

# ORO CONTROL FORM - FINAL DIRECTIVE

**PART A** (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 220, Chapter XI, OAK RIDGE OPERATIONS ASSESSMENT PROGRAM**

2. **PURPOSE OF TRANSMITTAL:**  New Directive  Revised Directive

3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:**

(Check appropriate boxes)

No (all contractors)

Yes If yes, whom?  Bechtel Jacobs Co.  ORAU  UT-Battelle

Other contractors (list by type)

*Many ORO contractors have approved Standards/Requirements Identification Documents (S/RIDs) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impacts?  No  Yes  
If yes, describe: This is a new Chapter in the ORO O 220 Series which cancels and replaces ORO O 450, Chapter VI, ORO ASSESSMENT PROGRAM, dated December 31, 2002.

5. **CONTACT POINT:** Brenda L. Hawks Assessment & Emergency Mgt. Div., SE-32 576-2503  
Name Organization Telephone

**PART B** (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO Control Form	12/31/2002	ORO Control Form	06/01/2004
ORO O 450, Ch. VI	12/31/2002	ORO O 220, Ch. XI	06/01/2004

*ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm). The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:**

*Original Signed By*  
Wayne H. Albaugh 06/01/2004  
Signature: DMG Team Leader, AD-440 Date

**INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED**

Rev. 11/06/2003

# NNSA/YSO CONTROL FORM – FINAL DIRECTIVE

## PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

### DIRECTIVE NUMBER, TITLE, AND DATE:

**ORO O 220, CHAPTER XI, OAK RIDGE OPERATIONS ASSESSMENT PROGRAM, dated 06/01/2004**

PURPOSE OF TRANSMITTAL:  New Directive  Revised Directive

DOES THIS DIRECTIVE CANCEL/REPLACE OR EXTEND ANY OTHER DIRECTIVES?  Yes  No  
If "Yes," list what action (cancel/replace or extend) and list the Directive(s), including the number(s), title(s), and date(s):

This Directive cancels and replaces ORO O 450, Chapter VI, ORO ASSESSMENT PROGRAM, dated 12/31/2002.

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by **06/16/2004**.

## PART B (To be completed by the NNSA Y-12 SITE OFFICE, Y12-01):

### CONTRACTOR APPLICABILITY:

Does this Directive affect the work performed by BWXT Y-12, L.L.C.?  Yes  No

Does this Directive affect the work performed by BWXT Y-12, L.L.C., subcontractors?  Yes  No

If "Yes," list the subcontractors:

*Many contractors have approved Standards/Requirements Identification Documents (S/RID) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this Directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

SIGNIFICANT PROVISIONS: Are there any significant changes or impacts?  Yes  No

List summary of Directive changes and, if "Yes" above, describe the significant changes or impacts:

IMPLEMENTATION: Does the Directive contain special implementation requirements and/or dates?  Yes  No

If "Yes," describe:

### FOR DOE DIRECTIVE – SUPPLEMENTAL DIRECTIVE REQUIRED?

Is a new or revised supplemental Directive required?  Yes  No

If "Yes," target date for submission of YSO Directive is \_\_\_\_\_.

IDENTIFY CONTACT POINT: Diane McCarten 576-9330  
Name Telephone

APPROVED BY COR FOR DIRECTIVES: Diane McCarten 06/04/2004 576-9330  
Signature Date Telephone

## PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

*DOE Directives are available on the DOE Directives Portal at <http://www.directives.doe.gov/>. ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/roe/roe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/roe/roe_oro_dmg/oro_dir.htm). Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

### APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Wayne H. Albaugh, AD-440 06/09/2004  
Name Date

**INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED.**

(Revised 11/06/2003)

# U.S. Department of Energy

Oak Ridge Operations

ORO O 220  
Chapter XI

Date: 06/01/2004

## SUBJECT: OAK RIDGE OPERATIONS ASSESSMENT PROGRAM

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1. PURPOSE. This Chapter describes the process for implementing the Oak Ridge Operations (ORO) Assessment Program. The ORO Assessment Program's objective is to meet Department of Energy (DOE) Directive requirements and assign responsibilities for performance of assessments and related activities. Assessments are intended to focus on performance and effectiveness, as well as compliance with requirements. ORO personnel conduct various types of assessments.
2. CANCELLATION. This Chapter cancels and replaces ORO O 450, Chapter VI, ORO ASSESSMENT PROGRAM, dated December 31, 2002.
3. APPLICABILITY. The provisions of this Chapter apply to ORO Principal Staff.
4. RESPONSIBILITIES.
  - a. Manager, ORO.
    - (1) Establishes ORO assessment policy (see Attachment 1).
    - (2) Ensures that appropriate processes are in place to oversee effective execution of mission activities and implementation of requirements.
    - (3) Ensures that line management develops effective, documented programs for conducting oversight assessments of their contractors' programs.
    - (4) Ensures the development of Corrective Action Plans (CAPs) consistent with Departmental expectations and submits CAPs to the appropriate DOE Headquarters (HQ) offices for approval or approves CAPs if approval authority has been delegated, as required.
    - (5) Approves and issues the ORO Annual Integrated Assessment Schedule and quarterly updates, as required.
    - (6) Approves and issues the ORO Three-Year Assessment Plan prior to the start of the fiscal year and annually updates, as required.
    - (7) Requests independent assessments to be conducted of ORO and contractor activities, as necessary, and includes them on the ORO Annual Integrated Assessment Schedule.

