

U.S. Department of Energy

Oak Ridge Operations

ORO O 250
Chapter VII

DATE: 8-13-96

SUBJECT: PROGRAMMATIC COMPLIANCE ASSESSMENTS

1. PURPOSE. This Chapter assigns responsibility and accountability and provides administrative guidance to Oak Ridge Operations (ORO) on the development and maintenance of assessment data on ORO and contractor compliance with requirements from Orders of interest to the Defense Nuclear Facilities Safety Board (DNFSB) and/or requirements from Work Smart Standards (WSS) documents. Nothing in this issuance changes any requirements contained in any DOE Order.
2. CANCELLATION. This Chapter cancels and replaces ORIG 1300.X1A, OAK RIDGE OPERATIONS STANDARDS MANAGEMENT PROGRAM, Attachment B, Chapter 6, dated July 26, 1995.
3. APPLICABILITY. The provisions of this Chapter apply only to ORO Principal Staff, Lockheed Martin Energy Systems, Inc., and Lockheed Martin Energy Research, Inc.
4. RESPONSIBILITIES.
 - a. Principal Staff perform or assist in performing assessments of Federal compliance with Order requirements and, when assigned, project-style reviews of contractor self-assessments.
 - b. Leader, Directives Management Group (DMG).
 - (1) Provides advice and assistance on the requirements of this Chapter.
 - (2) Maintains the central assessment database for Federal requirements.
5. REQUIREMENTS AND PROCEDURES.
 - a. Introduction. This section covers ORO procedures for (1) reviewing contractor self-assessments and (2) assessing programmatic compliance with standards and requirements contained in the Orders of interest to the DNFSB.
 - b. ORO Review Components for Assessing Programmatic Compliance. The Standards/Requirements Identification Database (STRIDe) is used to store and report assessment data for all ORO programs and/or processes. STRIDe requires definition of the components under review. Current ORO components are as follows:
 - (1) ORO-Wide. This is the primary source of assessment information for all ORO components. Other review components only contain information that adds to or subtracts from the ORO-wide assessment.
 - (2) Defense Programs (DP). This covers activities conducted by the Y-12 Site Office for the management of the Y-12 Plant.

- (3) Environmental Restoration and Waste Management Programs. This covers activities conducted by the K-25 Site Office, the Environmental Restoration and Waste Management Divisions, the Former Sites Restoration Division, and the Weldon Spring Site Office.
- (4) Oak Ridge National Laboratory (ORNL) Programs. This covers activities conducted by the ORNL Site Office and the Reactor Operations Division.

Review components may be added, deleted, or modified as necessary to cover specific programs or processes.

c. Assessment Categories. The following categories are used for programmatic assessments:

- (1) Full Compliance. The requirement is contained in documented policies, programs, or procedures.
- (2) Planned Compliance. The requirement is contained in a current implementation plan required by a source document (e.g., DOE directive or Rule) and milestones associated with that requirement are being met.
- (3) Noncompliance. Item (1) or (2) above is not met or the organization is not complying with existing documents or implementation plans.

d. Assessment Considerations.

- (1) Documented policies, programs, or procedures may include ORO Orders, Notices, Chapters, and Manuals, Oak Ridge Implementation Guidance (ORIG), internal operating procedures, delegations of authority, the contract between ORO and the contractor, or any other document that:
 - (a) Is controlled through effective document control and distribution systems that ensure the current version of the document is readily available to users; and
 - (b) Is specific enough to ensure compliance if implemented (i.e., it directly references or quotes the requirement, clearly paraphrases the requirement, or specifies actions in sufficient detail that the user can satisfy the requirement). If the source requirement is sufficiently clear, specific, and detailed to be implemented without any additional guidance, the ORO document need only reference the requirement and provide information on organizational responsibilities for implementation.
- (2) Many Federal requirements cover areas that have been assigned to contractors. In order to demonstrate full compliance with such a requirement, the assessment must show that ORO has clearly assigned the responsibility to the contractor; however, assignment of responsibility does not remove liability from the Department for violation of Federal laws and regulations. Assignment may be shown through one of the following:

