

Line #	Criteria/ Lines of Inquiry	Item #	JLab Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date	CATS ACTION
1	<b>Criteria</b> - Contractor management has established a comprehensive and integrated contractor assurance system for ensuring the protection of the public, workers, environment and national security assets through continuous improvement for environment, safety, and health; safeguards and security; cyber security; and emergency management. The contractor's assurance system programs and processes are in accordance with the policy and key elements outlined in DOE Policy 226.1, <i>Department of Energy Oversight Policy</i> , DOE Order 226.1 A, <i>Implementation of Department of Energy Oversight Policy</i> , Attachment 1, quality assurance requirements (as stated in 10 CFR 830, Subpart A, DOE Order 4 14.1 C, <i>Quality Assurance</i> , or other applicable regulations), other applicable DOE directives, and contract terms and conditions.								
2	1. A program description document that fully details the programs and processes that comprise the contractor assurance system has been developed, approved by contractor management, and forwarded to DOE for review and approval. The program description is reviewed and updated annually and forwarded to DOE for review and approval.	2.a							
3	2. The contractor assurance system includes assessment activities (self-assessments, management assessments, and internal independent assessments as defined by laws, regulations, and DOE directives such as quality assurance program requirements) and other structured operational awareness activities; incident/event reporting processes, including occupational injury and illness and operational accident investigations; worker feedback mechanisms; issues management; lessons-learned programs; and performance indicators/measures.	3.a							
4	3. The contractor's assurance system monitors and evaluates all work performed under their contract, including the work of subcontractors.	4.a							
5	4. Contractor assurance system data is formally documented and available to DOE line management. Results of assurance processes are periodically analyzed, compiled, and reported to DOE line management as part of formal contract performance evaluation.	5.a							
6	5. Contractors have established and implemented sufficient processes (e.g., self-assessments, corporate audits, third-party certifications or external reviews, performance indicators) for measuring the effectiveness of contractor assurance system elements.	6.a							
7	6. Requirements and formal processes have been established and implemented that ensure personnel responsible for managing and performing assurance activities possess appropriate experience, knowledge, skills, and abilities commensurate with their responsibilities.	7.a							

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8	<b>Lines of Inquiry</b> - 1. Processes - Are the processes that constitute the Contractor Assurance System formal and documented and, when taken together, meet the requirements of DOE 0 226.1 A?	8.a							
9	a. Does the contractor assurance system program description document (or equivalent) require and adequately describe a comprehensive and integrated set of processes and activities to identify and address program and performance deficiencies, and opportunities for improvement; provide the means and requirements to report deficiencies to the responsible managers and authorities; establish and effectively implement corrective and preventive actions; and share lessons learned across all aspects of operations as specified in DOE 0 226.1 A, Attachment I?	9.a	The TJNAF Contractor Assurance System Program Description document dated October 31, 2007 implies that the elements in this LOI are required and adequately describes the integrating processes and activities. SUPPORTING DOCUMENTS: Issues Management Procedure, Assessment Procedures (IA/MSA), Integrated Assessment Schedule Procedure, Corporate Operating Experience (QA Procedure), ES&H Manual Chapter 5200, Corrective Action Tracking, Key Performance Indicators, PEMP	Y	NA	NA	NA	NA	
10	b. Does the contractor assurance system include self-evaluations of compliance with applicable laws, regulations, national standards, DOE directives, and DOE-approved plans and program documents, site-specific procedures/manuals, criteria review and approach documents, contractual performance objectives, and other contractually mandated requirements?	10.a	Addressed in the Integrated Assessment Schedule Procedure (4.1.1)	Y	NA	NA	NA	NA	
11	c. Does the contractor assurance system require monitoring and evaluation of all work performed under their contracts, including subcontractors?	11.a	The TJNAF Contractor Assurance System Program Description document dated October 31, 2007 does not specifically address the monitoring and evaluation of subcontractor's. Monitoring and evaluation of work performed is done IAW the following: - Quarterly Self Assessments against PEMP - Contractor Assurance System Program Description, Section 13 - The PEMP is intended to cover all work covered under the contract - SOTR Policy and Procedures - Procured Services Section of the ES&H Manual , Chapter 3420	Y	Revise the TJNAF Contractor Assurance System Program Description to clearly denote that the work of subcontractors is also monitored and evaluated	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-24

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12	d. Has the contractor established processes and mechanisms, such as use of corporate audits, third party certifications, or other external reviews in designing and implementing the contractor's assurance system for measuring the effectiveness of program elements?	12.a	Established in the following: - Independent Assessment Schedule Procedure - Annual Assessment Schedule - External Organization performed a review of the initial design and implementation processes of CAS, MSA-08-01, TJNAF Contractor Assurance Program - In addition, DOE reviewed and approved the Contractor Assurance System - Future external evaluations of CAS are included on the assessment schedule	Y	NA	NA	NA	NA	
13	e. Has the contractor defined their processes for review and communication to DOE management, problems identified with DOE directives or site-specific requirements that conflict, are unclear, or are incomplete?	13.a	A Requirements Management Procedure is currently being developed which addresses the elements of this LOI  Director's Review Process	N	Include a process for review of problems identified with DOE directives or site specific requirements that conflict, are unclear or incomplete and communicate them to DOE when finalizing the Requirements Management Procedure	Lenzer	4/30/2008		IA-2008-08-21
14	f. Has the program description document been approved by contractor management and DOE?	14.a	Approved by JLab Management 11/1/07. DOE approved via memorandum November 21, 2007	Y	NA	NA	NA	NA	
15	2. Training and Qualification - Are personnel implementing Contractor Assurance System processes adequately trained and qualified to perform assigned oversight activities (in accordance with DOE O 226.1 A, DOE M 360.1-1 B, and DOE M 426.1-1 A)?	15.a							
16	a. Has the contractor defined the requirements for experience, knowledge, skills and abilities for personnel implementing the assurance system elements?	16.a	Requirements defined in: - Individual Training Plans (ITP) specify KSA's for CAS related positions - Training and Qualification Procedures (under development) identifies the KSA's for CAS related responsibilities.	Y	1) Complete development of the Training and Qualification Procedure 2) Training Matrix for QA/CI personnel.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-01 & -02
17	b. Has the contractor established, maintained, and implemented appropriate qualification standards for personnel with oversight responsibilities?	17.a	Qual. Standard elements contained in: - Internal Independent Auditor provides oversight. - ESH&Q Program personnel provide oversight - Job Descriptions contain qual. expectations - Qual. standards exist for QACI personnel - Specific Assessor training	Y	NA	NA	NA	NA	
18	c. Has the contractor provided and ensured completion of appropriate training for personnel who manage and perform assurance functions, in that they must possess experience, knowledge, skills, and abilities commensurate with their responsibilities?	18.a	Addressed in: - Individual Training Plans (ITP) - Management Self Assessment (MSA) Procedure requires assessors complete assessor training	Y	NA	NA	NA	NA	
19	3. Implementation of Program Responsibilities - Are Contractor Assurance System responsibilities appropriately implemented?	19.a							