- b. Line Organizations (Office of Assistant Manager for Laboratories, Offices of Assistant Manager for Environmental Management and Assets Utilization, and the Office of Nuclear Fuel Security and Uranium Technology).
- (1) Ensure that programs and processes are in place to assess contractor performance.
  - (2) Coordinate ORO's responses to information requests from DOE HQ (e.g., Office of Independent Oversight and Performance Assurance) and external elements.
  - (3) Ensure each organization's implementation of requirements via a documented self-assessment program.
  - (4) Ensure that an organizational assessment plan is developed to identify assessment commitments for the upcoming three fiscal years to ensure that required assessments are performed. The organization's assessment plan information shall be submitted to the ORO Manager to be included in the Three-Year Assessment Plan. The Three-Year Assessment Plan is updated, as required, prior to the start of the fiscal year.
  - (5) Ensure that the organizational assessment schedule is developed to identify upcoming assessments for the fiscal year. Formal assessments (including external assessments) shall be submitted to the ORO Manager to be included in the ORO Annual Integrated Assessment Schedule, which is updated quarterly, as required.
  - (6) Ensure that key assessment information (i.e., title, type, team leader, date, final report, etc.), findings, corrective actions, and noteworthy practices are documented and entered into the Oak Ridge Issues, Open Items, Nonconformances System (ORION2) for assessments.
  - (7) Ensure that corrective actions for issues identified are tracked to closure, issues are trended, and performance measures are established to support continuous improvement.
  - (8) Ensure that Federal staff and contractors prepare and submit CAPs consistent with Departmental expectations.
  - (9) Performs effectiveness reviews of CAP implementation, as appropriate.
  - (10) Ensure the qualifications and independence of assessment team members who perform independent assessments of the contractor.
- c. Support Organizations (Offices of Assistant Managers for Administration; Environment, Safety, Health, and Emergency Management (AMESH); and Financial Management; and the Offices of Chief Counsel, Partnerships and Program Development, Public Affairs Office, and Diversity Programs and Employee Concerns).
- (1) Ensure each effective implementation of requirements via a documented self-assessment program.
  - (2) Ensure that an organizational assessment plan is developed to identify assessment commitments for the upcoming three fiscal years to ensure that required assessments are performed. The organization's assessment plan information shall be submitted to the

ORO Manager to be included in the Three-Year Assessment Plan. The Three-Year Assessment Plan is updated, as required, prior to the start of the fiscal year.

- (3) Ensure that organizational assessment schedule is developed to identify upcoming assessments for the fiscal year. Formal assessments (including external assessments) shall be submitted to the ORO Manager to be included in the ORO Annual Integrated Assessment Schedule, which is updated quarterly, as required.
- (4) Ensure that key assessment information (i.e., title, type, team leader, date, final report, etc.), findings, corrective actions, and noteworthy practices are documented and entered into ORION2 for all assessments.
- (5) Ensure that corrective actions for issues identified are tracked to closure, issues are trended, and performance measures are established to support continuous improvement.
- (6) Provide recommended independent assessment areas to the ORO Manager for approval prior to the issuance of the ORO Annual Integrated Assessment Schedule, as appropriate.
- (7) Conduct management/functional assessments of contractors' systems, as required.

#### 5. REQUIREMENTS AND PROCEDURES.

- a. Prior to the start of the fiscal year, line and support organizations identify and document their assessments for the upcoming fiscal year in their organization's annual assessment plan.
- b. Line and support organizations shall submit updated information to the ORO Manager to be included in the ORO Annual Integrated Assessment Schedule and the Three-Year Assessment Plan. The ORO Annual Integrated Assessment Schedule is updated quarterly, as required, and the Three-Year Assessment Plan is updated annually, as required (see Attachment 2).
- c. Line and support organizations shall input key information, as required, into ORION2 or other formally recognized Headquarters corrective action system (e.g. Corrective Action Tracking Systems [CATS] and the Department Audit Report Tracking System [DARTS]).
- d. ORO organizations shall conduct formal assessments in accordance with the "ORO Assessment Guide for Planning and Conducting Assessments" (see Attachment 3) or other formally documented assessment programs which meet or exceed the guide.
- e. ORION2 shall be the primary assessment tracking mechanism used by ORO organizations, since ORION2 provides issues and corrective action tracking, trending, reporting, and data reliability for ORO in one consolidated system.

#### 6. REFERENCES.

- a. Title 29, Code of Federal Regulations, Part 1960, BASIC PROGRAM ELEMENTS FOR FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAMS AND RELATED MATTERS, dated July 1, 2001.
- b. DOE O 151.1B, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, dated October 29, 2003.

- c. DOE N 203.1, SOFTWARE QUALITY ASSURANCE, dated October 2, 2000.
- d. DOE O 414.1A Change 1, QUALITY ASSURANCE, dated July 12, 2001.
- e. DOE G 414.1-1A, MANAGEMENT ASSESSMENT AND INDEPENDENT ASSESSMENT GUIDE, dated May 31, 2001.
- f. DOE O 440.1A, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, dated March 27, 1998.
- g. DOE O 470.2B, INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM, dated October 31, 2002.
- h. ORO M 100, Chapter I, Change 3, ORO MANAGEMENT SYSTEM DESCRIPTION, dated June 1, 2004, and any subsequent revisions.
- i. ORO O 220, Chapter IX, Change 3, AUDITING OF PROGRAMS AND OPERATIONS, dated September 19, 2003, and any subsequent revisions.
- j. ORO O 410, Chapter III, Change 3, QUALITY ASSURANCE, dated February 24, 2003, and any subsequent revisions.

