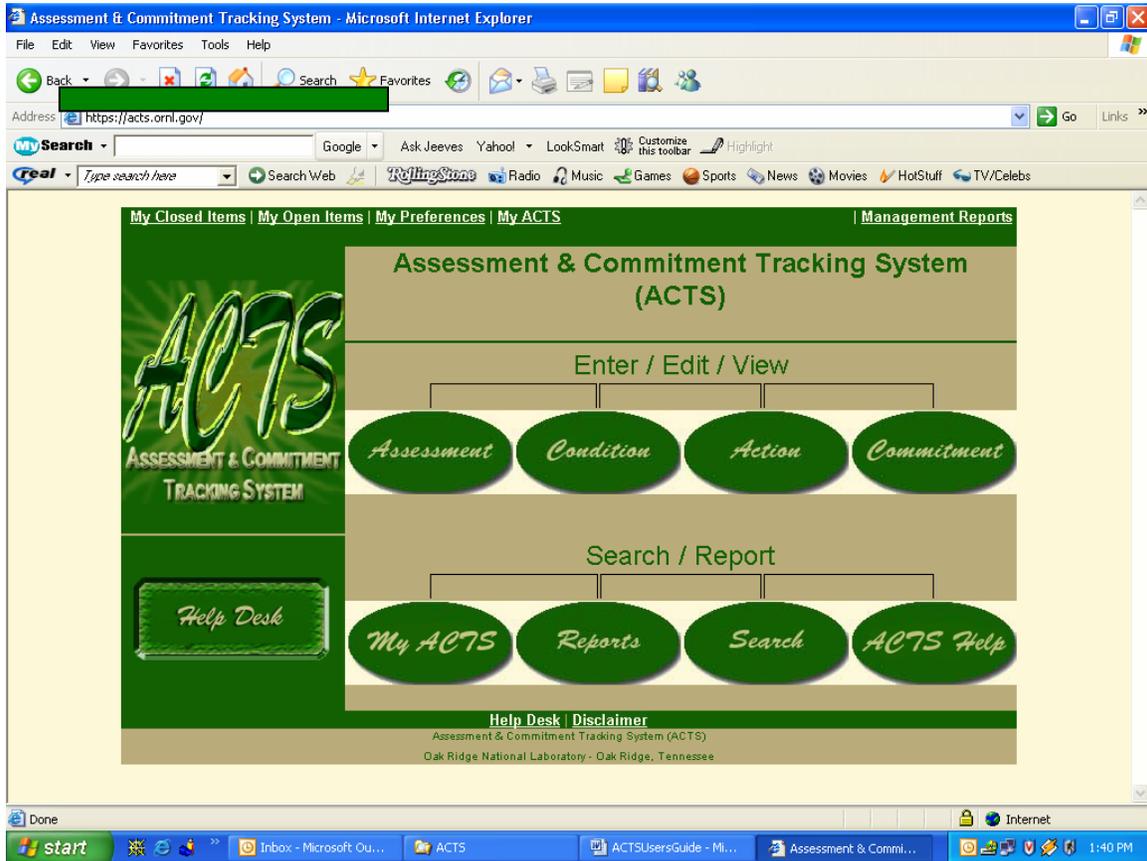


Assessment & Commitment Tracking System (ACTS) User's Guide



The ORNL Assessment & Commitment Tracking System (ACTS) is ORNL's web-based database system for planning/scheduling assessments, tracking and managing assessment results, commitments, and corrective actions that result from self-disclosing events or conditions (e.g., occurrence reports, nonconformance reports, PAAA non-compliances).

Note: The requirements for using ACTS are defined in the SBMS subject area [Performance Planning and Assessment \(Organizational\)](#).

The url for ACTS is <https://acts.ornl.gov> or ACTS can be found from the ORNL Home Page under the "A" index or under "Systems" then selecting [Assessment & Commitment Tracking System \(ACTS\)](#). Internet Explorer 6.0 or better is the recommended browser for using ACTS.

Screen shot #1 (above) is the "ACTS Home". The following are the main buttons that navigate you through the system:

- 1) **Assessments:** Begin here to enter assessment information – you will be given the option to enter associated conditions once the assessment entry is complete

- 2) **Conditions:** Begin here to enter condition information which has a corresponding assessment – you will be given the option to enter associated actions once the condition entry is complete
- 3) **Actions:** Begin here to enter action(s) for a corresponding condition
- 4) **Commitments:** Begin here to enter commitment information where there is no associated assessment – this is a feature to track true commitments, such as DOE commitments that may not have an “assessment level.” This option provides the same data entry screen as the condition screen.
- 5) **My ACTS:** Provides report to all items where the individual logged into the system is identified as the Owner, Delegate, Internal Reviewer, or External Reviewer. An area is provided that allows the user to view others “My ACTS” by typing in the badge number.
- 6) **Reports:** The ACTS reporting options will be further detailed in later sections of this guide. Several canned ACTS reports, as well as “custom reports” are available from this option, including “My ACTS” (opened and closed).
- 7) **Search:** The search option provides a screen to search Assessments, Conditions, and/or Actions.
- 8) **ACTS Help:** This link will provide the ACTS Users’ Guide and the Help Index with definitions and instruction for each screen option that displays a 

ACTS entries made at the assessment level is structured with three tiers of information called the “Assessment Tree”:

- 1) Assessment 123
 - a. Condition 123.1
 - i. Action 123.1.1
 - ii. Action 123.1.2
 - iii. Action 123.1.3

ACTS Assessment Menu - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Media Recycle Bin Mail Print Folder People

Address <https://otsdev.ornl.gov/acts/AssessmentMenu.cfm> Go Links



[Home](#) | [Reporting](#) | [Instructions](#) | [Help Desk](#) | [My ACTS](#) | [Admin](#)

Enter an Assessment

View Assessment # (e.g., 1234)

Edit Assessment # (e.g., 4321)

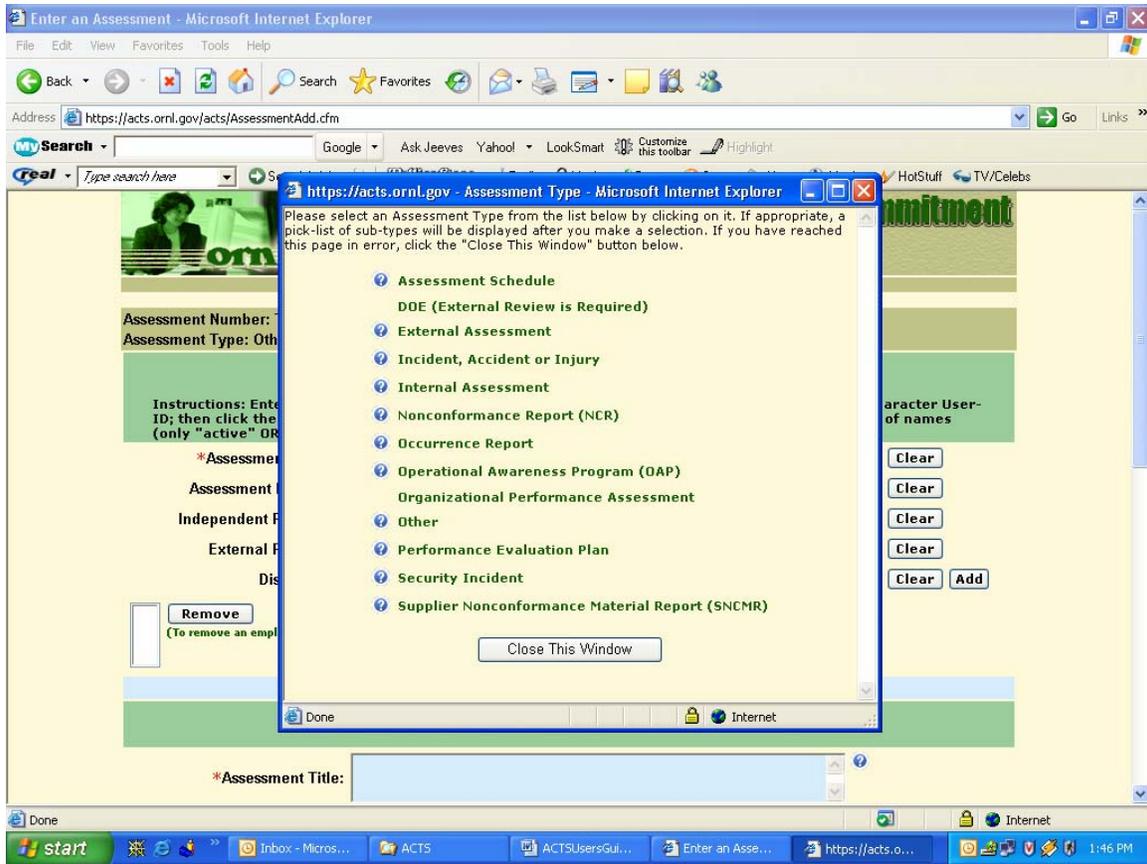
Search for Assessments

[Return to the ACTS Main Menu](#)

[Home](#) | [Reporting](#) | [Instructions](#) | [Help Desk](#) | [Disclaimer](#) | [Admin](#)
Assessment & Commitment Tracking System (ACTS)
Oak Ridge National Laboratory - Oak Ridge, Tennessee

Done Local intranet

Start [Inbox - Microsoft Out...](#) [Maintain ACTS Tables...](#) [ACTS Assessment ...](#) [Sarahs on Smithps](#) [ACTSUsersGuide.doc ...](#) 2:42 PM



Assessment Types / Sub-Types

Assessment Schedule - The term assessment refers to any assessment (external, internal), evaluation, audit, inspection, occurrence report, NCR, PAAA noncompliance, vendor assessment, etc.)

External - **External Assessments** are performed by organizations that are external to ORNL (e.g., DOE, OSHA, etc.)

Internal - **Internal Assessments** are performed by organizations that are internal to ORNL where the assessors are independent of the organization that they are assessing.

Oversight and Assessment Services - conducts independent assessments to evaluate management systems, processes related to environment, safety, health, and quality, or any other functional area requested by the ORNL Leadership Team.

DOE External Review Is Required

Assessments
Audits
Facility Rep. Reports
Readiness Review
Surveillances
Type A, B, & C Investigations

External Assessment

Corporate Review - An assessment conducted by staff from the “corporate” offices. Specifically, this would be an assessment conducted by Battelle staff on ORNL/UT-B.