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20	a. Has the contractor monitored and evaluated all work performed under their contracts, including subcontractors?	20.a	The TJNAF Contractor Assurance System Program Description document dated October 31, 2007 does not specifically address the monitoring and evaluation of subcontractor's. Monitoring and evaluation of work performed is done IAW the following: - Quarterly Self Assessments against PEMP - Contractor Assurance System Program Description, Section 13 - The PEMP is intended to cover all work covered under the contract - SOTR Policy and Procedures - Procured Services Section of the ES&H Manual , Chapter 3420	Y	Revise the TJNAF Contractor Assurance System Program Description to clearly denote that the work of subcontractors is also monitored and evaluated	Lenzer	4/30/2008	4/16/2008	IA-2008-08-24
21	b. Is DOE line management provided with unfettered access to facilities and contractor activities and to contractor assurance system data?	21.a	Addressed as follows: - CAS Program Description addresses that DOE has unfettered access - Also, DOE has complete access to INSIGHT	Y	NA	NA	NA	NA	
22	c. Does the contractor submit to DOE for annual review and approval a revised contractor assurance system program description document (or equivalent).	22.a	The TJNAF Contractor Assurance System Program Description document dated October 31, 2007, section 11.0 requires review and submittal of the contractor assurance program description document to DOE annually.	Y	NA	NA	NA	NA	
23	4. Assurance System Oversight Results and Corrective Action Process - Are the results of Contractor Assurance System activities appropriately validated, documented, communicated, classified, evaluated, tracked and resolved'?	23.a							
24	a. Are deficiencies in programs or performance identified during assessment activities communicated to appropriate management for resolution through a structured issues management process that identifies causes and provides effective recurrence controls?	24.a	Program defined In the following: - Independent Assessment procedure - Management Self Assessment procedure - Issues Management Procedure (including CATS)  ** Review Trending Analysis Procedure (in process) ** METRICS: Key Performance Indicators (KPI'S), ANNUAL WORK PLANNING, INSIGHT	Y	Assure the Trending Analysis Procedure addresses communication to appropriate management.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-07

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25	b. Are the results of assurance system processes periodically analyzed and reported to DOE in support of formal contract evaluations?	25.a	Addressed in: - PEMP - Quarterly Reports (Trend Analysis Report) - IA and MSA Results - Quarterly D2ORPS Analysis Report - QA/CI Reps meets with DOE every 2 months to update the results and programs - Status on the health of the QACI CAS program routinely developed **ALL FEED INTO PEMP - Work Observations	Y	NA	NA	NA	NA	

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26	<b>Criteria</b> – Contractor management has established a rigorous and credible assessment program that evaluates the adequacy of programs, processes, and performance on a recurring basis. Formal mechanisms and processes have been established for collecting both qualitative and quantitative information on performance, and this information is effectively used as the basis for informed management decisions to improve performance. The contractor's assessment and performance measurement programs and processes are in accordance with the policy and key elements outlined in DOE Order 226.1 A, <i>Implementation of Department of Energy Oversight Policy</i> , Attachment 1; quality assurance requirements (as stated in 10 CFR 830, Subpart A, and DOE Order 414. 1C, <i>Quality Assurance</i> , and other applicable regulations or DOE directives); and contract terms and	26.a	<b>10 CFR 830, Subpart A is not applicable to Jlab.</b>						
27	1. Line management has established and implemented a rigorous assessment program for performing comprehensive evaluations of all functional areas, programs, facilities, and organizational elements, including subcontractors, with a frequency, scope and rigor based on appropriate analysis of risks. The scope and frequency of assessments are defined in site plans and program documents, include assessments of processes and performance-based observation of activities and evaluation of cross-cutting issues and programs, and meet or exceed requirements of applicable DOE directives.	27.a							
28	2. Rigorous self-assessments are identified, planned, and performed at all levels periodically to determine the effectiveness of policies, requirements, and standards and the implementation status.	28.a							
29	3. Appropriate independent internal assessments are identified, planned, and performed by contractor organizations or personnel having the authority and independence from line management to support unbiased evaluations.	29.a							
30	4. Line managers have established programs and processes to routinely identify, gather, verify, analyze,	30.a							
		30.b							
31	5. Line managers effectively utilize performance measures to demonstrate performance improvement or deterioration relative to identified goals, in allocating resources and establishing performance goals, in development of timely compensatory measures and corrective actions for adverse trends, and in sharing good practices and lessons learned.								

