples.
- b. Is progress on the performance measures routinely reported to DOE?
- c. Are contractor NCS self-assessments reviewed by the DOE NCS Program Manager?
- d. Does the NCS Program Manager provide reports and feedback on contractor self-assessments to senior DOE site management?

Criterion: DOE performs criticality safety reviews and assessments in support of required readiness assessments, Operational Readiness Reviews, Safety Management System documentation and onsite verification reviews, and authorization basis documents including Criticality Safety Evaluations (CSEs).

- a. Does the DOE NCS Program Manager participate in readiness assessments, Operational Readiness Reviews, and Integrated Safety Management reviews when necessary?
- b. Does the DOE NCS Program Manager participate in the review and approval of facility NCS-related authorization basis documents (e.g., Safety Analysis Reports, Bases for Interim Operations, Unresolved Safety Questions, and Technical Safety Reports)?
- c. Does the DOE NCS Program Manager review a sample of contractor CSEs on a routine basis?

Criterion: DOE performs periodic appraisals of the contractor criticality safety program, including for-cause criticality safety reviews, as necessary.

- a. Have facility criticality safety surveillances been incorporated into the Field Office assessment plan?
- b. Are appraisals and reviews documented?
- c. Are corrective actions tracked to closure?
- d. Does the DOE NCS Program Manager perform assessments of the contractor criticality safety program in accordance with a documented plan?

- e. Are outside DOE NCS subject matter experts occasionally utilized to assist with reviews to provide independent feedback?

Criterion: DOE has a designated focal point for coordinating criticality safety oversight activities.

- a. Has the DOE Field Office designated a single NCS focal point (i.e., NCS Program Manager)?
- b. Has the DOE NCS Program Manager been qualified by completing the requirements in the Federal NCS Qualification Standard?
- c. Does the DOE NCS Program Manager routinely meet with an Assistant Field Office Manager responsible for NCS?
- d. Does the DOE NCS Program Manager represent the single authority on NCS issues to the contractor?
- e. Does the DOE NCS Program Manager represent the Field Office on the Criticality Safety Coordinating Team (CSCT)?