Fire Protection Assessment - Identify site fire management related activities, products and services that may interact with the environment

- Firefighting
- Prescribed fires
- Operational fires
- Structural fires

Inspector General Assessment – An Office of Inspector General initiated audit that promotes the effective, efficient, and economical operation of the Department of Energy’s programs and operations

Laboratory Performance Assessment - Can be an internal or external performance assessment evaluating the performance of the laboratory operations.

Management System Performance Assessment - Can be an internal or external performance assessment based on the management systems.

Organizational Performance Assessment - considers the unique needs of the organization or management system, potentially including:

- customer focus
- business/financial performance
- organizational effectiveness
- staff and leadership
- compliance

Readiness Review/Assessment - A disciplined, systematic, documented, performance-based examination of facilities, equipment, personnel, procedures, and management control systems to ensure that a facility will be operated safely within its approved safety envelope as defined by the facility safety basis.

Incident, Accident or Injury

First Aid	Any one-time treatment and any follow-up visit for the purpose of observation, minor scratches, cuts, burns, splinters, etc., which do not ordinarily require medical care.
Near Miss	An incident or event having a potential for serious injury or fatality, but where no such consequence was realized.
Recordable Injury or Illness	Any injury or illness sustained by an employee (arising out

(RII)	of, and in the course of employment) which meets the definition of recordable in the Bureau of Labor Statistics Recordkeeping Guidelines for Occupational Injuries and Illnesses.
Reportable	Any incident or event of occupational nature in which injury, exposure, near miss, or property damages occurred. NOTE: Injuries or exposures of non-occupational nature are only reportable if the resulting impact causes an employee to be unable to report to work.

Internal Assessment

Environmental Noncompliance Report - deficiencies identified during annual internal audits of Radiological Support Services (RSS)

Facility/Research Authorization Assessment - The management official designated (either by DOE or contractor) and approved by DOE as the individual with the authority to determine [following the completion of the operational readiness review (ORR) or readiness assessment (RA)] whether all conditions have been met to approve the start-up or restart of the facility, activity, or operation for which the readiness review was conducted. Also referred to as the approval authority.

Fire Protection Assessment - Identify site fire management related activities, products and services that may interact with the environment

- Firefighting
- Prescribed fires
- Operational fires
- Structural fires

Implementation Plan - The SBMS Documents – New and Revised subject area requires that implementation of new or revised requirements be carried out no longer than 60 days after issuance unless otherwise determined with an implementation plan.

Internal Audit – Evaluates the effectiveness of risk management, control, and governance processes and contribute to ongoing effectiveness through audits, various other reviews, and management advisory services.

Laboratory Performance Assessment - The Performance Assessment Plan has two components: the organization’s performance assessment approach document and schedule. Organizations are expected to align their performance assessment plans with the Laboratory strategy, the Directorate strategy and the organization’s strategic/business plan by identifying the elements that are critical to the success of their organizations.

Division/Directorate Managers and Management System Owners ensure the creation of the Performance Assessment Plan. The annual assessment schedule is entered into the Assessment Tracking System (ATS) by December 1st each year.

Management is expected to identify and perform appropriate performance assessment based on the important business factors, the risks, and needs of the organization and/or management system; all aspects of the enterprise are not expected to be evaluated each year. Appropriate management should agree upon the performance measures, performance indicators, and assessment plan in order to ensure balance between resources and commitments. Line managers and Management System Owners should include a performance assessment of their objective and performance indicator development process as part of their annual assessment schedule. Division and

Management System Annual Performance Assessment Plans must be integrated at the Directorate level and are living documents that should be updated as needed.

Management Investigation/Assessment – The critique process consists of line management convened meetings of individuals knowledgeable about an event or activity. Critiques are an assessment tool to collect the facts, understand the details and circumstances leading to the event, and initiate follow-on investigation activities to identify underlying causes, appropriate corrective actions, and lessons learned.

Management System Performance Assessment - Management system owner (MSO) or designee conducts a self-assessment of the management system annually. The MSO or his/her designee may develop alternate methods and approaches for conduct of the annual self-assessment or may use the [Guidelines for Conducting Three-Year Management System Maturity Evaluations](#)

Organization Performance Assessment - Directorate and division managers and management system owners shall develop performance assessment plans in order to monitor progress toward achieving business objectives by completing the following steps: (See Subject Area: [Performance Planning and Assessment \(Organizational\)](#))

Oversight and Assessment Services - conducts independent assessments to evaluate management systems, processes related to environment, safety, health, and quality, or any other functional area requested by the ORNL Leadership Team.

Readiness Review/Assessment - A disciplined, systematic, documented, performance-based examination of facilities, equipment, personnel, procedures, and management control systems to ensure that a facility will be operated safely within its approved safety envelope as defined by the facility safety basis.

Safety Assessment - Line management develops and ensures that an approved [Safety Assessment Document](#) (SAD) is in place for all operating accelerator facilities. Line management ensures that the SAD is updated as required to account for significant engineering or administrative modifications affecting personnel safety and health. (See: [Procedure: Safety Assessment Document \(SAD\) Development and Maintenance](#))

Surveillance - identifies a non-compliant condition

Nonconformance Report (NCR) The nonconformance report (NCR) process provides for the identification, control, and resolution of problems associated with items, activities, or conditions that do not conform to requirements. The process also provides a means for preventing the inadvertent installation or use of nonconforming items, materials or services. (See: Subject Area: [Nonconformance Control](#))

Occurrence Report

A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance

Occurrence/SC-1 - Occurrences in this category are those that are not Operational Emergencies and that have a significant impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests. -

Occurrence/SC-2 - Occurrences in this category are those that are not Operational Emergencies and that have a moderate impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests

Occurrence/SC-3 - Occurrences in this category are those that are not Operational Emergencies and that have a minor impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests

Occurrence/SC-4 - Occurrences in this category are those that are not Operational

Emergencies and that have some impact on safe facility operations, worker or public safety and health, public/business interests.

Occurrence/SC-R - Occurrences in this category are those identified as recurring, as determined from the periodic performance analysis of occurrences across a site..

Operational Emergency/OE - Operational emergency occurrences are the most serious occurrences and require an increased alert status for onsite personnel and, in specified cases, for offsite authorities. The prompt notification requirements, definitions, criteria, and classifications of operational emergencies and appropriate responses are provided in DOE O 151.1A. Written Occurrence Reports must be completed in accordance with the [Occurrence Reporting Criteria](#).

Operational Awareness Program (OAP) - The OAP is an ORNL-wide program that identifies potential hazards and less-than-optimum operational conditions through out ORNL. The OAP utilizes an integrated team of operations and ES&H subject matter experts, and also includes DOE and UT-Battelle senior-level managers. The OAP team provides independent assessments of ORNL line organization activities and work spaces, including facilities, laboratories, storage areas, shops, and grounds.

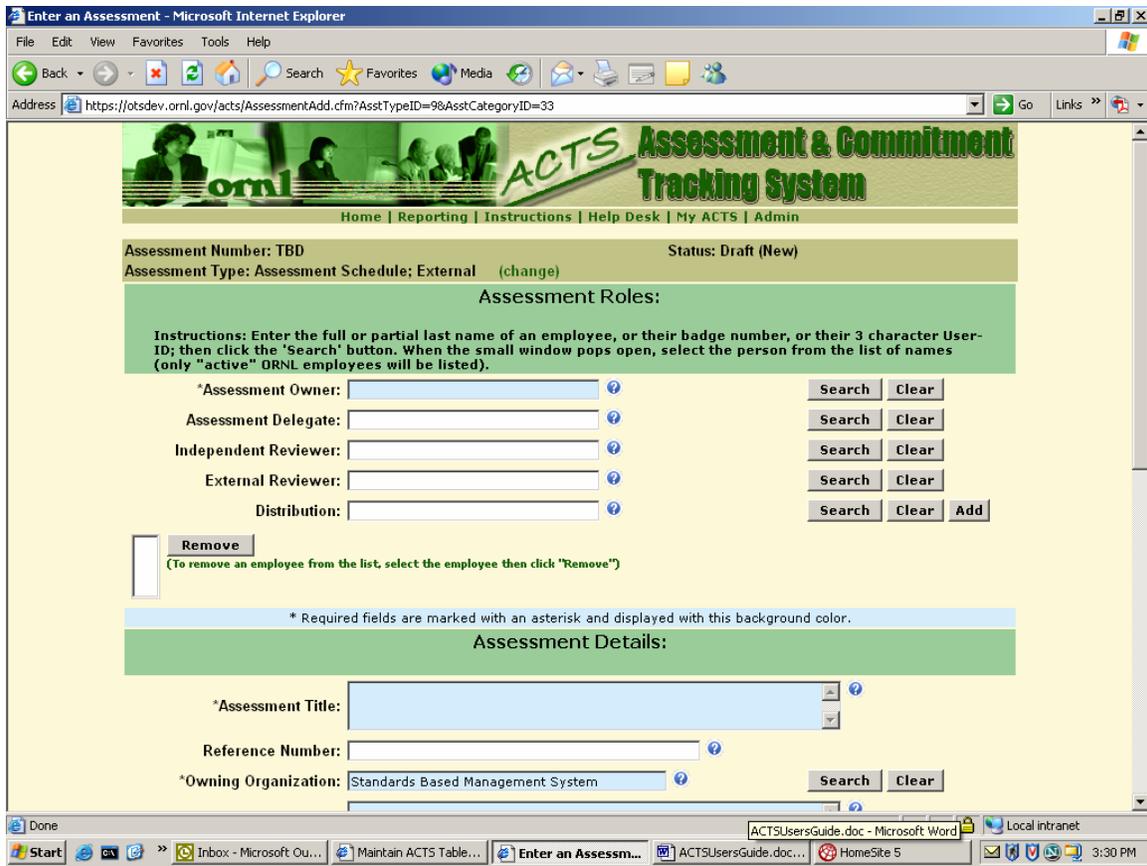
The OAP focuses on both **compliance** and **performance**, identifying potential hazards and areas where operating conditions can be improved. Significant findings are documented and provided in writing to the organization.

Other - Any other assessment, evaluation, etc. not noted within this listing.

Performance Evaluation Plan - The ORNL Performance Evaluation Plan (previously known as the Critical Outcomes, Objectives, and Performance Indicators) contains a comprehensive set of measures and deliverables that monitor the Lab's progress toward mutually agreed upon goals between the Oak Ridge National Laboratory and the Department of Energy. These measures are developed on an annual basis and reported quarterly.