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32	<b>Lines of Inquiry</b> - 1. Process - Are the processes for assessment and performance measurement formal and documented and, when taken together, meet the requirements of DOE Order 226.1 and DOE Order 414.IC?								
33	a. Has the contractor established appropriate, formal processes and procedures for conducting self-assessments and internal independent assessments of all programs, processes, and performance of facilities, systems, and organizational elements, including subcontractors?		Formal self-assessment processes and procedures are established in the following documents: - Management Self Assessment Procedure - Independent Assessment Procedure -Integrated Assessment Schedule Procedure - Work Observation Process Program Description and Procedure (under development) These assessment processes can be applied to the evaluation of all programs, processes, and performance of facilities, systems, and organizational elements, including	Y	NA	NA	NA	NA	
34	b. Do these processes and procedures adequately detail the requirements for all types of assessment and performance measurement activities, such as management walkthroughs, surveillance and inspection activities, formal assessments and reviews, and post-job reviews?		Formal assessment requirements are detailed in these procedures: - Management Self Assessment Procedure - Independent Assessment Procedure -Integrated Assessment Schedule Procedure - Work Observation Process Procedure (under development) 5100 Internal Inspections KPIs, PEMP and reports Other activities, such as Management walkthroughs, inspections, etc are detailed in other documents such as the ES&H Manual. Post-job Reviews is under development (see Acc. CRAD Matrix CA94a)	Y	NA	NA	NA	NA	
35	c. Have guidance and support tools such as checklists, templates, and databases been provided?		Yes - CRADs and LOIs for all formal assessments. IA, MSA, Issues Management, Work Observation PEMP, KPIs on Insight	Y	NA	NA	NA	NA	
36	d. Has the contractor established appropriate and formal processes and procedures for identifying, monitoring, analyzing data measuring the performance of facilities, programs, and organizations and for identifying and implementing needed actions and opportunities for performance improvement?		IA, MSA, Issues Management System, Trend Analysis Procedure, PEMP, HPWT Procedure, Continuous Improvement and Value Engineering Program	Y	NA	NA	NA	NA	



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37	e. Do self-assessment processes encourage and facilitate the involvement of workers, supervisors, and managers to develop assessment skills and abilities?		Personnel conducting MSAs are required to take web based assessor training. QAC-001 Coaching assistance provided by outside contractors. DuPont Safety Leadership Training DuPont STOP Training	Y	NA	NA	NA	NA	
38	f. Have adequate processes, procedures, and guidance been developed to ensure an effective performance indicator program?		PEMP, KPIs <b>NOTE: compliance description to be improved</b>		Ensure an effective Performance Indicator Program exists	B. Lenzer	4/30/2008		IA-2008-08-04
39	g. Have the appropriate performance indicators and parameters been selected to effectively measure performance and identify adverse trends in a timely manner to ensure prompt mitigation and corrective actions?		Trend Analysis Procedure (under development) CATS Trending Tool PEMP Metrics KPIs	Y	NA	NA	NA	NA	
40	h. Do assessment and performance measurement program procedures provide appropriate linkages to the issues management, corrective action, and reporting processes?	40.a	Assessment program procedures (Independent Assessment Procedure & Management Self Assessment Procedure) provide linkage to the CATS and the reporting processes as a subset of the issues management program.	Y	NA	NA	NA	NA	
		40.b	Performance measurement program linkage. Formal external and internal assessments performed on PEMP results, any resulting findings, are dispositioned in the issues management process and entered into CATS.	Y	NA	NA	NA	NA	
41	2. Training & Qualification - Are personnel implementing the assessment and performance measurement program processes adequately trained and qualified to perform assigned oversight activities?								
42	a. Has the contractor defined the requirements for experience, knowledge, skills and abilities for personnel implementing assessment and performance measurement activities?	42.a	The requirements for KSAs for personnel implementing assessment activities are specified in the Management Self Assessments procedure. KSAs for JLab personnel performing IAs is part of their job descriptions. Subcontractors hired to perform IAs are screened for certification and qualification and also take the JLab WBT	Y	NA	NA	NA	NA	
43	b. Has the contractor provided and ensured completion of appropriate training for personnel implementing assessment and performance measurement activities?	43.a	The Quality Assurance Plan, Section 10.2.3, Assessor Qualifications, specifies that a process for qualification/certification of personnel performing assessment be established. This training is available in Training module "Auditor/Assessment Basics (QACI001).	Y	NA	NA	NA	NA	



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		43.b	Site Policy and Procedure currently being developed which will address this LOI	Y	1) Complete development of the Training and Qualification Procedure and 2) Training Matrix for QA/CI personnel.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-01 &02
			Requirements defined in: - Individual Training Plans (ITP) specify KSA's for CAS related positions - Training and Qualification Procedures (under development) identifies the KSA's for CAS related responsibilities.	Y	1) Complete development of the Training and Qualification Procedure and 2) Training Matrix for QA/CI personnel.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-01 &02
		43.c	Addressed in: - Individual Training Plans (ITP) - Management Self Assessment (MSA) Procedure requires assessors complete assessor training	Y	NA	NA	NA	NA	
44	3. Implementation of Program Responsibilities - Are assessment and performance measurement program responsibilities appropriately implemented?								
45	a. Does line management routinely monitor and observe the activities of their workforce to ensure activity, facility, and institutional requirements and management expectations are met?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
46	b. Are formal, rigorous, effective self-assessments conducted at all levels and in all organizations to determine the adequacy of programs and performance and identify deficiencies needing correction and areas and means for performance improvement?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
47	c. Are institutional programs periodically evaluated for adequacy, including assessment of implementation by line and support organizations?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
48	d. Are appropriate and effective independent assessments performed, including evaluations of assurance system effectiveness?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
49	e. Is the subject, scope, and frequency of self- and independent assessments based on a formal analysis that addresses elements such as risk; regulatory or standards based requirements; type and complexity of work activities, facilities, and conditions; past performance; trend analyses; or management		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
50	f. Are planned assessments documented on an appropriate schedule that is maintained to reflect pertinent information and status (e.g., additions, completions, cancellations, and substitutions)?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	

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51	g. Have subcontractors implemented appropriate and effective self-assessment programs, and is the contractor's subcontractor oversight program effectively evaluating performance, providing feedback to subcontractors, and ensuring correction of process and performance deficiencies?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
52	h. Are assessment activities sufficiently performance-based, including an appropriate focus on observation of work, inspection of field conditions, review of evidence of compliance and effective performance, and effectiveness of corrective actions for previously identified deficient conditions?		Integrated Assessment Schedule, MSA, Work Observation Program, Safety Warden Area Inspections, "Assessment Topic Spreadsheet"	Y	NA	NA	NA	NA	
53	i. Is the performance indicator program periodically reviewed to ensure the most appropriate sets of data and data analysis parameters are being employed?		Performance Indicator program parameters are continually reviewed and revised as necessary	Y	Add Performance Indicator Program to assessment Topic Spreadsheet.	B. Lenzer	4/30/2008	4/10/2008	IA-2008-08-03
54	j. Is performance data being sufficiently analyzed, with conclusions drawn and presented to management, and needed actions identified and taken?		PEMP	Y	NA	NA	NA	NA	
55	k. Are the processes and performance of assessment and performance measurement programs evaluated for effectiveness on an appropriate frequency?		Integrated Assessment Schedule Procedure	Y	NA	NA	NA	NA	

