## ISM Guiding Principle/ Core Function

<table>
<thead>
<tr>
<th>Guiding Principle</th>
<th>Core Function</th>
<th>Physics/Accelerator/Civil</th>
<th>ESH&amp;Q Support</th>
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</table>
| **Guiding Principle 1** | Line Management Responsibility for Safety | - Mission Need Statement (DOE)  
- Acquisition Strategy (DOE)  
- Project Execution Plan (DOE)  
- Supplemental QA Plan  
- Contract Performance Assessment | - Mission Need Statement (DOE)  
- Project Execution Plan (DOE)  
- Supplemental QA Plan  
- Jefferson Lab EH&S Roles and Responsibilities |
| **Guiding Principle 2** | Clear Roles and Responsibilities | - Project Execution Plan (DOE)  
- Supplemental QA Plan  
- Contract Performance Assessment | - Project Execution Plan (DOE)  
- Supplemental QA Plan  
- Jefferson Lab EH&S Roles and Responsibilities |
| **Guiding Principle 3** | Competence Commensurate with Responsibilities | - Project Execution Plan (DOE)  
- Supplemental QA Plan  
- Contract Performance Assessment | - Mission Need Statement (DOE)  
- Acquisition Strategy (DOE)  
- Project Execution Plan (DOE)  
- Conceptual Design Report  
- System Requirements Document  
- Design Criteria Documents  
- Earned Value Management System  
- Project Baseline  
- Supplemental QA Plan |
| **Core Function 1** | Define the Scope of Work | - Project Execution Plan (DOE)  
- Conceptual Design Report  
- System Requirements Document  
- Design Solution Document  
- Contract performance assessment  
- Earned Value Management System  
- Project Baseline  
- Supplemental QA Plan | - Mission Need Statement (DOE)  
- Acquisition Strategy (DOE)  
- Project Execution Plan (DOE)  
- Conceptual Design Report  
- Supplemental QA Plan |
| **Guiding Principle 4** | Balanced Priorities | - Project Execution Plan (DOE)  
- Conceptual Design Report  
- System Requirements Document  
- Design Criteria Documents  
- Earned Value Management System  
- Project Baseline  
- Supplemental QA Plan | - Mission Need Statement (DOE)  
- Acquisition Strategy (DOE)  
- Project Execution Plan (DOE)  
- Conceptual Design Report  
- Supplemental QA Plan |
| **Core Function 2** | Analyze the Hazard | - Project Execution Plan (DOE)  
- Conceptual Design Report  
- Risk Management Plan  
- 12 GeV Preliminary Hazard Assessment  
- 12 GeV CEBAF Upgrade Hazard Assessment  
- JLab EH&S Manual  
- Environmental Assessment (DOE/EA-1534)  
- NEPA – Categorical Exclusions  
- Storm Water Pollution Prevention Plan  
- Spill Prevention Control and Countermeasure Plan  
- Supplemental QA Plan | - Project Execution Plan (DOE)  
- Conceptual Design Report  
- Risk Management Plan  
- 12 GeV Preliminary Hazard Assessment  
- 12 GeV CEBAF Upgrade Hazard Assessment  
- JLab EH&S Manual  
- Environmental Assessment (DOE/EA-1534)  
- NEPA – Categorical Exclusions  
- Storm Water Pollution Prevention Plan  
- Spill Prevention Control and Countermeasure Plan  
- Supplemental QA Plan |
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| **Core Function 3** | - Project Execution Plan (DOE)  
- Conceptual Design Report  
- JLab Contract Requirements  
- Design Criteria Documents  
- JLab EH&S Manual  
- Space Program and Design Criteria Document  
- Supplemental QA Plan | - Project Execution Plan (DOE)  
- Conceptual Design Report  
- JLab Work Smart Standards  
- JLab EH&S Manual  
- Environmental Assessment (DOE/EA-1534)  
- NEPA – Categorical Exclusions  
- Storm Water Pollution Prevention Plan  
- Spill Prevention Control and Countermeasure Plan  
- Supplemental QA Plan |
| **Develop and Implement Hazard Controls** | - Conceptual Design Report  
- Preliminary Hazard Assessment  
- Final Safety Assessment Document  
- Supplemental QA Plan  
- Startup Test Plan | - Conceptual Design Report  
- Preliminary Hazard Assessment  
- JLab EH&S Manual  
- Final Safety Assessment Document  
- Environmental Assessment (DOE/EA-1534)  
- NEPA Categorical Exclusions  
- Storm Water Pollution Prevention Plan  
- Spill Prevention Control and Countermeasure Plan  
- Supplemental QA Plan |
| **Guiding Principle 5** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Identification of Safety Standards and Requirements** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Guiding Principle 6** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Hazard Controls Tailored to Work Being Performed** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Core Function 4** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Perform Work Within Controls** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Guiding Principle 7** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Operations Authorization** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |
| **Core Function 5** | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- Integrated project management team reviews  
- JLab Corrective Action Tracking System | - Supplemental QA Plan  
- JLab/DOE Lessons Learned  
- JLab internal audit and independent oversight  
- Internal system design reviews  
- External peer design reviews  
- JLab Corrective Action Tracking System |