Security Incident – [Click here](#)

Supplier Nonconformance Material Report (SNCMR) - A nonconforming item, material, service or other condition includes those that do not meet commercial standards, applicable regulatory requirements, procurement requirements, inspection requirements, or internal procedural requirements as defined in catalogues, proposals, procurement specifications, design specifications, testing requirements, subcontracts and internal sources (i.e., procedures). Nonconforming items, materials, services, or other conditions can be found during source surveillance, acceptance testing, preoperational testing, operations, inspections, audits or during observation of work activities.



Assessment Owner - The **Assessment Owner** is the person responsible for conducting the assessment or has been assigned responsibility for managing the results of an assessment. The Assessment Owner is assigned by entering the full or partial last name of the person, or User ID, then clicking the 'Search' button. When the small window pops open, select the person from the list of names (the individual **MUST** be an active ORNL employee). Ensure correct assignment in ACTS.

Delegate - A **Delegate** is someone designated to act on the owners behalf when updating, changing, or approving information associated with a given item in ACTS. Appropriate e-mail notifications (e.g., past due notices, or reminders) will be sent to the delegate as well as the owner. Delegate names may be assigned by entering the full or partial last name of the person, or User ID, then click the 'Search' button. When the small window pops open, select the person from the list of names (the individual **MUST** be an active ORNL employee). Ensure correct assignment in ACTS.

Independent Reviewer - The **Independent Reviewer** is the person selected to validate/approve the corrective action plan and verify the condition for closure. All 'Significant' conditions required Independent Review. All records requiring an external review **MUST** have an internal reviewer assigned.

External Reviewer - An entry into **External Reviewer** field signifies that an External Review is required during the Condition workflow process. The review would be

conducted by any individual selected as External Reviewer by the Assessment Owner or Delegate. **An Internal Review is required** if External Review entry is made. The assessment can be closed prior to **External Reviewer** approval.

Distribution - The individual(s) you wish to assign to an e-mail **Distribution** list to receive notification of changes in the Assessment, Condition or Action's Status.

Assessment Title - The **Assessment Title** should be concise and descriptive to distinguish one assessment from another. The field is also searchable for querying the system and running reports.

Reference Number - The External/Internal **Reference Number** field is available for documenting other reference numbers that may be assigned to the assessment. This is an identifying number assigned to the Assessment by the Assessment Owner/Delegate and is different from the Assessment Number automatically generated by ACTS.

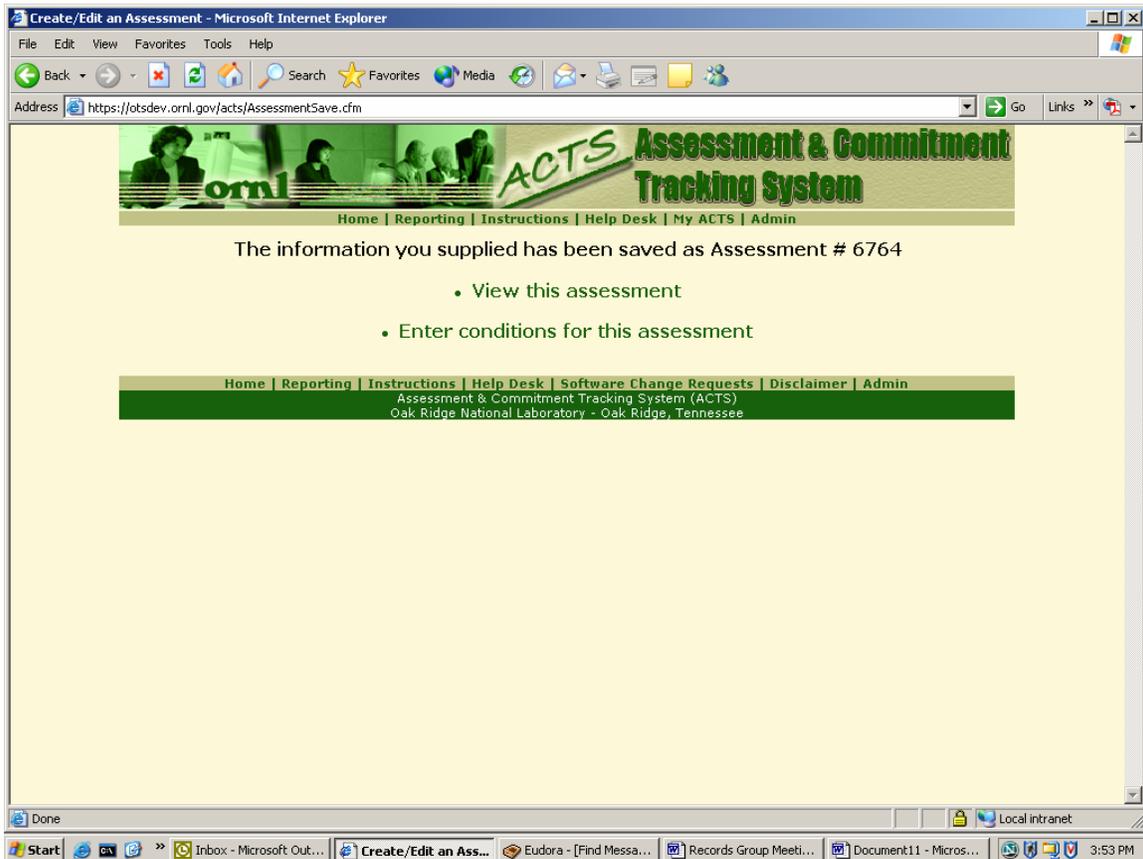
Owning Organization - The **Owning Organization** will default to the organization of the logged-on ATS user, but can be changed by using the pop-up window to locate another Division or Directorate.

Assessment Description - The **Assessment Description** is a description of the actual Assessment or event.

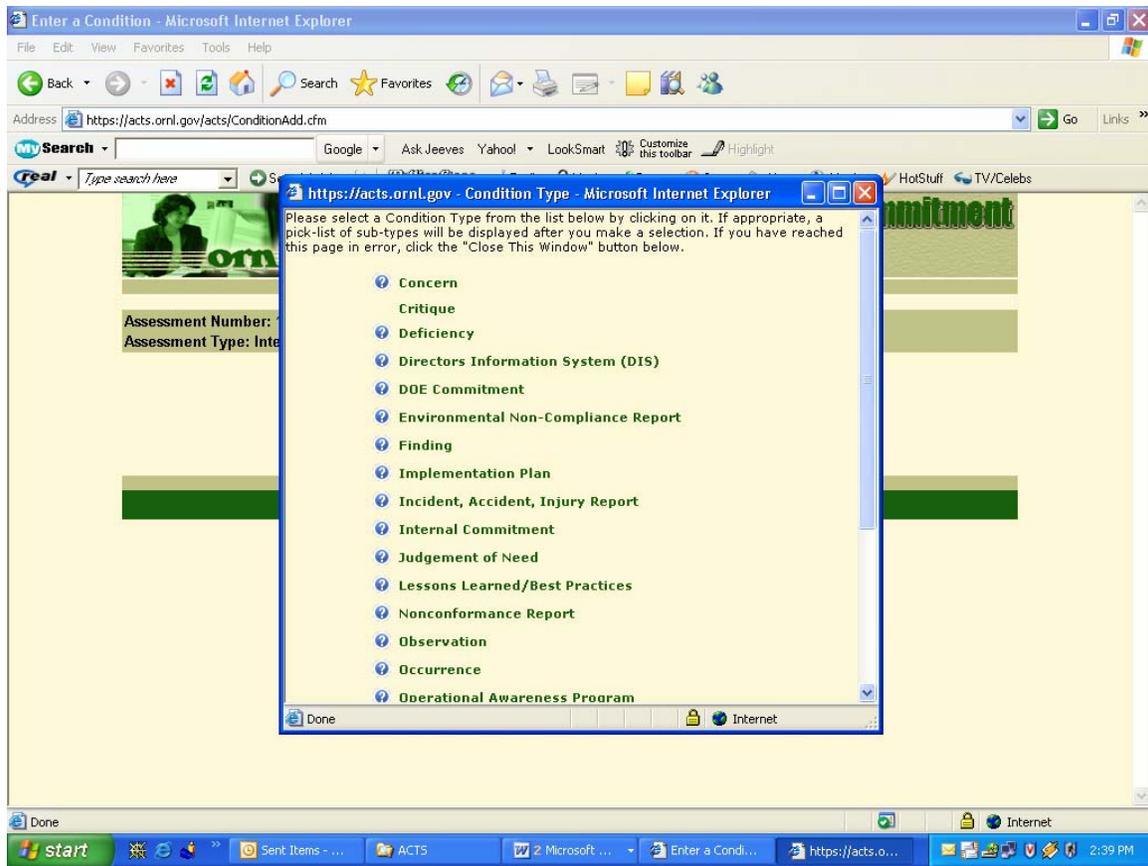
PAAA Applicable - This field defaults to “No” – however, if **PAAA Applicable** is marked “Yes” & the record is saved, additional information will be required [i.e., PAAA

Noncompliance Tracking System (NTS) number for the Condition, etc.]. This data is typically entered by the PAAA Program Officer (PPO) or the Condition Owner. ALL ACTS records will be reviewed by the PPO. (PPO listing available for viewing @

The Owner/Delegate should evaluate the condition to determine the **Management System(s)** that will address the assessment. The system allows multiple selections and is a very critical entry to ensure future reports are reflective of ORNL's business management processes described in SBMS. System owners will rely heavily on this entry to ensure their management systems are appropriately and compliantly implemented in the field.



Conditions – You may begin here to enter condition information which has a corresponding assessment. You will be given the option to enter associated actions once the condition entry is complete.



Condition Types / Sub-Types

Concern - A concern is a good faith expression by staff (employees and non-employees) that a policy or practice should be improved, modified, or terminated. Concerns may address such issues as health, safety, security, the environment, management practices, waste, fraud, and abuse, or reprisal for raising a concern. In addition, concerns may include employment policies and practices, such as performance issues, pay and benefits, and discipline.

Deficiency - difference between the expected and actual conditions (why the difference exists).