- (a) Specific assignment in a directive that has been included in the contract appendix or WSS document for the contractor;
 - (b) Specific assignment through a contract clause; or
 - (c) Appropriately documented technical direction.
- (3) Many Federal requirements concern oversight of contractor work. In order to demonstrate full compliance with such a requirement, the assessment must show that documented procedures exist for conducting oversight. In addition to assignments of responsibilities contained in ORO documents that supplement a particular source document, other documents (such as OR 13XX.1C, APPRAISAL OF DOE CONTRACTOR PERFORMANCE, ORO O 220, Chapter VIII, ENVIRONMENT, SAFETY, HEALTH, AND QUALITY ASSESSMENT PROGRAM, and Assistant Manager for Environment, Safety, and Quality procedures for conducting assessments) should be considered as potential evidence documents.
- (4) All assessment data to be recorded in STRIDe must be unclassified and must not contain any Unclassified Controlled Nuclear Information (UCNI). A separate document may be referenced that contains classified details, as long as the document number and title are not classified.
- (5) The individual performing the assessment must understand each requirement in the context of the document from which it was extracted. For example, the location of a requirement within a DOE Order can affect the scope and meaning of the requirement. THE ASSESSOR SHOULD NOT RELY SOLELY ON THE EXTRACTED STATEMENT IN PERFORMING AN ASSESSMENT.
- e. Source Document Assessment Process. The following process applies to initial assessments of documents:
- (1) For each source document that is applicable to ORO, the DMG prepares an assessment package for the Division of Primary Interest (DPI) organization for the ORO-wide assessment. This package contains the following information and tools:
 - (a) An explanatory cover memorandum.
 - (b) Source Document Applicability Forms (see Attachment 2 of this Chapter).
 - (c) Administrative (Programmatic) Assessment Data Collection Forms (see Attachment 3 of this Chapter).
 - (d) A copy of the STRIDe Source Requirements Report, which lists the source document requirements.
 - (e) A complete copy of the source document to be assessed.

- (f) A copy of the corresponding ORO Chapter or ORIG, if applicable.
- (g) A copy of this Chapter.
- (2) The DPI assessor determines the applicability of the source document to ORO and documents this decision on a Source Document Applicability Form. The document is considered applicable to the ORO-wide review component if it applies anywhere within ORO.
- (3) For source documents that apply to one or more ORO review components, the DPI assessor reviews the STRIDe Source Requirements Report and the source document to determine which statements should be assessed. The Source Requirements Report identifies mandatory and nonmandatory requirements and reflects "Yes" or "No" for Federal responsibility. All mandatory and nonmandatory statements necessary to adequately protect the safety and health of employees or the public in the conduct of ORO work shall be assessed.
- (4) For all statements to be assessed, the DPI assessor prepares the ORO-wide assessment using the data collection forms and instructions contained in Attachment 3 of this Chapter. The DPI assessor may obtain support from other organizations as required.
- (5) If the DPI assessor determines that an assessment may contain classified information or UCNI, the entire package is forwarded to a derivative classifier or UCNI reviewer for review. If necessary, the assessor revises the assessment so that it contains only unclassified, uncontrolled information. The assessment data may reference a separate document that contains classified details, as long as the document number and title are not classified. The DPI assessor returns the assessment package to the DMG.
- (6) The DMG forwards the assessment package to the various Standards Coordinators, who pass the package on to the assigned Contracting Officer's Representative (COR) assessor. Each COR assessor reviews the assessment package for that particular ORO review component.

For responses where the ORO-wide answer is accurate without change for the particular review component, the COR assessor writes "same" in red ink beside the assessment. For responses where the ORO-wide answer needs modification for the particular review component, the COR assessor notes the additional information on the forms in red ink, in a supplemental memorandum, or on a blank assessment form.

- (7) The COR assessor returns the completed package to the Standards Coordinator, who reviews the assessment data for completeness and adequacy, verifies and signs all memorandums and assessment forms, and returns the assessment to the DMG for data entry.
- (8) After data entry, the DMG provides the COR and DPI organizations with Federal Assessment Comment/Concurrence Control Forms (see Attachment 4 of this Chapter) and the final assessment reports for verification of data entry.

- (9) The DPI assessor obtains the DPI Director's signature on the control form and forwards the form to the DMG. The COR assessor forwards the assessment package and form to the COR Standards Coordinator, who obtains the COR's signature on the control form and forwards the form to the DMG.

NOTE: If either the DPI Director or the COR nonconcur, they rework the assessment until both find it acceptable before providing it to the DMG.