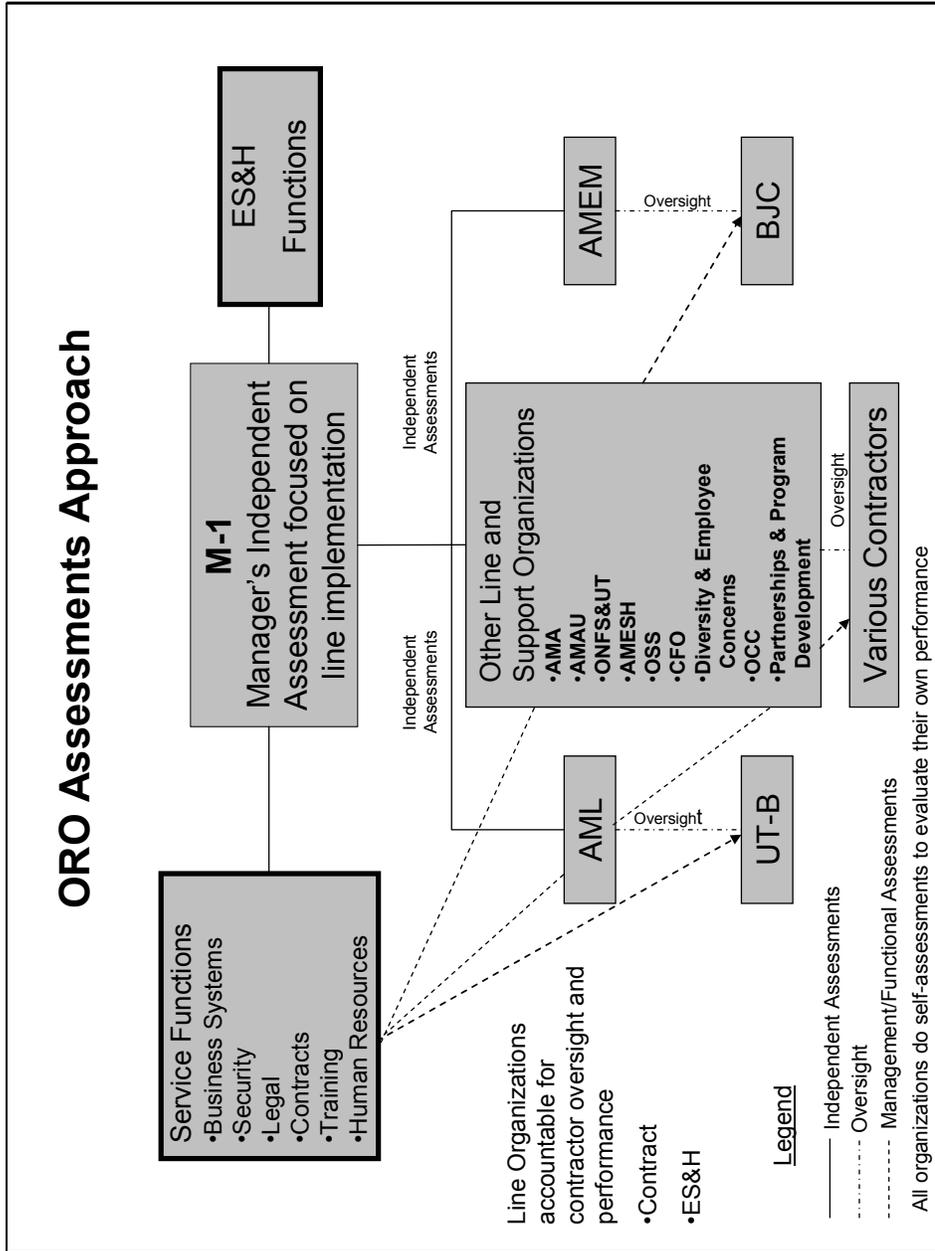
7. DEFINITIONS.

- a. **ANNUAL INTEGRATED ASSESSMENT SCHEDULE.** This schedule is developed prior to the start of each fiscal year and updated at least quarterly, as required, to ensure up-to-date information. The assessments listed on the schedule are the “low volume/high threshold” assessments that ORO senior management has determined to be important. Criteria such as a “high profile” as determined by the cognizant manager (e.g., for-cause reviews, problem data points, Headquarters [HQ] requests, etc.), broad possible implications for ORO, legal/regulatory vulnerabilities, external reviews, and assessments requested by the ORO Manager are used to determine if the assessment is considered a formal assessment that should be included on the Annual Integrated Assessment Schedule.
- b. **ASSESSMENT.** The act of reviewing, evaluating, inspecting, testing, checking, performing surveillance, auditing, or otherwise determining and documenting whether items, processes, or systems meet specified requirements and are performing effectively. Assessments include but are not limited to External Assessments, Independent Assessments, Oversight Assessments, Management/Functional Assessments, and Self-Assessments. Assessments can be formal or informal. Formal assessments must have a formal report documenting the assessment. The assessment can be conducted in accordance with this guide or other formally documented assessment program that meets or exceeds the requirements depicted in this guide.
- c. **ASSESSMENT TEAM LEADER.** An individual who leads the assessment and ensures that personnel performing technical assessments possess suitable qualifications commensurate with the nature and type of assessment to be conducted. Assessments are led by qualified person(s), normally using a Review Plan approved by the responsible manager.
- d. **FINDINGS.** Noncompliances with contractual or regulatory requirements identified during an assessment. Other terms that mean essentially the same thing and can be used interchangeably are Issues, Deficiencies, and Opportunities for Improvement.