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56	<b>Criteria</b> - Contractor management has implemented formal programs to identify issues and report, analyze, and address operational events, accidents and injuries.								
57	1. Formal programs and processes have been established to identify issues and report, analyze, and address operational events, accidents, and injuries. Events, accidents, and injuries are promptly and thoroughly reported and investigated, including the identification and resolution of root causes and management and programmatic weaknesses, and distribution of lessons learned in accordance with applicable DOE directives (e.g., Manual 231.1-2, <i>Occurrence Reporting and Processing of Operations Information</i> ; Manual 231.1 -1A, <i>Environment, Safety and Health Reporting Manual</i> ; Order 225.1 A, <i>Accident Investigations</i> ; and Order 5480.19, <i>Conduct of Operations Requirements for DOE</i>	57.a	ES&H Manual Chapters 5100, 5200 and 5300 Formal programs and processes established	Y	NA	NA	NA	NA	
		57.b	Events, accidents, and injuries promptly and thoroughly investigated and reported.	Y	NA	NA	NA	NA	
		57.c	<b>DOE Order 5480.19 is not applicable at Jlab. Not in the Jlab contract.</b>						
58	2. Reporting of operational events, accidents, and injuries are conducted in accordance with applicable nuclear, security, environment, occupational safety and health, and quality assurance requirements, applicable DOE directives, and contract terms and conditions. Trending analysis of events, accidents, and injuries are performed in accordance with structured/formal processes and applicable DOE directives (e.g., Manual 23+B151.1-2).								
59	<b>Lines of Inquiry</b> - 1. Oversight Program - Are the processes for event identification, reporting and investigation formal and documented and meet the requirements of DOE directives?								
60	a. Have appropriate, formal processes and procedures been established to detail the requirement for the identification, documentation, investigation, analysis, reporting, and management of issues for operational events (including non-reportable incidents), accidents, occupational injuries and illnesses, and quality assurance and nuclear safety issues?		Chapter 5200 and 5300 Trending Analysis Procedure (under development) Issues Management Procedure		Include CAIRS reporting in the ES&H Manual (5000 series)	B. May	4/30/2008		IA-2008-08-22
61	b. Do processes require timely and appropriate identification, documentation, and local notification of operational events, incidents, accidents, occupational injuries and illnesses and nuclear safety issues?		Chapter 5200 and 5300 Trending Analysis Procedure (under development) Issues Management Procedure		Include CAIRS reporting in the ES&H Manual (5000 series)	B. May	4/30/2008		IA-2008-08-22
62	2. Training & Qualification - Are personnel implementing event identification, reporting, and investigation processes adequately trained and qualified to perform assigned oversight activities (in accordance with DOE O 226.1 A, DOE M 360.1 - I B, and DOE M 426.1 - 1 A)?								
63	a. Has the contractor defined the requirements for experience, knowledge, skills and abilities for personnel implementing event identification, reporting, and investigation activities?	63.a	Site Policy and Procedure currently being developed which will address this LOI	Y	1) Complete development of the Training and Qualification Procedure and 2) Training Matrix for QA/CI personnel.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-01 & -02

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		63.b	Requirements defined in: - Individual Training Plans (ITP) specify KSA's for CAS related positions - Training and Qualification Procedures (under development) identifies the KSA's for CAS related responsibilities.	Y	1) Complete development of the Training and Qualification Procedure and 2) Training Matrix for QA/CI personnel.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-01 & -02
64	b. Has the contractor provided and ensured completion of appropriate training for personnel implementing event, accident, occupational injury and illness, and nuclear safety issue management activities?	64.a	Qual. Standard elements contained in: - Internal Independent Auditor provides oversight. - ESH&Q Program personnel provides oversight - Job Descriptions contain qual. expectations - Qual. standards exist for QACI personnel - Specific Assessor training	Y	NA	NA	NA	NA	
		64.b	Addressed in: - Individual Training Plans (ITP) - Management Self Assessment (MSA) Procedure requires assessors complete assessor training	Y	NA	NA	NA	NA	
65	3. Implementation of Program Responsibilities - Are event identification, reporting and investigation responsibilities appropriately validated, documented, communicated, classified, evaluated, tracked and resolved?								
66	a. Is reporting of operational events, accidents, occupational injuries and illnesses, and nuclear safety issues conducted in accordance with applicable nuclear, security, environment, occupational safety and health, and quality assurance requirements, applicable DOE directives, and contract terms and conditions?		CAIRS (Not Formalized, but is being used) Chapter 5200 and 5300 Integrated Assessment Procedure and Schedule specify periodic assessments that verify programs are in compliance with applicable DOE directives, and contract terms and conditions ORPS and PAAA reporting and entry of appropriate events in CATS.	Y	Include CAIRS reporting in the ES&H Manual (5000 series)	B. Lenzer	4/30/2008		IA-2008-08-22
67	b. Are immediate and compensatory measures to operational events, accidents, occupational injuries and illnesses and nuclear safety issues sufficiently defined and taken as part of line management initial response to operational events, in the development of follow-on corrective action plans?		ES&H Manual Chapter 3330 and Chapter 5300 Chapter 3510 Emergency Management Plan Issues Management Procedure	Y	NA	NA	NA	NA	
68	c. Are operational events, accidents, occupational injuries and illnesses and nuclear safety issues promptly and rigorously reported to management, documented, and investigated in accordance with formal issues management processes that identify causes and recurrence controls, management and programmatic weaknesses, and the need to communicate lessons learned?		Issues Management Procedure ES&H Manual Chapter 5300 Occurrence Reporting Procedure ES&H Manual Chapter 5200 Incident/Injury Investigation	Y	NA	NA	NA	NA	
69	d. Are corrective and preventive actions resulting from investigation of events, accidents, and occupational injuries and illnesses formally managed to completion and effective in preventing recurrence?		Issues Management Procedure (CATS)	Y	NA	NA	NA	NA	
70	e. Are events, accidents, occupational injuries and illnesses, and nuclear safety issues reported to DOE and other regulatory entities in a timely and thorough manner as required by directives and regulations?		ES&H Manual Chapter 5300 Occurrence Reporting Procedure ES&H Manual Chapter 5200 Incident/Injury Investigation	Y	NA	NA	NA	NA	