Directors Information System (DIS)

DIS Action Item Tracking system for Commitments received in the ORNL Director's office);

DOE Commitment

Performance Evaluation Plan (PEP) (See Assessment definitions)

Work Authorization Action (from DIS) A formalized process of initiating, approving, and authorizing work. One of the main features of the work authorization system is the "acceptance" of the information contained in a work authorization form by DOE Headquarters, DOE-ORO Site Office, and ORNL. For DOE programs required to follow the Work Authorization System, a work authorization form signed by the appropriate laboratory official or his designee, represents acceptance of work by ORNL. **A work authorization form is not**

considered fully executed until it has been signed by the appropriate representatives from all three parties (DOE HQ, DOE ORO Site Office, ORNL). Any unofficial FWP (review and approval process incomplete) that is transmitted to outside parties, including DOE-HQ must be clearly marked as a draft document.

Environmental Non-Compliance Report non-compliance with environmental laws, including, but not limited to, the Clean Water Act (CWA); Clean Air Act (CAA); Resource Conservation and Recovery Act (RCRA); Tennessee Solid Waste Disposal Act; Emergency Planning and Community-Right-to-Know Act (EPCRA); Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA); Toxic Substance Control Act (TSCA); Safe Drinking Water Act (SDWA); Federal Insecticide, Fungicide and Rodenticide Act (FIFRA); U.S. Department of Agriculture regulations, and DOE Orders identified in ORNL's Work Smart Standards.

Finding - Result of the evaluation of the collected audit evidence compared against the agreed audit criteria.

NOTE: The findings provide the basis for an audit report.

Implementation Plan

Subject Area Implementation Plan: Implementation plans are written by the divisions & must be forwarded to the subject area MSO and the SBMS POC. Implementation plans must include, at a minimum:

- the organization for which the implementation plan is written,
- the subject area or requirement for which the implementation plan is written,
- the actions that must be taken to bring the organization into compliance with the requirement,
- the date at which the organization will be in compliance, and
- approval signature of the organization's level-2 manager.

-

Requirements Implementation Plan: Implementation of new or revised requirements is carried out no longer than 60 days after issuance unless otherwise determined with an implementation plan or a [variance](#) approved by the management system owner. Implementation plans written by the divisions must be forwarded to the subject area MSO and the SBMS POC. Implementation plans must include, at a minimum:

- the organization for which the implementation plan is written,
- the subject area or requirement for which the implementation plan is written,
- the actions that must be taken to bring the organization into compliance with the requirement,
- the date at which the organization will be in compliance, and
- approval signature of the organization's level-2 manager.

Note: In instances where all laboratory divisions may be impacted by the subject area requirements, the MSO (for that subject area) may elect to issue a lab-wide subject area implementation plan. -

Internal Commitment

Implementation Plan -Implementation plans written by the divisions must be forwarded to the subject area MSO and the SBMS POC. Implementation plans must include, at a minimum:

- the organization for which the implementation plan is written,
- the subject area or requirement for which the implementation plan is written,

- the actions that must be taken to bring the organization into compliance with the requirement,
- the date at which the organization will be in compliance, and
- approval signature of the organization's level-2 manager.

Note: In instances where all laboratory divisions may be impacted by the subject area requirements, the MSO (for that subject area) may elect to issue a lab-wide subject area implementation plan.

Milestone - Milestones are discrete achievements or deliverables and may be recorded for Final Cost Objectives and Overhead projects

Judgement of Need - Managerial controls and safety measures necessary to prevent or minimize the probability or severity of a recurrence of an accident.

Lessons Learned/Best Practices - see <http://qatracking.ornl.gov/Lessons/PDTable.cfm>

Red Alert - Red / Urgent - (Actual Event)

Yellow Alert - Yellow / Caution (Potential Event Conditions)

Blue Alert - Blue / Information (Fact or Discovery of Benefit to Others)

<p>Green Alert - Green / Good Work Practice (Practice Promoting or Producing Positive Proven Results)</p>
--

Advisory - Information to promote safety at home, may not be work related, no action required

Nonconformance Report (NCR) The nonconformance report (NCR) process provides for the identification, control, and resolution of problems associated with items, activities, or conditions that do not conform to requirements. The process also provides a means for preventing the inadvertent installation or use of nonconforming items, materials or services. (See: **Subject Area: Nonconformance Control**)

Observation - A finding that may lead to a nonconformance. Based on an analysis, Observations may be elevated to a Nonconformance.

Occurrence –

A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance

Occurrence/SC-1 - Occurrences in this category are those that are not Operational Emergencies and that have a significant impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests. -

Occurrence/SC-2 - Occurrences in this category are those that are not Operational Emergencies and that have a moderate impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests

Occurrence/SC-3 - Occurrences in this category are those that are not Operational Emergencies and that have a minor impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests

Occurrence/SC-4 - Occurrences in this category are those that are not Operational Emergencies and that have some impact on safe facility operations, worker or public safety and health, public/business interests.

Occurrence/SC-R - Occurrences in this category are those identified as recurring, as determined from the periodic performance analysis of occurrences across a site.

Operational Emergency/OE - Operational emergency occurrences are the most serious occurrences and require an increased alert status for onsite personnel and, in specified

cases, for offsite authorities. The prompt notification requirements, definitions, criteria, and classifications of operational emergencies and appropriate responses are provided in DOE O 151.1A. Written Occurrence Reports must be completed in accordance with the [Occurrence Reporting Criteria](#)

Operational Awareness Program - The OAP is an ORNL-wide program that identifies potential hazards and less-than-optimum operational conditions through out ORNL. The OAP utilizes an integrated team of operations and ES&H subject matter experts, and also includes DOE and UT-Battelle senior-level managers. The OAP team provides independent assessments of ORNL line organization activities and work spaces, including facilities, laboratories, storage areas, shops, and grounds.

The OAP focuses on both **compliance** and **performance**, identifying potential hazards and areas where operating conditions can be improved. Significant findings are documented and provided in writing to the organization.

Other – Any existing condition not otherwise noted

PNOV/NOV Enforcement letter - Notices of violation, preliminary notices of violation, notices of noncompliance, notices of deficiency, or other communication from a regulatory entity that could result in an enforcement or other legal action.

Radiological Event Report (RER) - Radiological deficiencies and incidents which involve operations dealing with ionizing radiation or radioactive material including skin or clothing contamination or uptakes of radioactive materials and less than adequate radiological practices or radiological procedures adherence.

Requirements Decision Record (RDR) - Documents currently on the ORNL contract Appendix E, as well as modifications to the contract, are evaluated to determine and document the responsible primary management system owner and the parsed unit management system owner(s). This evaluation is documented on the Requirements Decision Record (RDR). In addition, the RDR is initiated for internal requirements, which may be established to further define the corporation's best interest

Implementation Action - Requirements management process to review documents and evaluate requirements needed to maintain and modify the contract. Draft DOE Directives, new or revised DOE Directives, memorandums, bulletins, laws, regulations, etc. are routed through the ORNL Requirements Manager for review or distribution and/or impact assessment to determine acceptance or modification to the ORNL contract. The MSO or other ORNL staff may identify a Requirements document and request a formal evaluation for proposed contract changes.

RDR Actions - Documents currently on the ORNL contract Appendix E, as well as modifications to the contract, are evaluated to determine and document the responsible primary management system owner and the parsed unit management system owner(s). This evaluation is documented on the Requirements Decision Record (RDR). In addition, the RDR is initiated for internal requirements, which may be established to further define the corporation's best interest.

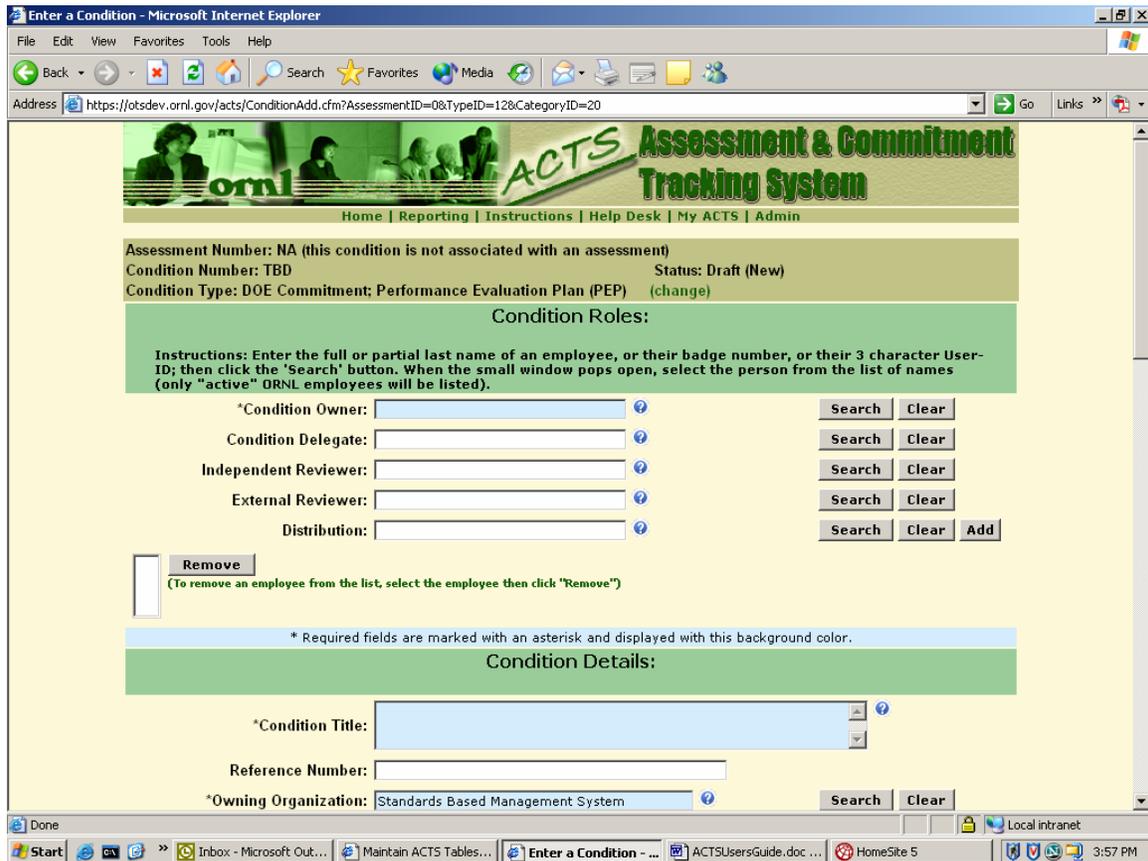
Research Safety Summary (RSS- Work Control) - The basis of Integrated Safety Management (ISM) implementation in R&D work activity is the [Research Hazard Analysis and Control System](#), a web-based application that guides a Principal Investigator (PI) through the ISM process. The product of this process is the Research Safety Summary (RSS), which contains the identified environmental, safety, and health hazards and controls, known as the [Safety Envelope](#). The RSS defines the limits within which R&D work activity is authorized to be conducted. Additional mechanisms, such as internal operating procedures, checklists, operator training and certification, etc., may be used to define work controls, but they should be referenced within the RSS.