- e. **FOR-CAUSE REVIEW.** Unplanned assessment in response to any condition, incident, or trend that poses or may pose an imminent danger to people, property, the environment, or the operational integrity of a facility within the ORO complex or as requested by the Manager, line management, or other authorized program personnel. The chartering official will appoint the Assessment Team Leader, as a minimum, and may appoint the members of the team.
- f. **INDEPENDENT ASSESSMENTS.** These reviews are conducted of the line and support organizations and activities on behalf of and at the discretion of the ORO Manager, but they may also include a review of the contractor(s) program. For-cause reviews are a type of independent assessment. Independent assessments, except for-cause reviews, are scheduled and conducted to measure item and service quality, to measure the adequacy of work performance, and to promote improvement. Persons performing independent assessments must have sufficient authority and freedom from the line management. “Freedom from the line management organization” means that the reviewers are not directly associated with the cost/budget, management, oversight, or scheduling of the activity/facility being assessed. Persons conducting independent assessments must be technically qualified and knowledgeable in the areas being assessed.
- g. **MANAGEMENT/FUNCTIONAL ASSESSMENTS.** These reviews are conducted of the contractor’s management/functional systems (e.g., business systems) to ensure that contractual requirements are being met. Management/functional assessments are performed by the support organization that has cognizance of that service function as defined in ORO M 100, MANAGEMENT SYSTEM DESCRIPTION.
- h. **NOTEWORTHY PRACTICE.** A positive statement that highlights good practices, well-written procedures, or other positive aspects of a program that could be used as a model for other similar programs across the DOE complex. Terms that mean essentially the same thing are Proficiency and Strength.
- i. **OBSERVATION.** Observations are negative. An observation can be used to point out needed (but not required) program improvements. Observations are also deviations from best management practices or minor deviations from procedural requirements that are isolated and considered to be a “quick fix.”
- j. **OVERSIGHT ASSESSMENTS.** These reviews are conducted of a contractor by the line management organization that is responsible for ensuring the contractor is meeting the intent and requirements of the contract.
- k. **SELF-ASSESSMENT.** These reviews are conducted by an organization of itself to ensure effective implementation of requirements.
- l. **SUPPORT ORGANIZATION.** These are ORO organizations that are not considered to be line management and which do not normally have direct responsibility for oversight of contractors, such as the AMESH, the Assistant Manager for Administration, the Assistant Manager for Financial Management, the Office of Safeguards and Security, etc.
- m. **THREE-YEAR ASSESSMENT PLAN.** This plan is a high-level scoping document that identifies the assessment commitments for the upcoming three fiscal years to ensure all required assessment are performed. The Three-Year Assessment Plan is updated annually, prior to the start of the fiscal year.

8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
9. ATTACHMENTS.
  - a. Attachment 1 – ORO Assessment Program Flowchart.
  - b. Attachment 2 – Format for the ORO Annual Integrated Assessment Schedule.
  - c. Attachment 3 – ORO Assessment Guide for Planning and Conducting Assessments.

ORO ASSESSMENT PROGRAM FLOWCHART



## FORMAT FOR THE ORO ANNUAL INTEGRATED ASSESSMENT SCHEDULE

Provide updates to the Oak Ridge Operations Annual Integrated Assessment Schedule in an Excel file with the following fields:

**Subject** – The subject or title of the assessment (e.g., Nuclear Criticality Safety Program Review).

**Assessment Type** – Enter the type of review as it is identified in your organization. Examples used by ORO organizations include Program Assessment, Effectiveness Review, External Review, and Management/Self-Assessment.

**Assessment Category** – Enter one of the following:

- External Assessment
- Functional Assessment
- Independent Assessment
- Oversight Assessment
- Self-Assessment

**Driver** – Enter the Department of Energy Directive, regulation, contract clause identifier, or other reason the assessment is being performed.

**Org. Assessing** – Enter the name of the organization that is performing the assessment (e.g., your organization, an Headquarters organization, an external organization such as the Tennessee Department of Environment and Conservation, etc.).

**Org. Being Assessed** – Enter the name of the organization on which the assessment is being performed (i.e., your organization name for a self-assessment or the name of the contractor being assessed).

**Estimated Start Date** – The date (month/day/year) that the assessment is expected to start.

**Estimated Duration** – Enter the number of days, weeks, or months the assessment is expected to take (e.g., 3 days, 2 weeks, 4 months).

**Estimated Complete Date** – This is the date the report is expected to be issued. Usually, the Estimated Complete Date is the start date plus the duration plus one week to write the report.

**Status** – If the assessment has not been performed yet and the estimated start date has not passed, leave this field blank. If the assessment has been completed, enter “Completed” in this field. If the assessment has been canceled or deferred, enter that status in this field. If the assessment has been postponed, enter the updated information in the Estimated Start Date, Estimated Duration, and Estimated Completion Date fields and enter “Postponed” in the Status field.

# **U.S. Department of Energy Oak Ridge Operations Office**



## **ORO ASSESSMENT GUIDE**

**FOR**

## **PLANNING AND CONDUCTING ASSESSMENTS**

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## 1.0 **PURPOSE AND SCOPE.**

This guide describes the minimum expectations for planning and conducting assessments for the U.S. Department of Energy (DOE) Oak Ridge Operations Office (ORO) Assessment Program. Assessments are intended to focus on performance and effectiveness in addition to simple compliance with requirements. ORO conducts various types of assessments. Independent assessments are conducted on behalf of and at the discretion of the Manager. They are assessments of the line and support organizations and their activities and may also include a review of the contractor(s) programs. The line/program organizations and support organizations are responsible for conducting self-assessments of themselves. Management/functional assessments are conducted by support organizations that have cognizance of that service function as defined in ORO M 110, *ORO Management System Description (MSD)*, to ensure contractual requirements are being met. Oversight assessments are conducted by the line organization responsible for ensuring the contractor is meeting the intent and requirements of the contract.