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71	f. Are operations and engineering organizations, including support organizations, appropriately involved in the identification, assessment, and development of corrective action plans of reportable events, accidents, and occupational injuries and illnesses?		5200 Incident/Injury Investigation	Y	NA	NA	NA	NA	
72	g. Are trending analyses of events (including non-reportable incidents), accidents, and occupational injuries and illnesses performed in accordance with structured/formal processes and applicable DOE directives?		Trend Analysis Procedure (under development)	Y	Complete development of Trend Analysis Procedure	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-11
73	h. Are the processes and performance of event, accident, occupational injury and illness, and nuclear safety issue management properly evaluated for effectiveness on an appropriate frequency?		ES&H Manual 1300 Appendix T1 Content Review states that all chapters are to be reviewed on a predetermined schedule	Y	NA	NA	NA	NA	

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74	<b>Criteria</b> – Contractor management has established formal programs to communicate operating experience/lessons learned during work activities, process reviews, and incident/event analyses to potential users and applied to future work activities (in accordance with DOE O 226.1A and DOE O 21 0.2).								
75	C4.1. Formal processes are in place to identify applicable lessons learned from external and internal sources and any necessary corrective and preventive actions, disseminate lessons learned to targeted audiences, and ensure that lessons learned are understood and applied.	75.a	A Draft Corporate Operating Experience Procedure exists	Y	Ensure that the Corporate Operating Experience Procedure requires (1) Management involvement and responsibility for lessons learned and (2) clearly communicates that LL are not just for safety	Bill Rainey	4/10/2008	4/10/2008	IA-2008-08-30
		75.b		N	Add Lesson Learned requirements to Work Control Document Planning and Pre-job brief processes and QA Work Controls and Processes Procedure	B. May	4/30/2008		IA-2008-08-06
76	C4.2. Formal programs and processes have been established and implemented to solicit feedback from workers and work activities on the effectiveness of work definition, hazard analyses and controls, and implementation for all types of work activities, and to apply lessons learned.	76.a	Established mechanisms include: - Director's Safety Council - Worker's Safety Committee - MCC 8 'o'clock meeting - FEL Meeting - Toolbox meetings - material handling committee - electrical safety committee	Y	1) Investigate examples of a process to solicit worker feedback. 2) Incorporate appropriate key elements of example process(es) into the JLab process.	Bill Rainey	1) 4/30/2008 2) 5/30/08		IA-2008-08-26 IA-2008-08-29
		76.b		N	Develop and implement a process to respond to worker feedback	Bill Rainey	5/30/2008		IA-2008-08-13
77	3. Line managers effectively identify, apply, and exchange lessons learned with the rest of the DOE complex. Lessons learned identified by other DOE organizations and external sources are reviewed and applied by line management to prevent similar incidents/events.	77.a	Addressed in: - New Corporate Operating Experience Procedure (once implemented it is expected that this procedure will effectively address this requirement)	N	Build in to the tools a checkbox that requires managers to certify that they have reviewed provided Lesson Learned	Bill Rainey	4/30/2008		IA-2008-08-10
78	<b>Lines of Inquiry</b> - 1. Oversight Program - Are the processes which constitute the operating experience/lessons learned program formal and documented and, when taken together, meet the requirements of DOE Order 226.1A and DOE Order 210.2, DOE Corporate Operating Experience Program?	78.a							
79	a. Has the contractor established and implemented a formal program that screens lessons learned from external sources for local applicability and evaluates site conditions and processes to determine if actions are needed to apply applicable lessons learned and ensure that actions deemed necessary are implemented?	79.a	Addressed in Corporate Operating Experience Procedure and if necessary tracked until implemented in CATS	Y	NA	NA	NA	NA	



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80	b. Has the contractor identified an institutional program coordinator and contacts/coordinators in line and support organizations?	80.a	Jlab-wide LL program coordinator identified; Divisional LL coordinators not yet identified	N	Establish Lessons Learned Coordinators in the Divisions who are responsible for all Lessons Learned which include all aspects (safety, environmental, process, quality.etc) within their Division	B. May	4/30/2008		IA-2008-08-18
81	c. Has the contractor established and implemented processes that identify, document, disseminate and apply lessons learned from investigations of incidents/accidents and occupational injuries, including near misses, and from work activities that warrant communication to other organizations?	81.a	Addressed as follows: - one distribution method is the Electronic Newsletter Weekly Briefs - ES&H Chapter 5200, - Corp. Op.. Experience Procedure processes - Quarterly Trend Reports	Y	NA	NA	NA	NA	
82	d. Has the contractor established tools and services to encourage and facilitate the documentation and communication of lessons learned such as templates, guidance documents, and subject matter expert assistance?	82.a	Corporate Operating Experience Procedure and lessons learned section of intranet	Y	NA	NA	NA	NA	
83	e. Do work planning and training for design, construction, research, operations, and maintenance processes include triggers to prompt or record the research and application of potentially applicable lessons learned?	83.a		N	Build a step into the work planning process to verify Lesson Learned are evaluated for applicability and applied, as appropriate	B. May	4/30/2008		IA-2008-08-09
		83.b		N	Incorporate LL expectations into annual safety training and supervisor training	Ullman	5/30/2008		IA-2008-08-23
		83.c		N	Assure there is a lessons learned section in the AWP Manual development process	Lenzer	4/15/2008		IA-2008-08-08
84	f. Has the contractor established tools that encourage and facilitate the research of lessons learned, such as a searchable database and links to external source sites?	84.a	Limited tools available - lessons learned section of Jlab intranet has limited search capabilities and does not include all site lessons learned	N	For access to an external LL DB, contact CSC workplace, Forth Worth	Lenzer	4/8/2008		IA-2008-08-19
		84.b		N	Select and facilitate access for additional key individuals throughout the organization to the DOE Lessons Learned database (Including Training Coordinator.)	C. Ficklen	4/25/2008		IA-2008-08-25
		84.c		N	Establish a Searchable, central, Lessons Learned database available via INSIGHT	B. Lenzer	5/1/2008		IA-2008-08-17