[Annual Reviews](#) – A yearly RSS review of ISM & Work Control process.

[R&D Lab Assessment](#) – The automated ORNL "**Research Hazard Analysis and Control**" system is a product of the Research and Development (R&D) Work Control process which provides an online *Safe Work Practices* Research Safety Summary (RSS). For more information, please contact the Standards-Based Management office at 576-5388. This system is to be used by Principal Investigators (PIs) and project team members to authorize new and existing experimental work activities and to identify hazards and controls associated with those activities.

[Security Incident](#) – [Click here](#)

Supplier Nonconformance Material Report (SNCMR) - A nonconforming item, material, service or other condition includes those that do not meet commercial standards, applicable regulatory requirements, procurement requirements, inspection requirements, or internal procedural requirements as defined in catalogues, proposals, procurement specifications, design specifications, testing requirements, subcontracts and internal sources (i.e., procedures). Nonconforming items, materials, services, or other conditions can be found during source surveillance, acceptance testing, preoperational testing, operations, inspections, audits or during observation of work activities.



The **Condition Owner** is the person responsible for addressing and resolving the condition. The Condition Owner may be assigned by entering the full or partial last name of the person, or User ID, then clicking the 'Search' button. When the small window pops open, select the person from the list of names (the individual **MUST** be an active ORNL employee). Ensure correct assignment in ACTS.

A **Delegate** is someone designated to act on the owners behalf when updating, changing, or approving information associated with a given item in ACTS. Appropriate e-mail notifications (e.g., past due notices, or reminders) will be sent to the delegate as well as the owner. Delegate names may be assigned by entering the full or partial last name of the person, or User ID, then click the 'Search' button. When the small window pops open, select the person from the list of names (the individual **MUST** be an active ORNL employee).

The **Independent Reviewer** is the person selected to validate/approve the corrective action plan and verify the condition for closure. All 'Significant' conditions required Independent Review.

To assign the **Independent Reviewer** in the ACTS enter the full or partial last name of the person, or User ID, **then click the 'Search'** button. When the small window pops open, select the person from the list of names. Then click the 'Add' button to add the individual to the list of Independent Reviewers.

To remove a person from the list, highlight the name and select 'Remove'.

The individual you wish to assign as **External Reviewer**. (Note: All externals reviews must have an **Independent Reviewer** assigned.)

Enter the full or partial last name of the person, or User ID, then click the 'Search' button. When the small window pops open, select the person from the list of names. Then click the 'Add' button to add the individual as External Reviewer.

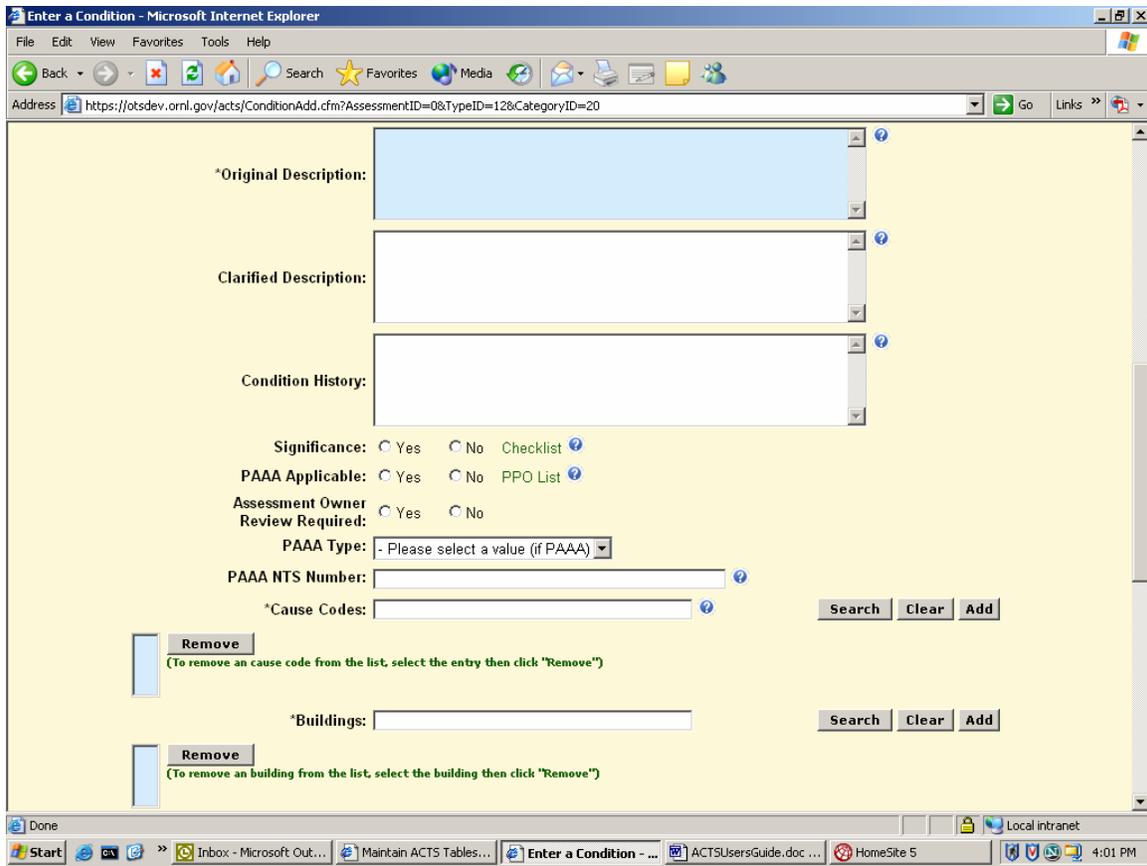
The **Condition Title** should be concise and descriptive to distinguish one condition from another. This field is a field that can be searched by ACTS users.

The **Owning Organization** will default to the Assessment Owner's Group but can be changed by using the pop-up window to locate your Division or Directorate.

This information is typically entered by the Assessment Owner or Delegate(s).

If you know there is an organization missing from the list, please contact the ACTS Administrator (actsadmin@ornl.gov).

All organizational reports and status reports will reflect the organizational hierarchy you select. This is a **required** field.

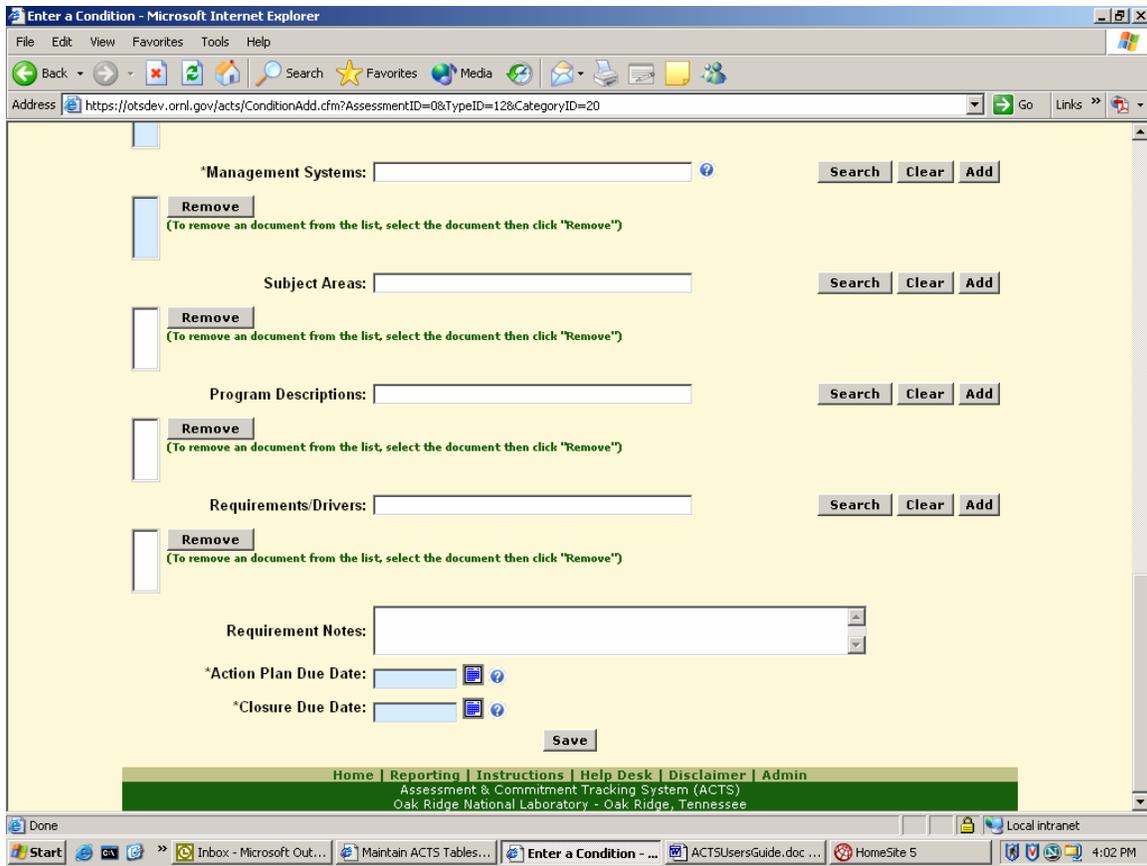


The **Description** field is used to explain or summarize the purpose of the condition. The description should contain enough information for the assigned individual to complete the tasks associated with that item. The description category has an unlimited number of characters. Information can be copied and pasted into this field from another location.

Cause Codes - Scroll through the list of available **Cause Codes** to select one or more codes for the Condition.

Based on your selection, you will be given lower-tiered choices.

This data is typically entered by the Condition Owner or Delegate(s) *after* appropriate causal analysis have been conducted.