## 2.0 **REFERENCES.**

- DOE O 414.1A, Change 1, QUALITY ASSURANCE, dated July 12, 2001.
- DOE O 413.1A, MANAGEMENT CONTROL PROGRAM, dated April 18, 2002.
- DOE P 450.5, LINE ENVIRONMENT, SAFETY, AND HEALTH OVERSIGHT, dated June 26, 1997.
- ORO M 100, Chapter 1, Change 3, ORO MANAGEMENT SYSTEM DESCRIPTION, dated June 1, 2004, and any subsequent revisions.
- ORO O 220, Chapter VII, Change 3, AUDIT RESOLUTION AND FOLLOWUP, dated June 25, 2003, and any subsequent revisions.
- ORO O 220, Chapter IX, Change 3, AUDITING OF PROGRAMS AND OPERATIONS, dated September 19, 2003, and any subsequent revisions.
- ORO O 410, Chapter III, Change 3, QUALITY ASSURANCE, dated February 24, 2003, and any subsequent revisions.
- ORO O 410, Chapter IV, Change 2, MANAGEMENT CONTROL PROGRAM, dated October 24, 2002, and any subsequent revisions.

### 3.0 LIST OF APPENDIXES.

- Appendix A: Items to be Considered when Determining Program Elements to be Assessed.
- Appendix B: Assessment Personnel Duties.
- Appendix C: Example Assessment Form/Short Report.
- Appendix D: Example Assessment Report Format.

### 4.0 ACRONYMS AND DEFINITIONS.

This guide uses the following acronyms and definitions:

- **ANNUAL INTEGRATED ASSESSMENT SCHEDULE.** This schedule is developed prior to the start of each fiscal year and updated at least quarterly, as required, to ensure up-to-date information. The assessments listed on the schedule are the “low volume/high threshold” assessments that ORO senior management has determined to be important. Criteria such as a “high profile” as determined by the cognizant manager (e.g., for-cause reviews, problem data points, Headquarters [HQ] requests, etc.), broad possible implications for ORO, legal/regulatory vulnerabilities, external reviews, and assessments requested by the ORO Manager are used to determine if the assessment is considered a formal assessment that should be included on the Annual Integrated Assessment Schedule.
- **ASSESSMENT.** The act of reviewing, evaluating, inspecting, testing, checking, performing surveillance, auditing, or otherwise determining and documenting whether items, processes, or systems meet specified requirements and are performing effectively. Assessments include but are not limited to External Assessments, Independent Assessments, Oversight Assessments, Management/Functional Assessments, and Self-Assessments. Assessments can be formal or informal. Formal assessments must have a formal report documenting the assessment. The assessment can be conducted in accordance with this guide or other formally documented assessment program that meets or exceeds the requirements depicted in this guide.
- **ASSESSMENT TEAM LEADER.** An individual who ensures that personnel performing technical assessments possess suitable qualifications commensurate with the nature and type of assessment to be conducted. Assessments are led by qualified person(s), normally using a Review Plan approved by the responsible manager. (See Paragraph 6.1.2 for more information on the duties of an Assessment Team Leader.)
- **FINDINGS.** Noncompliances with contractual or regulatory requirements identified during an assessment. Other terms that mean essentially the same thing and can be used interchangeably are Issues, Deficiencies, and Opportunities for Improvement.
- **FOR-CAUSE REVIEWS.** These reviews are unscheduled assessments in response to any condition, incident, or trend that poses or may pose an imminent danger to people, property, the environment, or the operational integrity of a facility within the ORO complex or as

requested by the Manager, line management, or other authorized program personnel. The chartering official appoints the Assessment Team Leader, as a minimum, and may appoint the members of the team.

- **INDEPENDENT ASSESSMENTS.** These reviews are conducted of the line and support organizations and activities on behalf of and at the discretion of the ORO Manager, but they may also include a review of the contractor(s) program. For-cause reviews are a type of independent assessment. Independent assessments, except for-cause reviews, are scheduled and conducted to measure item and service quality, to measure the adequacy of work performance, and to promote improvement. Persons performing independent assessments must have sufficient authority and freedom from the line management. “Freedom from the line management organization” means that the reviewers are not directly associated with the cost/budget, management, oversight, or scheduling of the activity/facility being assessed. Persons conducting independent assessments must be technically qualified and knowledgeable in the areas being assessed.
- **MANAGEMENT/FUNCTIONAL ASSESSMENTS.** These reviews are conducted of the contractor’s management/functional systems (e.g., business systems) to ensure that contractual requirements are being met. Management/functional assessments are performed by the support organization that has cognizance of that service function as defined in the MSD.
- **NOTEWORTHY PRACTICE.** A positive statement that highlights good practices, well-written procedures, or other positive aspects of a program that could be used as a model for other similar programs across the DOE complex. Terms that mean essentially the same thing are Proficiency and Strength.
- **OBSERVATION.** Observations are negative. An observation can be used to point out needed (but not required) program improvements. Observations are also deviations from best management practices or minor deviations from procedural requirements that are isolated and considered to be a “quick fix.”
- **OVERSIGHT ASSESSMENTS.** These reviews are conducted of a contractor by the line management responsible for ensuring the contractor is meeting the intent and requirements of the contract.
- **SELF-ASSESSMENT.** These reviews are conducted by an organization of itself to ensure effective implementation of requirements.
- **SUPPORT ORGANIZATION.** These are ORO organizations that are not considered to be line management and which do not normally have direct responsibility for oversight of contractors, such as the Assistant Manager for Environment, Safety, Health, and Emergency Management; the Assistant Manager for Administration; the Assistant Manager for Financial Management; and the Office of Safeguards and Security, etc.