Line #	Criteria/ Lines of Inquiry	Item #	JLab Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date	CATS ACTION
85	2. Training & Qualification - Are personnel implementing operating experience/lessons learned processes adequately trained and qualified to perform assigned oversight activities (in accordance with DOE 0 226.1 A, DOE M 360.1 - 1 B, and DOE M 426.1 -1 A)?	85.a							
86	C4L2.a. Has the contractor provided and ensured completion of appropriate training on the expectations, requirements, and processes for the development, identification, sharing, and application of lessons learned'?	86.a		N	1) Develop training and 2) provide training to appropriate personnel on expectations associated with implementation of the new Corporate Operating Experience Procedure (LL)	B. Lenzer	4/30/2008		1) IA-2008-08-27 2) IA-2008-08-28
87	3. Implementation of Program Responsibilities - Are operating experience/lessons learned program responsibilities appropriately implemented?	87.a							
88	a. Are appropriate sources of lessons learned being regularly and rigorously screened by the coordinator(s) and/or subject matter experts and line organizations for applicability and the need for action?		Routinely reviewed by Jlab wide LL coordinator; Division LL coordinators not yet established	N	Establish Lessons Learned Coordinators in the Divisions and ensure that they have other than safety responsibilities	B. May	4/30/2008		IA-2008-08-18
89	b. Have work planners, supervisors, managers, subject matter experts, and training staff subscribed to the DOE lessons learned database?			N	Select and facilitate access for additional key individuals throughout the organization to the DOE Lessons Learned database (Including Training Cord.)	C. Ficklen	4/27/2008		IA-2008-08-25
90	c. Are screening and technical review activities and results documented and tracked to demonstrate and manage program implementation?		Corporate Operating Experience Specific LL that are flowed down to Divisions are discussed and flowed (Worker's Safety Committee)	N	During development of the Corp. Op Exp, assure program document incorporates documenting, tracking, screening, and technical review activities	Bill Rainey	4/30/2008	4/7/2008	IA-2008-08-14
91	d. Is the disposition of process and performance deficiencies identified through lessons learned processes managed in accordance with the formal issues management and corrective action tracking system process(es)?			N	Ensure the Corp. Op. Exp. Procedure contains the requirement to enter any appropriate Corrective Actions from LL into CATS.	Bill Rainey	4/30/2008	4/7/2008	IA-2008-08-15
92	e. Is lessons learned information readily available to potential users?			N	Establish a Searchable, central, Lessons Learned database available via INSIGHT	B. Lenzer	4/30/2008		IA-2008-08-17
93	f. Are innovative, successful practices shared as well as negative lessons learned?			N	Check to make sure the Corp. op Exp procedure contains the requirement to share innovative and successful practices	Bill Rainey	4/30/2008	4/7/2008	IA-2008-08-16

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94	g. Are internally generated lessons learned evaluated for their potential value to other DOE facilities and shared with the DOE complex as appropriate?		Corp. Op Exp and we have examples	Y	NA	NA	NA		
95	h. Are lessons from experiences within and outside the contractor organization effectively communicated and used in work planning and training?		Lessons Learned are communicated internally in some divisions but not all.	N	Implement Lessons Learned program	B. Lenzer	1/31/2009		IA-2008-08-20
96	i. Do safety committees or other boards provide effective feedback, including reviewing performance, analyzing data for lessons learned, and assigning and formally tracking action items for improvement?								
97	j. Is contractor facility management collecting and disseminating to their staff both lessons learned and good practices from operational events related to their facilities and similar DOE facilities?		There are numerous safety committees on site. Meeting minutes are developed and include documented corrective actions	Y	NA	NA	NA		
98	k. Are internally identified lessons learned being reported to the DOE operating experience program for sharing with the DOE complex when appropriate?		Corp. Op Exp and we have examples	Y	NA	NA	NA		
99	l. Have metrics to measure program performance, use, and effectiveness been established?								
100	m. Has the adequacy of the operating experience/lessons learned program been adequately assessed by the contractor on an appropriate frequency?		FY '09 Assessment Schedule to include assessment of COO/LL. Date and assessment type to be determined.	Y	NA	NA	NA		

Line #	Criteria/ Lines of Inquiry	Item #	JLab Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date	CATS ACTION
101	<b>Criteria</b> - Contractor management has established a comprehensive, structured issues management system that provides for the timely and effective resolution of deficiencies and meets the requirements of DOE Order 226.1 and DOE Order 414.IC.								
102	1. Program and performance deficiencies, regardless of their source, are captured in a system or systems that provide(s) for effective analysis, resolution, and tracking. Issues management system elements include structured processes for determination of risk, significance, and priority of deficiencies; evaluation of scope and extent of condition; determination of reportability under applicable requirements; identification of root causes; identification and documentation of corrective actions and recurrence controls to prevent recurrence; identification of individuals/organizations responsible for corrective action implementation; establishment of milestones based on significance and risk for completion of corrective actions; tracking progress; verification of corrective action completion; and validation of corrective action implementation and effectiveness.		The Corrective Action Tracking System (CATS), managed under the Issues Management Procedure, is the Jefferson Laboratory process for documenting, tracking, trending, reporting, verifying and validating (as appropriate) corrective actions for program and performance deficiencies. Chapter 5200 Event Reporting and Causal Analysis Work Observation Tool and related procedure (both in process) Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure	Y					
103	2. Issues management processes include mechanisms to promptly identify the potential impact of a deficiency and take timely actions to address conditions of immediate concern, including stopping work, system shutdown, emergency response, reporting to management, and compensatory measures pending formal documentation and resolution of the issue.		This is assured through a combination of ES&H Manual chapters and the Issues Management Procedure. Chapter 5200 Event Reporting and Causal Analysis Work Observation Tool and related procedure (both in process) Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure ES&H Manual Chapter 3510 Emergency Management Plan ES&H Manual Chapter 3330 Stop Work Accelerator Operations Directives (AOD) Experimental Hall Conduct of Operations Procedures for each experiment QA/CI Unreviewed Safety Issue Procedure Experimental Hall Conduct of Operations	Y					
104	3. Processes for analyzing deficiencies, individually and collectively, have been established that are designed to effectively identify programmatic or systemic issues. Line management effectively monitors progress and optimizes the allocation of assessment resources in addressing known systemic issues.		This is assured through the Issues Management Procedure, CATS, Event Reporting and reports to senior management. Chapter 5200 Event Reporting and Causal Analysis QA/CI Trend Analysis Procedure (in process) Significance Level 1 and below issues, identified at the division level, are not required to be entered into CATS nor evaluated for programmatic or systemic issues. (This issue was presented to the DSC. It was	Y					