Management Systems - The Owner/Delegate should evaluate assessments, conditions, and actions to determine the Management System(s) that will address the assessment. The system allows multiple selections and is a very critical entry to ensure future reports are reflective of ORNL's business management processes described in SBMS. System owners will rely heavily on this entry to ensure their management systems are appropriately and compliantly implemented in the field.

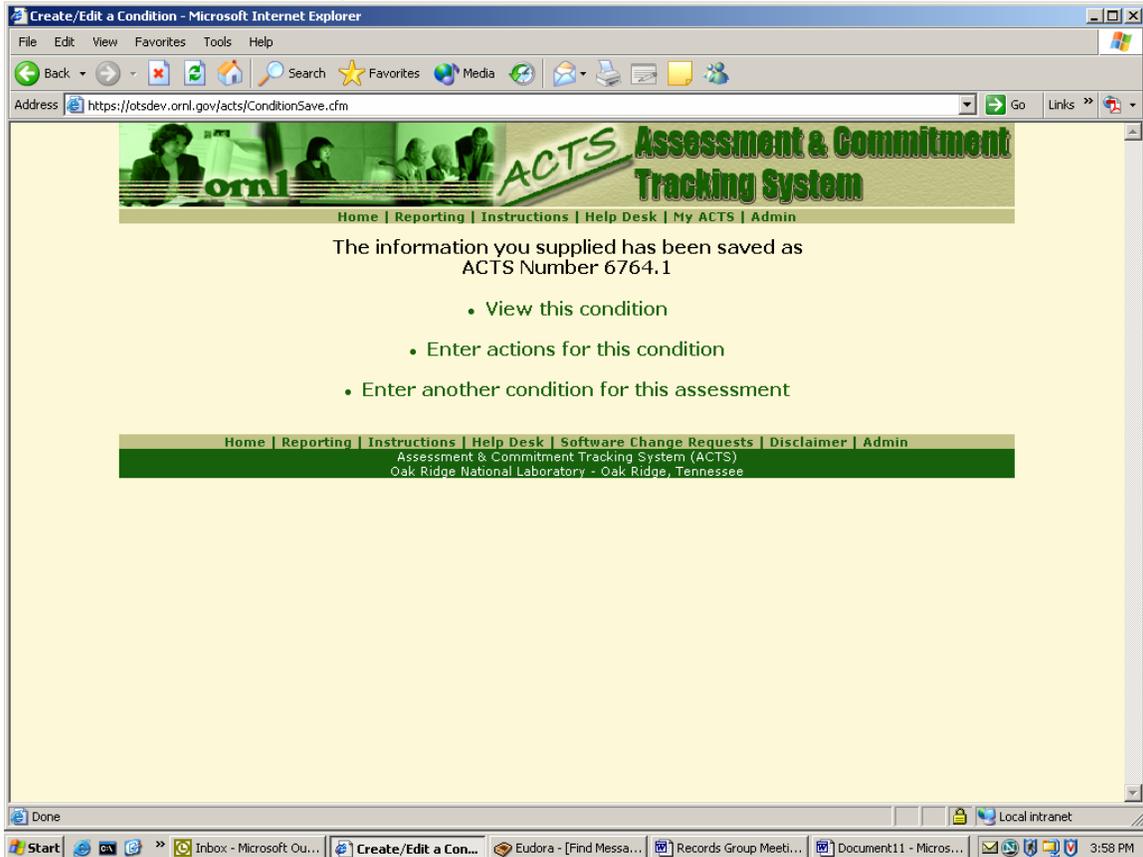
Though the user may select TBD and continue their entry, a Management System selection is **required** prior to closing out the assessment, condition or action.

Use the pop-up window to locate the appropriate **Management System(s)**. The current listing of ORNL management systems are generated from the SBMS data-base. Multiple selections may be made by repeating this process.

Action Plan Due Date - This is the target date for completion of the Condition Action Plan. The Plan must be developed, entered into ACTS and, if necessary, be approved. This data is typically entered by the Assessment Owner or Delegate(s). This is a **required** field for all statuses **except** 'Draft' and 'On Hold'.

Closure Due Date Field - This is the target date the Condition is due for closure. This date must not be changed for Conditions that require change control without approval

(e.g., occurrences, PAAA noncompliances, Fire Protection Engineering assessments, selected DOE assessments).



Selecting 'Create' will provide a screen to select "Assessment Type" and/or "Sub-Type". Once these are selected, you will be given a blank assessment entry screen. To create a **new Action**, enter the number of an existing 'parent' Condition to attach the new Action then click the 'Create' button.

Enter an Action - Microsoft Internet Explorer

Address: https://otsdev.ornl.gov/acts/ActionAdd.cfm?ConditionID=11247&TypeID=12&CategoryID=20

ACTS Assessment & Commitment Tracking System

Home | Reporting | Instructions | Help Desk | My ACTS | Admin

Assessment Number: 6742	Status: Closed
Assessment Title: Misplaced Key to STU-III Telephone	
Assessment Type: Security Incident	
Condition Number: 6742.1	Status: Closed
Condition Title: Corrective Action Plan for Misplaced Key to STU-III	
Action Number: TBD	Status: Draft (New)
Action Type: DOE Commitment; Performance Evaluation Plan (PEP) (change)	

You must supply a date that falls on or before the "Condition Closure Due Date". 08/19/2004

Action Roles:

Instructions: Enter the full or partial last name of an employee, or their badge number, or their 3 character User-ID; then click the 'Search' button. When the small window pops open, select the person from the list of names (only "active" ORNL employees will be listed).

*Action Owner: <input type="text"/>	<input type="button" value="Search"/> <input type="button" value="Clear"/>
Action Delegate: <input type="text"/>	<input type="button" value="Search"/> <input type="button" value="Clear"/>
Distribution: <input type="text"/>	<input type="button" value="Search"/> <input type="button" value="Clear"/> <input type="button" value="Add"/>

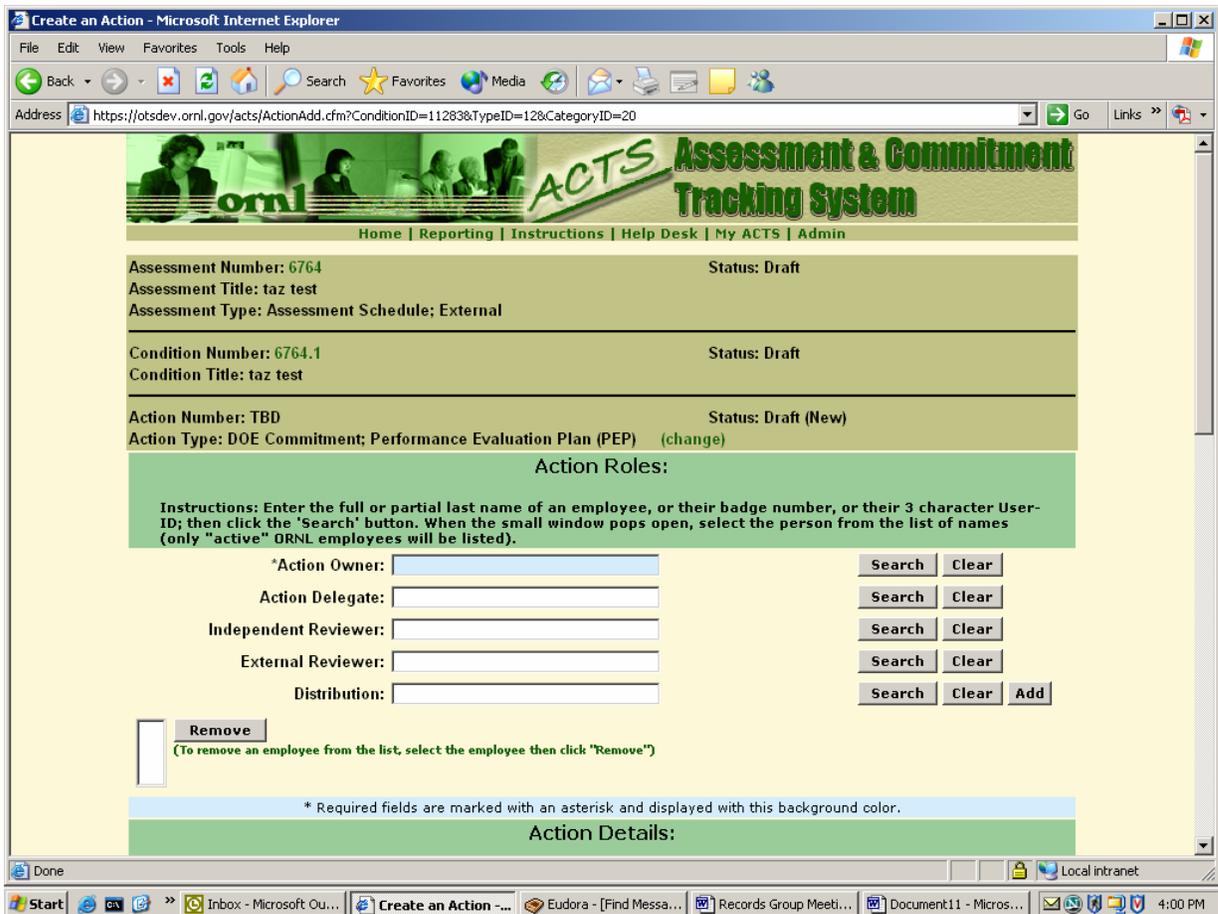
(To remove an employee from the list, select the employee then click "Remove")

* Required fields are marked with an asterisk and displayed with this background color.

Action Details:

Done

Start | Inboxes - Microsoft Out... | Maintain ACTS Tables... | Enter an Action - M... | ACTSUsersGuide.doc ... | HomeSite 5 | Local intranet | 4:03 PM



The **Action Owner** is the person responsible for addressing and resolving the action. The Action Owner may be assigned by entering the full or partial last name of the person, or User ID then clicking the 'Search' button. When the small window pops open, select the person from the list of names (the individual **MUST** be an active ORNL employee).