- **THREE-YEAR ASSESSMENT PLAN.** This plan is a high-level scoping document that identifies the assessment commitments for the upcoming three fiscal years to ensure all required assessment are performed. The Three-Year Assessment Plan is evaluated at least annually, prior to the start of the fiscal year to ensure that it is up-to-date.

## 5.0 **TRAINING AND QUALIFICATION.**

Staff selected to be Assessment Team Leaders or Assessors for specific assessments should have experience or training commensurate with the scope, complexity, or special nature of the activities to be assessed. For independent assessments, the Assessment Team Leader and Assessors should be independent of any direct responsibility for the performance of the activities which they assess.

Prospective Assessment Team Leaders and Assessors should have verifiable evidence that education and experience have been accumulated as outlined below.

- Education – A bachelor’s degree or higher level degree from an accredited institution in engineering, physical sciences, mathematics, quality assurance, environmental or business management, or accounting, as pertinent for the review.
- Experience – Technical experience in engineering, manufacturing, construction, operation, maintenance, research, safety, management, environmental, quality assurance, accounting, safeguards and security, or assessment/auditing.
- Other Credentials of Professional Competence (when appropriate) – Certification of competency in engineering, science, accounting, or quality assurance specialties issued and approved by a state agency or national professional or technical society.
- The capability to communicate effectively both in writing and verbally.
- Training in assessment/auditing techniques/methods.

**NOTE:** The requesting manager may consider other performance factors applicable to conducting assessments that may not be explicitly called out in this guide. Examples of these factors are interpersonal skills, leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and quality assurance or accident investigation training courses. The requesting manager may waive specified education and/or experience requirement with documented justification, such as years of work experience in the subject area or other credentials as stated above. In addition, the requesting manager may select someone as the Assessment Team Leader based on demonstrated proficiency in leading reviews rather than expertise in a particular subject area.

Assessment Team Leaders ensure that personnel performing technical assessments possess suitable qualifications commensurate with the nature and type of assessment to be conducted.

Assessment Team Leaders ensure that assessment personnel are briefed on the Review Plan, if applicable, as well as the contents of this guide prior to commencing the assessment activities.

**NOTE:** The requesting manager relies on the training and experience of assessment personnel in the specific areas being assessed as the basis for ensuring suitable qualification. Assessment personnel with little knowledge and experience in the subject area may be teamed with or obtain guidance from more experienced personnel. Assessment guidance contained in DOE Directives/Standards, ORO Directives, contractor operating procedures, or other requirements documentation should be used, as necessary, depending on the individual's experience level.

## **6.0 PROCEDURE.**

### **6.1 CONDUCT OF ASSESSMENTS.**

6.1.1 The Assessment Team Leader is appointed by the responsible manager with sufficient time to ensure proper coordination and planning.

6.1.2 The Assessment Team Leader plans the overall assessment. Duties normally include the following:

**NOTE:** Not all duties listed below are required for every type of assessment.

- A. Obtain input and assistance from other organizations.
- B. Assemble an assessment team.
- C. Develop a Review Plan and obtain concurrence from the responsible manager.
- D. Identify the appropriate point of contact in the organization being assessed.
- E. Make arrangements with the requestor and points of contacts for the organization to be assessed to confirm the planned assessment dates and to ensure that proper personnel will be available. Make arrangements for offices and computer equipment/printers for the team, meeting and interview rooms, office supplies, and administrative support.
- F. Determine the requirements for entering the necessary facilities (e.g., radiological, training, and security), and ensure that all access requirements are met prior to the start of the fieldwork.
- G. Obtain input from any associated subject matter expert(s) on previously observed weaknesses and areas of information or concern.
- H. Determine the probable length of time required for the assessment fieldwork.

- I. Develop lines of inquiry from defined assessment criteria that may exist in DOE/ORO Directives and additional sources (see Appendix A).
- J. Prior to conducting the assessment, ensure that the scope and schedule of the assessment are communicated to assessment team members and others, as appropriate. The appropriate method for communicating this information (e.g., meeting, writing, telephoning) is at the discretion of the Assessment Team Leader.
- K. Work with the assessed organization to ensure the assessment status is documented in the Oak Ridge Issues, Open Items, Nonconformances System (ORION2).

6.1.3 Assessment Team Leaders manage the conduct of the assessment. In performing assessments, assessment personnel do not replace or substitute for line management. Assessment Team Leaders must conduct themselves in a manner that does not permit the appearance of absolving the assessed organization from compliance with established programs or procedures.

6.1.4 Assessment Leaders keep appropriate DOE line and support organization management informed of ongoing assessment results.

6.1.5 Assessment personnel interface with operations personnel while conducting assessments to understand the system, program, or facility being assessed as official representatives of DOE, exercising authority consistent with DOE's program and management guidance and in a manner that is objective, factual, formal, and nonconfrontational. Special care must be taken to ensure that field observation activities do not interfere with the normal conduct of operations or alter the performance of these operations.

6.1.6 Assessment personnel do not operate facility equipment or instrumentation under any circumstances. In addition, all assessment personnel should comply with appropriate facility/site safety requirements.

6.1.7 Assessment teams inspect and observe, collect facts, assess the facility against requirements and performance in accordance with the Assessment Plan, and document potential noteworthy practices and findings (see Appendix B for the duties of assessment personnel).

## **6.2 REPORTING ASSESSMENT RESULTS.**

6.2.1 Assessment Team Leaders ensure that assessment results are documented in a timely manner via an Assessment Report. Examples are shown in Appendixes C and D.