- (10) The DMG maintains the concurrence forms until the form is replaced when the assessment is updated.
- f. Source Document Reassessment Process. For revised or superseded source documents that have already been assessed, the above process is used with the following modifications:
- (1) Additional documents identified below will be included in the assessment package prepared by the DMG:
 - (a) A memorandum from the DMG that lists new requirements, requirements with changes from nonmandatory to mandatory, and changes in Federal responsibility.
 - (b) When available, the STRIDE Superseded Source Requirements Report that lists the old versus new requirements statements.
 - (c) The STRIDE Assessment Summary Report, which contains the previous assessments prepared on the source document requirements.
 - (2) The DPI assessor completes an ORO-wide Administrative (Programmatic) Assessment Data Collection Form for all new statements identified by the DMG. The assessor obtains support from other organizations as necessary to complete the assessment.
 - (3) In many cases, revisions to old requirements are editorial or insignificant in nature and do not affect the requirement's intent or the validity of the previous assessment. However, in some cases there are substantial changes to the requirement text that may invalidate the existing assessment. The DPI assessor compares each assessment against the requirement text (except for those noted as "added" for new requirements in the DMG's memorandum) to determine if the requirement statement has substantially changed and thereby invalidated the assessment.
 - (a) If the requirement text changes are not significant, the assessor lists each statement number in a memorandum to the DMG, noting that the assessment(s) still applies, or the DPI assessor writes "OK" in red ink on the Assessment Summary Report by the requirement statement.
 - (b) If the requirement text changes are significant, the assessor completes Administrative (Programmatic) Assessment Data Collection Forms as necessary.

- g. Review of Contractor Programmatic Assessments. Programmatic assessments may be done on a project basis (i.e., asking the contractor to assess compliance with all WSS requirements for a site, facility, or activity) or on an ongoing basis (i.e., maintaining assessment linkages as procedures are revised or developed or as requirements are changed in the WSS document). The process described below applies only to project-style assessments, where large masses of programmatic assessment data are provided to ORO at one time. Review of ongoing programmatic assessment data is performed in accordance with ORO O 220, Chapter VIII.
- (1) The contractor prepares the assessment and processes it through the appropriate internal review and approval process. After completion, the contractor submits the assessment to the DMG.
 - (2) The DMG reviews the assessment for completeness and forwards the assessment package with a Contractor Assessment Comment/Concurrence Control Form (see Attachment 5 of this Chapter) to the appropriate COR(s) and the DPI.
 - (3) ORO reviewers review the contractor assessment to verify the accuracy of the contractor's conclusions. It is not necessary to review each requirement assessed, but the reviewer should check a sufficient number to ensure acceptable quality. From the sample selected for verification, the reviewer must make an independent judgment that procedures cited as evidence of compliance, if implemented, are adequate to achieve compliance. Reviewers are not required to visually inspect contractor operations to ensure implementation of the procedure as part of the programmatic review. Actual inspection of implementation will be integrated with ongoing audit and appraisal programs. However, if a reviewer is aware that the procedure is not, in fact, being implemented or is being routinely ignored during day-to-day operations, the reviewer should so state.
 - (4) After completing the review, the reviewer completes and returns the Contractor Assessment Comment/Concurrence Control Form to the DMG, generally within 30 days from receipt.
 - (5) If one or more reviewers do not concur with the assessment, the DMG compiles and forwards comments and suggested revisions back to the contractor. The contractor promptly makes changes to the assessment. If there is a disagreement, a meeting may be requested by the reviewers or by the contractor. Revised assessments are reviewed through the same process described above until all reviewers concur in the assessment.
6. REFERENCES. DOE STANDARDS/REQUIREMENTS IDENTIFICATION IMPLEMENTATION ASSESSMENT INSTRUCTION, dated September 1994, which contains nonmandatory guidance from the Offices of DP and EM on the conduct of assessments against requirements.
 7. DEFINITIONS. None.
 8. CONTRACTOR REQUIREMENTS DOCUMENT. See Contractor Requirements Document, Attachment 1 of this Chapter.

9. ATTACHMENTS.

- a. Attachment 1 - Contractor Requirements Document.
- b. Attachment 2 - Source Document Applicability Form.
- c. Attachment 3 - Administrative (Programmatic) Assessment Data Collection Form.
- d. Attachment 4 - Federal Assessment Comment/Concurrence Control Form.
- e. Attachment 5 - Contractor Assessment Comment/Concurrence Control Form.