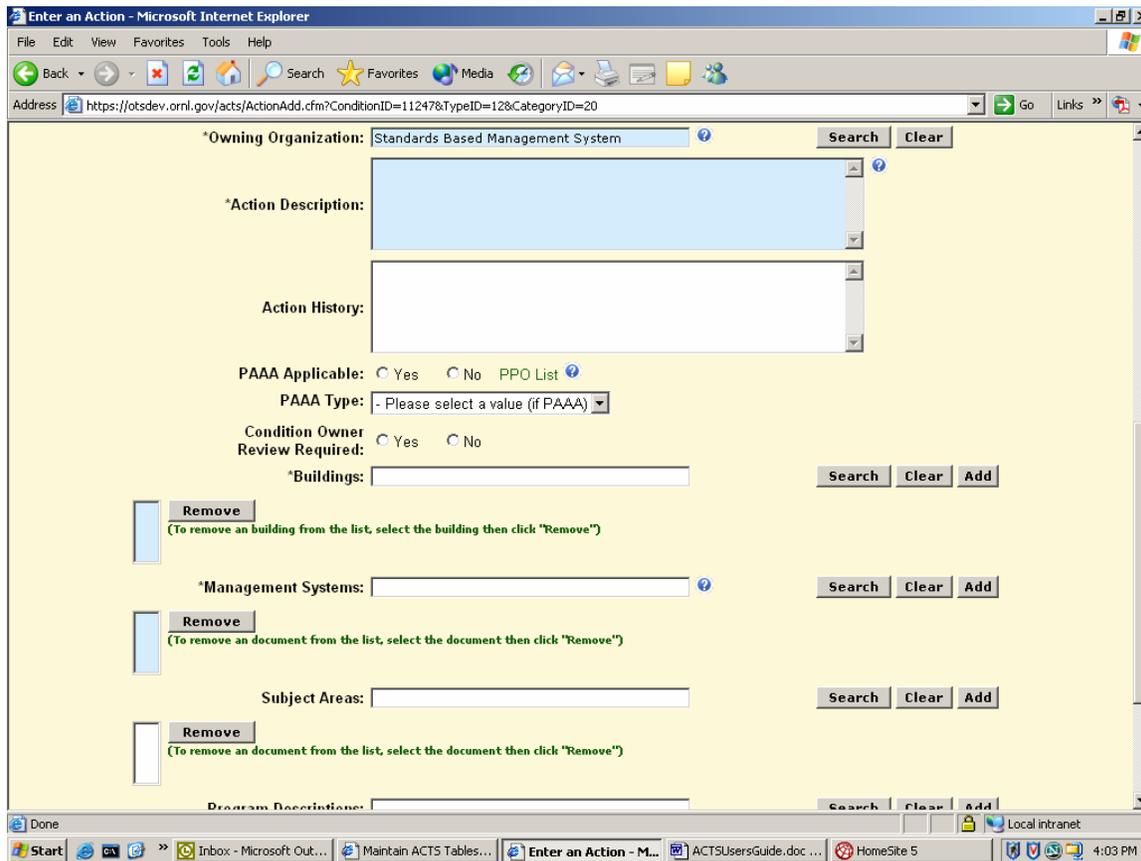
A **Delegate** is someone designated to act on the owners behalf when updating, changing, or approving information associated with a given item in ACTS. Appropriate e-mail notifications (e.g., past due notices, or reminders) will be sent to the delegate as well as the owner.

Delegate names may be assigned by entering the full or partial last name of the person, or User ID, **then click the 'Search' button**. When the small window pops open, select the person from the list of names (the individual **MUST** be an active ORNL employee).

Distribution Field - The individual(s) you wish to assign to an e-mail Distribution List to receive notification of changes in the Assessment, Condition or Action's Status.

Enter the full or partial last name, or User ID of the person, then click the 'Search' button. When the small window pops open, select the person from the list of names.

Distribution List - Multiple entries of individuals are allowed to the Distribution List. Just repeat the process as many times as required.



Owning Organization - This field will default to the organization of the logged-on ATS user, but can be changed by using the pop-up window to locate another Division or Directorate. This data is typically entered by the Condition Owner or Delegate(s). The organizational reports and status reports will display the organizational hierarchy selected.

Description - Enter a **Description** for the Action that will easily allow the Action Owner to provide evidence of closure.

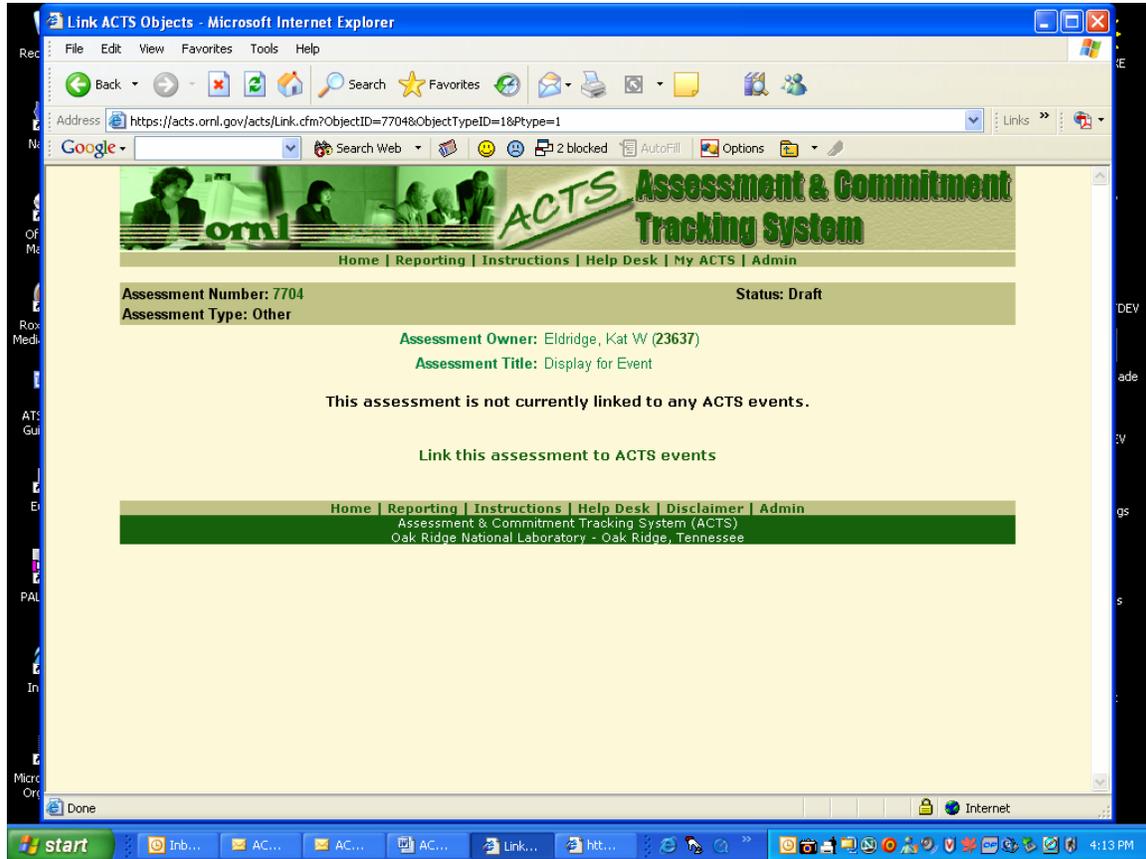
Management System - The Owner/Delegate should evaluate assessments, conditions, and actions to determine the **Management System(s)** that will address the assessment. The system allows multiple selections and is a very critical entry to ensure future reports are reflective of ORNL's business management processes described in SBMS. System owners will rely heavily on this entry to ensure their management systems are appropriately and compliantly implemented in the field.

Though the user may select "**TBD**" and continue their entry, a management system selection is **required** prior to closing out the assessment, condition or action.

Use the pop-up window to locate the appropriate Management System(s). The current listing of ORNL management systems are generated from the SBMS data-base. Multiple selections may be made by repeating this process.

Closure Due Date Field - This is the target date the Action is due for closure. This date must not be changed for Actions that require change control (NTS reportable) without approval (e.g., occurrences, PAAA non-compliances, Fire Protection Engineering Assessments, selected DOE assessments).

EVENT



An Event must be established by the ACTS Administrator. The Event assignment may be used at the Laboratory level to “group” information together for future reporting. Example: An Event such as “Hoisting & Rigging” (Incident at Bldg. XYZ) could be established & then any Assessment(s), Condition(s), or Action(s) that were relevant could be group within this established “Event.” Events are primarily used to ensure Laboratory management can locate any/all Actions taken on any reoccurring issue.

EVENTS

Edit a Project/Issue - Microsoft Internet Explorer

Address: <https://acts.ornl.gov/acts/ProjectEdit.cfm?ObjectID=0&Ptype=1>

Home | Reporting | Instructions | Help Desk | My ACTS | Admin

Event Roles:

Instructions: Enter the full or partial last name of an employee, or their badge number, or their 3 character User-ID; then click the 'Search' button. When the small window pops open, select the person from the list of names (only "active" ORNL employees will be listed).

*Event Owner:

Event Delegate:

* Required fields are marked with an asterisk and displayed with this background color.

Event Details:

*Event Title:

Owning Organization:

Note: If you associate the event with an organization, only employees of that organization (and lower-level organizations) will be able to reference it.

Event Description:

*Who can add ACTS object associations?