Line #	Criteria/ Lines of Inquiry	Item #	JLab Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date	CATS ACTION
105	4. Processes for communicating issues up the management chain to senior management have been established and based on a graded approach that considers hazards and risks. Line management receives periodic information on the status of identified deficiencies and corrective actions and holds organizations and individuals accountable for timely and effective completion of actions. Line management has executed graded mechanisms such as independent verification and performance-based evaluation to ensure that corrective action and recurrence controls are timely, complete and effective. Closure of corrective actions and deficiencies are based on objective, technically sound, and verified evidence. The effectiveness of corrective actions is determined on a graded basis and additional actions are completed as necessary.		This is assured through the use of the Issues Management System and CATS. Director's Safety Council (DSC) Monthly notification of management corrective action status in DSC meeting. Insight Page notifies individuals of open CATS items. E-mails sent, on a graded basis, when items are overdue.	Y					
106	<b>Lines of Inquiry</b> - 1. Oversight Program - Are the processes that constitute the Contractor issues management program formal and documented and meet the requirements of DOE 0 226.1 A'?								
107	a. Have comprehensive processes and procedures been established and implemented that provide for the consistent, timely, and effective collection, analysis, and resolution of process and performance deficiencies and other issues, regardless of their source? Are separate processes and tracking tools compatible and sufficiently integrated to facilitate consistent implementation, trending, and performance measurement?		Yes. CSC integrated quality information systems with CATS to improve visibility of trends and related information. Key performance indicators are included on Insight Page. Separate Processes are compatible at or above Level 2. All these go into CATS. Significance Level 1 and below issues, identified at the division level, are not required to be entered into CATS nor evaluated for programmatic or systemic issues. (This issue was presented to the DSC. It was determined that no further action is required at this time.) Divisions are required to report on DSC/KPIs associated with Lessons Learned, incidents and events, during the Director's Safety Council	Y					
108	b. Does the issues management program include processes (including Occurrence Reporting and Processing System and Price-Anderson Amendments Act [PAAA]) and tools that address the following essential elements:		Yes See below	Y					
109	i. Determining risk, significance and priority?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y	Include CAIRS reporting in the ES&H Manual (5000 series)	B. May	4/30/2008		IA-2008-08-22
110	ii. Evaluating the scope and extent of condition or deficiency?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					

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111	iii. Determining and ensuring reportability in accordance with DOE or regulatory requirements?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
112	iv. Analyzing for root and contributing causes using a graded approach?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
113	v. Development of effective corrective action plans that include recurrence controls that address identified root and contributing causes?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
114	vi. Assigning and changing ownership of issues, action plan development and corrective action implementation?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
115	vii. Milestones for completion of corrective/preventive actions and requirements for revisions of milestone dates'?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
116	viii. Tracking of progress of actions?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
117	ix. Verification that actions are complete'?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
118	x. Validation of the effectiveness of corrective/preventive actions using a graded approach?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					
119	xi. Ensuring that the status of issues management is communicated to management and individuals and organizations are held accountable for performing their assigned responsibilities for managing issues?		Yes Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure Issues Management Procedure	Y					

Line #	Criteria/ Lines of Inquiry	Item #	JLab Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date	CATS ACTION
120	c. Have formal policies and processes been established and communicated for rapidly determining if deficiencies or conditions pose immediate and/or significant risk of harm to workers, the public, or the environment and provide for interim actions such as stopping work, system shutdown, or other compensatory measures pending formal processing of the issue?		Yes Chapter 5200 Event Reporting and Causal Analysis Work Observation Tool and related procedure (both in process) Chapter 5300 Occurrence Reporting, Appendix T4 Price Anderson Reporting Procedure ES&H Manual Chapter 3510 Emergency Management D29 ES&H Manual Chapter 3330 Stop Work Accelerator Operations Directives (AOD) Experimental Hall Conduct of Operations Procedures for each experiment	Y					
121	2. Training & Qualification - Are personnel implementing contractor issues management processes adequately trained and qualified to perform assigned oversight activities (in accordance with DOE O 226.1 A, DOE M 360.1-1 B, and DOE M 426.1 - 1 A)?		Yes QA/CI Training and Qualification Procedure (under development) ES&H Manual Chapter 4000 Series Training Policy and Procedures ITPs (See #15 through 18 of this spreadsheet)						
122	a. Has the contractor defined the requirements for experience, knowledge, skills and abilities for personnel implementing issues management activities?		Yes Job Descriptions for positions with issue management responsibilities	Y					
123	b. Has the contractor provided and ensured completion of appropriate training for personnel implementing issues management activities?		Yes ITPs	Y					
124	3. Implementation of Program Responsibilities - Are contractor issues management program responsibilities appropriately implemented?								
125	a. Are issues (including lower level deficiencies) periodically formally analyzed collectively to identify adverse trends or areas of weakness that require corrective or preventive actions?		Yes QA/CI Issues Management Procedure QA/CI Trending Analysis Procedure (in process) Separate Processes are compatible at or above Level 2. All these go into CATS. Significance Level 1 and below issues, identified at the division level, are not required to be entered into CATS nor evaluated for programmatic or systemic issues. (This issue was presented to the DSC. It was determined that no further action is required at this time.) Deficiencies of any level, identified with IAs and MSAs, or externally identified are entered into CATS.	Y					