- 6.2.2. Assessment Team Leaders ensure that immediate notification is provided to the cognizant DOE manager and the contractor's senior management if operating requirements and required actions are not within limits, if a significant occupational safety and health regulation noncompliance is identified, or if unmitigated hazards are identified.

**NOTE:** These instructions provide the minimum recommended reporting guidelines. Individual organizations may choose to add other reporting/communication processes. Appendixes C and D provide examples of report formats and suggested content.

### **6.3 TRACKING AND TRENDING OF ASSESSMENTS AND ASSESSMENT RESULTS.**

- 6.3.1 The assessed ORO organization (for Federal reviews) or line management (for contractor reviews) ensures that final assessment information which is not tracked by a formally recognized HQ corrective action tracking system, such as the Corrective Action Tracking System (CATS) and the Departmental Audit Report Tracking System (DARTS), is captured in ORION2 (i.e., complete the screens for the Review, the Assessment Report, the Corrective Action Plan (CAP), the Issues, and the Actions). ORION2 is the formal tracking system used by ORO.
- 6.3.2 Line management tracks findings against the contractor to closure. The Assistant Manager or Division Director of the assessed Federal organization tracks the assessment to closure in ORION2.

### **6.4 FINDINGS CLOSURE.**

Line management is responsible for ensuring that findings against the contractor are closed and objective evidence of closure is maintained (either by the contractor or by the line organization). The Assistant Manager or Division Director of the assessed Federal organization is responsible for ensuring that corrective actions are developed to address the findings against the ORO organization and objective evidence of closure is maintained.

### **7.0 RECORDS.**

The following records generated by an assessment, as applicable, should be maintained:

- Assessment Team Leader qualification/certification documentation;
- Assessment personnel qualifications documentation;
- Written request for the assessment (e-mail message or memorandum);
- Review Plan;
- Assessment Report;
- Original field notes, as appropriate; and/or
- Other documents and evidence, as appropriate.

**ITEMS TO BE CONSIDERED WHEN DETERMINING  
PROGRAM ELEMENTS TO BE ASSESSED**

Assessment Team Leaders should consider the following when determining the program elements to be assessed:

1. Contractual requirements
2. Past deficiencies and corrective actions
3. Implementation of corrective actions
4. Results of other assessments including external assessments, evaluations, or events (e.g., investigation reports, implementation of lessons learned items, causal analysis, effectiveness reviews, reportable occurrences, etc.)
5. Past and current management issues
6. Additional considerations for support service organizations:
  - a. Identification of customers
  - b. Identification of customer requirements
  - c. Alignment of processes with key business drivers
  - d. Establishment of customer service standards
7. Potential risk to workers, the public, and the environment
8. Conditions indicative of known or suspected noncompliance
9. Special interests or priorities (e.g., request from HQ, upcoming external audits, etc.)
10. Investigation report topics
11. Lessons learned item(s)
12. Areas for which little information is available or documented (e.g., areas that have not been previously reviewed)
13. Negative trends
14. Contractor internal assessment data
15. Current or past management issues
16. Annual Operating Plan and Award Fee milestones
17. Available time and resources
18. Time since element was last assessed
19. Significant changes in the element (personnel, procedures, system, etc.)
20. Cost, risk, schedule, etc.

## ASSESSMENT PERSONNEL DUTIES

Assessment personnel inspect and observe, conduct interviews, collect facts, assess the facility against requirements and performance in accordance with the Review Plan, and document potential noteworthy practices, findings, and observations. Although much of a programmatic technical assessment may consist of a roll-up of facility-specific technical assessments, it is expected that normally some amount of fieldwork will still be conducted to supplement or verify the facility-specific data. In some cases, the assessment personnel may have acquired sufficient knowledge through routine fieldwork conducted to maintain operational awareness and so may not need to conduct additional fieldwork as part of the assessment.

The duties of assessment personnel usually include the following:

- A. Conduct a performance-based assessment. Assessment techniques include but are not limited to the following:
  - 1. Observation of process evolutions and drills
  - 2. Walkdown of systems
  - 3. Observation of facility conditions and cleanliness
  - 4. Observation of adherence to established procedures and schedules
  - 5. Inspection of equipment and observation of maintenance evolutions
  - 6. Interview of appropriate personnel
  - 7. Review of documents to support performance-based assessments, such as the following:
    - a. Logs and program records
    - b. Personnel training and qualification records
- B. For programmatic assessments, review and discuss the following, as applicable.

**NOTE:** Appendix A provides a list of items to be considered when determining the program elements to be assessed.

  - 1. Results from facility-specific assessments of program elements
  - 2. The contractor's applicable site-level implementing policies and procedures
  - 3. Criteria identified in an annual assessment plan for site-level assessment of the program element
- C. Evaluate activities beyond the scope of the lines of inquiry, as necessary, to address the problem areas observed.

- D. Use a systematic method to record information obtained during interviews. Information may be recorded as field notes or, more formally, on prepared forms, a personal data assistant, or a voice recorder (if the latter are permitted in the facility).
- E. Document the assessment results (including noteworthy practices, findings, and observations) using a form similar to Appendix C or its equivalent.
- F. Identify any common factors that contribute to multiple findings or observations.
- G. Compare the conclusions against those in the contractor's self-assessments to credit the contractor for self-identified findings and to evaluate the contractor's self-assessment program.
- H. Suspend assessment activities if hazards are identified that result in a work stoppage. Assessment activity may continue once mitigating actions are implemented.
- I. Use established field observation techniques, including the following:
  - 1. Take detailed notes and records of observed activities, including the objective evidence obtained or reviewed and the date and time of the observed activities.
  - 2. Record the time notes were taken to correlate contractor responses and personnel actions identified by other observers.
  - 3. Include questions, items, and reference information in notes for later follow-up.
  - 4. Compare notes with other observers to share information.
- J. Use proven questioning techniques, such as the following:
  - 1. Encourage respondents to answer questions fully without answering for them.
  - 2. State questions so that they require an explanation; for example, "How do you perform . . . and why"; "When does . . ."; "Who is responsible for . . ."; "Where are the . . ."
  - 3. Limit the use of direct questions (requiring yes or no) to investigating unclear replies or problem areas.
  - 4. Request the respondent provide supporting evidence for answers; for example, "Show me where . . ."
- K. Report any incident of contractor uncooperativeness, personal injury, or out-of-the-ordinary observations to their immediate supervisor and the DOE line manager responsible for the facility.