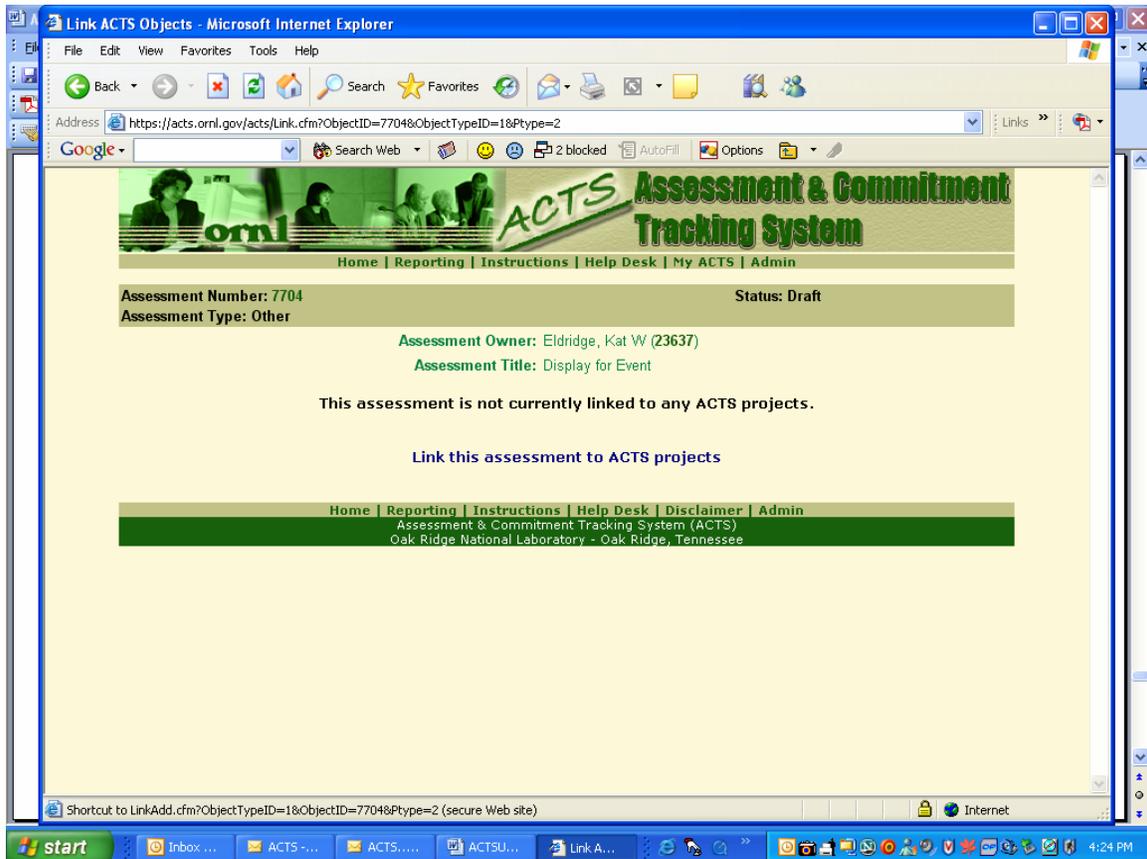
*Who can delete ACTS object associations?

*Type:

Done Internet

start | Inbox ... | ACTS ... | ACTS ... | ACTSU ... | Edit a ... | 4:17 PM

PROJECTS



Project assignments may be used at the organizational level (directorate, division, group, etc.) to “group” information together for future reporting. (Any ACTS user may established a ACTS “Project.”)

Example: A Project such as “*ACTS Improvements*” could be established and then any Assessment(s), Condition(s) or Action(s) that was relevant to the completion of this Project could be “grouped” within this established ACTS Project.

Microsoft Internet Explorer - Edit a Project/Issue

Address: https://acts.ornl.gov/acts/ProjectEdit.cfm?ObjectID=0

Home | Reporting | Instructions | Help Desk | My ACTS | Admin

Project Roles:

Instructions: Enter the full or partial last name of an employee, or their badge number, or their 3 character User-ID; then click the 'Search' button. When the small window pops open, select the person from the list of names (only "active" ORNL employees will be listed).

*Project Owner: Search Clear

Project Delegate Search Clear

* Required fields are marked with an asterisk and displayed with this background color.

Project Details:

*Project Title:

Owning Organization: Search Clear

Note: If you associate the project with an organization, only employees of that organization (and lower-level organizations) will be able to reference it.

Project Description:

*Who can add ACTS object associations?

*Who can delete ACTS object associations?

*Type:

start | Inboxes | ACTS... | ACTS... | ACTSU... | Edit a ... | 4:24 PM

Microsoft Internet Explorer - ACTS Search Menu

Address: https://lotsdev.ornl.gov/acts/Search.cfm

Home | Reporting | Instructions | Help Desk | My ACTS | Admin

ACTS Assessment & Commitment Tracking System

What type of ACTS object do you want to search?

- Search for Assessments
- Search for Conditions
- Search for Actions

Home | Reporting | Instructions | Help Desk | Software Change Requests | Disclaimer | Admin

Assessment & Commitment Tracking System (ACTS)
Oak Ridge National Laboratory - Oak Ridge, Tennessee

Local intranet | 4:01 PM

ACTS - Assessment and Commitment Tracking System (Reporting) - Microsoft Internet Explorer

Address: https://lotsdev.ornl.gov/acts/Reporting/Std_Summary/ATS_Summary-Assessment.cfm



Home | Reporting | Instructions | Help Desk | My ACTS

Assessment Summary - Criteria

Show all Assessments where:

Owner/Delegate is:

Owning Organization is:

Show only OPEN items.

Show ALL items.

Show only items with Status.

Show Associated Conditions ?

Keyword Search:

Home | Reporting | Instructions | Help Desk | Software Change Request | Disclaimer

Done Local intranet

Start | Inbox - Microsoft Ou... | ACTS - Assessme... | Eudora - [Find Messa... | Records Group Meeti... | Document11 - Micros... | 4:02 PM

ACTS - Assessment and Commitment Tracking System (Reporting) - Microsoft Internet Explorer

Address: https://lotsdev.ornl.gov/acts/Reporting/ACTS-Reporting-Main.cfm



Home | Reporting | Instructions | Help Desk | My ACTS

ACTS Reporting

Go to ACTS Number:

Owner/Delegate Reports (Custom Public)	Assessment	Condition	Action
<u>Custom Reports</u>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Custom All-in-One Report			
Public Reports			
Standard Summary Reports [Organization Specific Assignment]			
Summary for Organization by ACTS Levels	Assessment	Condition	Action
<u>ACTS Summary (Selection Criteria)</u>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<u>ACTS Type/Sub-Type Summary (Selection Criteria)</u>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<u>Open and Overdue Actions by Organization</u>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Management Reports	Directorate	Division	Group
<u>Summary by Organization</u>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
<u>Status by Organization</u>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<u>Projects (Groupings) by Organization</u>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management Reports [Organization Roll-Up]			
<u>Key Issues Report</u>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<u>Trending and Tracking Codes</u>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Done Local intranet

Start | Inbox - Microsoft Ou... | ACTS - Assessme... | Eudora - [Find Messa... | Records Group Meeti... | Document11 - Micros... | 4:01 PM

ACTS - Assessment and Commitment Tracking System (Reporting) - Microsoft Internet Explorer

Address: https://otsdev.ornl.gov/acts/Reporting/ACTS-Reporting-Main.cfm

Summary for Organization by ACTS Levels			
Assessment	Condition	Action	
ACTS Summary (Selection Criteria)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ACTS Type/Sub-Type Summary (Selection Criteria)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Open and Overdue Actions by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management Reports			
Directorate	Division	Group	
Summary by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Status by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Projects (Groupings) by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management Reports [Organization Roll-Up]			
Key Issues Report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trending and Tracking Codes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
PAAA NTS Reportable Non-Compliances (Open)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assessment Type/Sub-Type by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Condition Type/Sub-Type by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Action Type/Sub-Type by Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organizational Status/Statistics Reports			
Directorate	Division	Group	My Info
Assessments, Conditions, and Actions (Draft, Open, Closed, Overdue)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Closure Due Date Statistics	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management System Statistics Reports			
Management System	Subject Area	Program Description	
Assessments, Conditions, and Actions (Draft, Open, Closed, Overdue)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Repeat Topics/Subject Area Report			

Home | Reporting | Instructions | Help Desk | Software Change Request | Disclaimer
 Assessment and Commitment Tracking System (ACTS)
 Oak Ridge National Laboratory - Oak Ridge, Tennessee

Re-do Screen Shot

ACTS - Assessment and Commitment Tracking System (Reporting) - Microsoft Internet Explorer

Address: https://otsdev.ornl.gov/acts/Reporting/MyACTS/MyACTS-Open.cfm

Home | Reporting | Instructions | Help Desk | My ACTS

My ACTS
 My Closed ACTS Items

Assessments: 4
 Conditions: 6
 Actions: 4

Yellow are due within 7 days. Red are overdue.

Assessments

Processing	Assessment No.	Title	Owner	Delegate	Date Scheduled	Status	PAAA
Assessment Owner							
On-Time	6749	test for taz	Childs, Teresa A		09/30/2004	Draft	
On-Time	6764	taz test	Childs, Teresa A		10/29/2004	Draft	
On-Time	6756	Division Performance Assessment	Childs, Teresa A	Jones, Edith Clayton	10/30/2004	Draft	
Assessment Delegate							
OverDue	6533	RDR/Training Matrix Assessment	Jones, Edith Clayton	Childs, Teresa A	05/13/2004	Draft	

Conditions

Processing	Condition No.	Title	Owner	Delegate	Closure Due Date	Status	PAAA
Condition Owner							
On-Time	6764.1	taz test	Childs, Teresa A		10/21/2004	Draft	
On-Time	6756.2	Division Performance Assessment Test 2	Childs, Teresa A		10/29/2004	Draft	

ACTS Help Desk Home Page - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Media

Address <https://otsdev.ornl.gov/acts/HelpDesk/HelpHome.cfm> Go Links



[Home](#) | [Reporting](#) | [Instructions](#) | [Help Desk](#) | [My ACTS](#) | [Admin](#)

ACTS problems, questions, comments, or suggestions for improvement (this includes both ACTS content and the related information system) should be directed to:
ACTS Help Desk

"OR"

Contact the ACTS Administrator, Kat Eldridge
Phone: (865) 574-1726
Email: eldridgekw@ornl.gov

[Home](#) | [Reporting](#) | [Instructions](#) | [Help Desk](#) | [Software Change Requests](#) | [Disclaimer](#) | [Admin](#)

Assessment & Commitment Tracking System (ACTS)
Oak Ridge National Laboratory - Oak Ridge, Tennessee

Done Local intranet

Start [Inbox - Microsoft Ou...](#) [ACTS Help Desk H...](#) [Eudora - \[Find Messa...](#) [Records Group Meeti...](#) [ACTSUsersGuide.doc...](#) 4:03 PM

Filename: (Diana's) ACTS Users Guide Final 3-29-05 (3).doc
Directory: C:\ACTS\Training
Template: C:\Documents and Settings\kwe\Application
Data\Microsoft\Templates\Normal.dot
Title:
Subject:
Author: ELDRIDGEKW
Keywords:
Comments:
Creation Date: 4/6/2005 10:30:00 AM
Change Number: 2
Last Saved On: 4/6/2005 10:30:00 AM
Last Saved By: ELDRIDGEKW
Total Editing Time: 1 Minute
Last Printed On: 5/16/2005 9:33:00 AM
As of Last Complete Printing
Number of Pages: 30
Number of Words: 7,008 (approx.)
Number of Characters: 41,072 (approx.)