

CONTROL OF PROCEDURES AND OPERATOR AIDS

1.0 Objective

The objective of this surveillance is to verify that the most current revisions of procedures and operator aids are available to laboratory personnel. These surveillance activities provide a basis for evaluating the effectiveness of the laboratory's program for control of and revision to procedures and operator aids and for establishing compliance with DOE requirements.

2.0 References

- 2.1 DOE 5480.19, *Conduct of Operations Requirements for DOE Facilities*
- 2.2 DOE-STD-1043-93, *Guide to Good Practices for Operator Aids Postings*
- 2.3 INPO 85-017 Rev 2, *Guidelines for the Conduct of Operations at Nuclear Power Stations*
- 2.4 INPO 84-005, Rev 2, *Good Practice, Control of Operator Aids*
- 2.5 *Performance Objectives and Criteria for TSAs*, June 1990

3.0 Surveillance Activities

Activity 1 - The Facility Representative or Environmental, Safety, and Health Support Specialist reviews the effectiveness of the laboratory's programs to control revision and distribution of procedures and operator aids. The Facility Representative or Environmental, Safety, and Health Support Specialist verifies on a sampling basis that current controlled copies of procedures and operator aids are maintained in the control area.

Activity 2 - The Facility Representative or Environmental, Safety, and Health Support Specialist verifies on a sampling basis that the most current controlled copy of procedures and operator aids are available and in use at the laboratory and that laboratory personnel understand and follow procedures for making changes and revisions to procedures and operator aids. The Facility Representative or Environmental, Safety, and Health Support Specialist walks through the laboratory or a portion of the laboratory to examine copies of procedures and operator aids that are in use to verify that they are current.

**Surveillance Guideline
 CONTROL OF PROCEDURES AND OPERATOR AIDS**

Surveillance No.: _____

Facility: _____

Date Completed: _____

YES NO N/A

Activity 1 - Control of revision and distribution for procedures and operator aids

- | | | | | |
|----|---|-------|-------|-------|
| 1. | Are current controlled copies of procedures and operator aids maintained in the control area and readily available for use? | _____ | _____ | _____ |
| 2. | Are emergency procedures distinguishable from other procedures? | _____ | _____ | _____ |
| 3. | Are appropriate procedure changes or revisions initiated when procedure inadequacies or errors are identified? | _____ | _____ | _____ |
| 4. | Are procedures with a temporary change outstanding for longer than six months or with more than five temporary changes revised and reissued? | _____ | _____ | _____ |
| 5. | Are documents and operator aid references identified by procedures readily available and properly controlled? | _____ | _____ | _____ |
| 6. | Are procedures or operator aids marked up in any manner, other than through approved change control processes? | _____ | _____ | _____ |
| 7. | Do copies of procedures include all approved temporary changes to the procedures? | _____ | _____ | _____ |
| 8. | Are shift orders, standing orders, or special orders (if used) controlled such that they do not circumvent the procedure change and approval process? | _____ | _____ | _____ |
| 9. | Does the operations supervisor, or higher authority, review and approve all operator aids? | _____ | _____ | _____ |

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
10. Are operator aids controlled such that they are not used in lieu of approved procedures?	_____	_____	_____
11. Is a list or index of all approved operator aids maintained along with a copy of each posted aid?	_____	_____	_____
12. Does the list or index of operator aids contain the operator aid control number, title, reference document, posted location, approval signature and date, and removal signature and date?	_____	_____	_____
13. Is the list or index of operator aids periodically audited to ensure that only currently posted aids are listed, inactive aids have been removed, missing aids have been replaced, the operator aids are still correct and necessary, and don't supersede or conflict with controlled procedures or other controlled facility documentation?	_____	_____	_____

Activity 2 - Verification that the current revision of procedures and operator aids are in use at the facility.

14. Are copies of procedures and operator aids available or in use at the facility the most current approved revisions of the procedure or operator aid?	_____	_____	_____
15. Are working copies of procedures or operator aids available for use or in use at the facility?	_____	_____	_____
16. Are working copies of procedures or operator aids verified to be in conformance with the most current approved revision of the procedure or operator aid?	_____	_____	_____
17. Do facility personnel understand the procedures for control and use of working copies of the procedure or operator aid?	_____	_____	_____
18. Do facility personnel understand and use the procedures for initiating changes to procedures or operator aids when inadequacies or errors are identified?	_____	_____	_____
19. Are changes and revisions to procedures and operator aids formally communicated to facility personnel?	_____	_____	_____

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PERSONNEL CONTACTED: _____

**IF MORE SPACE IS NEEDED FOR FINDINGS, OBSERVATIONS, AND FOLLOWUP
ITEMS - USE ADDITIONAL SHEETS**

FINDINGS:

Finding No.: _____

Description: _____

Finding No.: _____

Description: _____

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Finding No.: _____

Description: _____

OBSERVATIONS:

Observation No.: _____

Description: _____

Observation No.: _____

Description: _____

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Observation No.: _____

Description: _____

FOLLOWUP ITEMS:

Followup Item No.: _____

Description: _____

Followup Item No.: _____

Description: _____

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Followup Item No.: _____

Description: _____

LABORATORY MANAGEMENT DEBRIEFED AND RESULTS: _____

Signature: _____ Date: _____

Facility Representative or
Environmental, Safety, and Health Support Specialist