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126	b. Are adverse trends and needed corrective actions formally documented and addressed using the formal issues management process?		Yes QA/CI Issues Management Procedure QA/CI Trending Analysis Procedure (in process) Separate Processes are compatible at or above Level 2. All these go into CATS. Significance Level 1 and below issues, identified at the division level, are not required to be entered into CATS nor evaluated for programmatic or systemic issues. (This issue was presented to the DSC. It was determined that no further action is required at this time.) Divisions are required to report on DSC/KPIs associated with Lessons Learned, incidents and events, during the Director's Safety Council	Y	Complete development of Trending Analysis Procedure.	B. Lenzer	4/30/2008	4/16/2008	IA-2008-08-11
127	c. Are the processes and performance for the issues management program properly evaluated for effectiveness on an appropriate frequency?		There have been internal and external assessments of the Issues Management Program	Y					
128	4. Program Effectiveness - Are the contractor issues management processes effective in ensuring that site operations are performed safely, securely, and in compliance with applicable requirements'?								
129	a. Are the above issues management program elements being effectively implemented?		Yes Validated during the November 2007 DOE CAS review. Effectively implemented by following the Issues Management Procedure as evidenced by the assessments being performed and the issues being continually identified. One of the key focus areas is on analysis of leading indicators for prevention of safety/security issues.	Y					



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130	<b>Criteria</b> - Contractor management has established a comprehensive, structured issues management system that provides for the timely and effective resolution of employee concerns and feedback on safety performance from workers that meets the requirements of DOE Order 226.1 A and DOE Order 442.1 A, <i>Department of Energy Employee Concerns Program</i> . Additionally, an effective differing professional opinion process or program has been established and implemented in accordance with the Contractor Requirements Document associated with DOE M 442.1 - 1, <i>Differing Professional Opinions Manual</i> .		DOE M 442.1-1 is not in the contract.						
131	<b>Lines of Inquiry</b> - 1. Oversight Program - Are the processes which constitute the contractor worker feedback programs formal and documented and, when taken together, meet the requirements of DOE directives?								
132	a. Has an effective employee concerns program been established and implemented that encourages the reporting of employee concerns and provides thorough, documented investigations, with timely and effective corrective actions and recurrence controls that are tracked to completion?		Yes Worker Safety Committee (WSC) advertised periodically (as least once a year with contact info) Non-Supervisor workers are on all safety related committees WSC Chair member of Director's Safety Council ES&H Manual Concern Reporting Chapter Employee concern hotline. These mechanisms are used and advertised on site periodically. Corrective actions are tracked to completion. Admin Manual 210 Employee Issues and Grievance <del>Formal HR Employee Concern Program</del>		Review how well the Employee Concern Program is communicated and report back to M. Dallas.	R. Barbosa	4/30/2008		IA-2008-08-31
133	b. Are confidentiality and anonymity protections and rights to appeal clearly communicated to employees and effectively implemented during the resolution of concerns?		Yes ES&H Manual Concern Reporting Chapter Addressed Admin Manual 210 Employee Issues and	Y	NA	NA	NA		
134	c. Do site processes require/encourage formal reviews or documented feedback from performers and supervision after completion of maintenance, experimental activities, or operational evolutions?		Post Job Review process is not in place	N	Develop and implement a Post Job Review Process	B. May	4/30/2008		IA-2008-08-12
135	d. Has an effective differing professional opinion process or program been established and implemented, in accordance with the Contractor Requirements Document associated with DOE M 442.1 - 1, <i>Differing Professional Opinion Manual</i> ? Were DPOs appropriately supported?		N/A						
136	<b>2. Training &amp; Qualification</b> - Are personnel implementing Contractor Worker Feedback program processes adequately trained and qualified to perform assigned oversight activities (in accordance with DOE O 226.1 A, DOE M 360.1-1 B, and DOE M 426.1-1 A)?								

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137	a. Has the contractor defined the requirements for experience, knowledge, skills and abilities for personnel implementing employee concerns and worker feedback activities?		Job descriptions for HR personnel are on file.	Y	NA	NA	NA		
138	b. Has the contractor provided and ensured completion of appropriate training for personnel implementing employee concerns, differing professional opinions, and worker feedback activities?		Contractor Assurance System Program Description	Y	NA	NA	NA		
139	3. Implementation of Program Responsibilities - Are contractor employee concerns and worker feedback responsibilities appropriately implemented?								
140	a. Are the mechanisms and processes for employees to (1) report and get resolution to safety concerns; and (2) report a differing professional opinion clearly communicated to employees through vehicles such as new employee and refresher training, posters, intranet sites?		Worker Safety Committee (WSC) advertised periodically (as least once a year with contact info) Non-Supervisor workers are on all safety related committees WSC Chair member of Director's Safety Council ES&H Manual Concern Reporting Chapter Employee concern hotline. These mechanisms are used and advertised on site periodically. Corrective actions are tracked to completion. Admin Manual 210 Employee Issues and Grievance Formal HR Employee Concern Program <del>Differing professional opinion N/A</del>	N	Verify that SAF100 addresses employee concern program	B. Ullman	4/30/2008	4/7/2008	COMPLETE
141	b. Are worker feedback information, differing professional opinions, and safety concerns expressed by employees and the activities and supporting information for disposition of feedback and concerns formally documented/logged?		Safety Concerns - EH&S Concern Report; ES&H Concern Hotline; Safety Warden program	N	Develop and implement a worker feedback process to include solicitation, collection and response.	B. May	4/30/2008		IA-2008-08-13
142	c. Are investigations of employee concerns, differing professional opinions, and feedback information thoroughly performed without conflict of interest and with the involvement of technical expertise as appropriate?		Safety Concerns - EH&S Concern Report; ES&H Concern Hotline; Safety Warden program Admin Manual Chapter 210 Employee Concern Program	Y					
143	d. Is employee confidentiality maintained as requested and as detailed in program documents?		ES&H Concerns report ES&H Manual Admin Manual	Y					
144	e. Are corrective/preventive actions taken as a result of investigating employee concerns, differing professional opinions, and feedback processes appropriate and managed in a formal manner in accordance with contractor procedures?		ES&H Concerns report ES&H Manual Admin Manual	Y					
145	f. Are the resolutions of employee concerns and differing professional opinions communicated to concerned individuals with a solicitation of concurrence and identification of appeal mechanisms?		ES&H Concerns report ES&H Manual Admin Manual	Y					

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146	g. Are the processes and performance for the employee concerns, differing professorial opinions, and worker feedback programs formally and adequately evaluated for effectiveness on an appropriate frequency?		Per the ES&H Manual 1300 Appendix T1 Manual Review Process all ES&H Manual Chapters are reviewed on a three year basis. Contractor Assurance System assessment to periodically include worker feedback process effectiveness. Periodicity to be determined based on results of FY '09 assessment.	Y	NA	NA	NA		