**EXAMPLE ASSESSMENT FORM/SHORT REPORT**

<b>ASSESSMENT FORM/REPORT</b>	
Date: _____	
Prepared by: _____	
SITE/OFFICE/PROGRAM: _____ REQUESTED BY: _____ [name, job function]	
FACILITY/ACTIVITY ASSESSED (List individual elements assessed.):	
CRITERION:	
DOCUMENTS REVIEWED:	PERSONNEL CONTACTED: [name, job function]
SUMMARY OF ASSESSMENT RESULTS	
NOTEWORTHY PRACTICES, FINDINGS, AND OBSERVATIONS	
RECOMMENDATIONS/POTENTIAL OPTIONS FOR RESOLVING IDENTIFIED FINDINGS (optional)	

## EXAMPLE REPORT FORMAT



### Oak Ridge Operations Office

**Title of Report**

**Date**

\_\_\_\_\_  
Name of Assessment Team Member

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Assessment Team Member

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Assessment Team Member

\_\_\_\_\_  
Date

Approved By:

\_\_\_\_\_  
Name of Assessment Team Leader

\_\_\_\_\_  
Date

## **EXECUTIVE SUMMARY**

This summary is a brief synopsis of what the assessment/investigation was and why it was performed. A more detailed paragraph (or two) in this format is placed under “Introduction” in the body of the report.

### **Overall Conclusions**

Briefly explain the conclusions of the assessment. Additional detail is provided in the body of the report.

### **Noteworthy Practices**

In bulleted format, list the strengths found during the assessment. These are explained in detail within the body of the report.

### **Findings**

In bulleted format, list the areas for improvement noted during the assessment. These are explained in detail within the body of the report.

### **Ongoing Corrective Actions**

Provide an analysis of any corrective actions relevant to the assessment that are already taking place.

### **Root Cause and Contributing Factors**

Provide a brief description of the root cause(s) and contributing factors, where applicable, or if the team was requested to provide this information by the manager who requested the assessment.

### **Recommended Actions**

Provide a bulletized listing of recommended actions. Identify both long-term and near-term recommended actions, if applicable, and the basis for the recommendations.

- Long-Term Recommended Actions
- Near-Term Recommended Actions

## **BODY OF REPORT**

### **1.0 Introduction.**

Provides the basic background information such as assessment purpose, scope, objectives, dates, review team members, and procedures used. Briefly identify the criteria on which the assessment was based (e.g., DOE Directive, Rule, contract requirements). Include a brief description of the activities assessed.

### **2.0 Assessment Results.**

This is a discussion of the results obtained from data collection and validation. Provide summary paragraphs for each key area of the assessment. For example, the report for an Operational Readiness Review would have a summary paragraph for each functional area that was reviewed. Include subheadings, if appropriate. These subheadings should be tailored specifically for each assessment. These subheadings should include examples of specific objective evidence that led the reviewer to the stated conclusion about the subject area.

### **3.0 Conclusions.**

#### **3.1 Overall Conclusions.**

This is discussion of the overall conclusions based on data validation and analysis. They need to parallel those listed in the Executive Summary.

#### **3.2 Noteworthy Practices.**

Same as in the Executive Summary, but more detail is added. They need to parallel those listed in the Executive Summary.

#### **3.3 Areas for Improvement (Findings and Observations).**

Same as in the Executive Summary, but more detail is added. They need to parallel those listed in the Executive Summary.

#### **3.4 Ongoing Corrective Actions.**

Discuss any appropriate corrective actions that were identified and established during the course of the assessment. These need to parallel those listed in the Executive Summary.

#### **3.5 Root Cause(s) and Contributing Factors.**

Provide root causes and contributing factors, as applicable, or if requested by the manager who requested the assessment.

### **3.6 Lessons Learned.**

Provide lessons learned on the assessment process that will help improve the conduct of future assessments. This lesson learned information should briefly discuss the problems encountered by the review team, the adequacies or inadequacies in the planning and implementation of the review, and any other relevant factors or information that may be used by future review teams.

### **4.0 Recommended Actions.**

Discuss the recommended actions and the basis for each recommendation. These may be identified further as long-term and short-term recommended actions. These need to parallel those listed in the Executive Summary. Depending on the type of assessment, this section may be omitted. For example, reports on reviews of contractor programs/activities do not normally include recommendations for corrective actions.

#### **4.1 Long-Term Recommended Actions.**

#### **4.2 Short-Term Recommended Actions.**

### **APPENDIX A – Figures**

### **APPENDIX B – List of Interviews**

List the titles of people interviewed during the course of the assessment.

### **APPENDIX C – Documents Reviewed**

List documents, manuals, procedures, and/or other records reviewed in the course of the assessment.

### **APPENDIX D – Documents Referenced**

List the regulations, DOE Directives, Rules, Policies, and Standards containing requirements or expectations relevant to this assessment. These documents should represent the criteria used to evaluate performance in the course of this assessment.