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors that develop and maintain WSS documents are required to maintain up-to-date information on the flowdown of requirements contained in those documents into contractor procedures, plans, and programs.

OAK RIDGE OPERATIONS
SOURCE DOCUMENT APPLICABILITY FORM

1. SOURCE DOCUMENT NUMBER:

2. SOURCE DOCUMENT TITLE:

3. SOURCE DOCUMENT ISSUE DATE:

4. REVIEW COMMENT: Does this determination apply to all ORO review component(s)?

_____ (Y/N)

If "No," to which ORO review component does this determination not apply?

_____ DP _____ KSO _____ ORNL _____ ORO-Wide _____ Other

5. JUSTIFICATION (IF "NO"):

6. DPI ASSESSOR: _____

Date: _____

8. SC: _____

7. COR ASSESSOR: _____

Date: _____

9. DATA ENTRY: _____

Date: _____

**INSTRUCTIONS FOR COMPLETING
THE SOURCE DOCUMENT APPLICABILITY FORM**

This form is used within ORO to document the applicability or nonapplicability of each source document to various ORO review components. Enter the information described below by the number that corresponds to the same number on the sample form.

1. SOURCE DOCUMENT NUMBER. Enter the identifying number of the source document. For example, for DOE Orders enter the full Order number, including the change number or revision number (e.g., DOE O 420.1, Chg.1).
2. SOURCE DOCUMENT TITLE. Enter the complete title of the document.
3. SOURCE DOCUMENT ISSUE DATE. Enter the date the document was issued.
4. REVIEW COMPONENT. Enter "Y" for Yes if any requirement within the document is applicable to all ORO review components. Enter "N" for No if the entire document is not applicable. If you enter "N" for No, check the review component(s) to which the document does NOT apply.
5. JUSTIFICATION (IF "NO"). If the entire document does not apply to all ORO review components, explain why in a few sentences. For example: "This Order applies only to reactors. Since the only reactor under ORO control is located at the Oak Ridge National Laboratory, this Order is not applicable to Y-12 Site Office or K-25 Site Office activities."
6. DPI ASSESSOR. Enter the name (printed) and signature of the person who assessed the document for the DPI and the date completed. Forward the form to the DMG.

NOTE: The DMG copies the form and routes it to the Standards Coordinators. Each Standards Coordinator forwards the form to the appropriate COR assessor and ensures that it is reviewed, signed, and returned in a timely manner.

7. COR ASSESSOR. Review the applicability designations made by the DPI assessor. Enter the name (printed) and signature of the COR assessor and the date completed. Forward the form to the Standards Coordinator.
8. SC. Enter the name (printed) and signature of the Standards Coordinator who reviewed the form for completeness and adequacy and the date the review was completed. Forward the form to the DMG.
9. DATA ENTRY. Enter the initials of the person who actually entered the data into STRIDE and the date when data entry was completed.

OAK RIDGE OPERATIONS
ADMINISTRATIVE (PROGRAMMATIC) ASSESSMENT DATA COLLECTION FORM

1. REVIEW COMPONENT(S): _____

2. SOURCE DOCUMENT NUMBER: _____

3. SOURCE DOCUMENT TITLE: _____

4. REQUIREMENT NUMBER(S): _____

5. ADMINISTRATIVE (PROGRAMMATIC) COMPLIANCE STATUS:

_____ NOT APPLICABLE (Complete item 6a, "Justification for Nonapplicability")

_____ YES--IN COMPLIANCE (Complete item 6b, "Description of the Evidence")

_____ PLANNED COMPLIANCE (Complete item 6b., "Description of the Evidence")

_____ NO--IN NONCOMPLIANCE (Complete item 6c, "Description of the Noncompliance")

6a. JUSTIFICATION (IF "NOT APPLICABLE"):

6b. DESCRIPTION OF THE EVIDENCE (IF "YES--IN COMPLIANCE" or "PLANNED COMPLIANCE"):

1) Document Number: _____

2) Document Title: _____

3) Revision Number: _____ 4) Document Date: _____

5) Location within document: _____

6) Description of Evidence:

6c. DESCRIPTION OF THE NONCOMPLIANCE (IF "NO--IN NONCOMPLIANCE"):

7. DPI ASSESSOR: _____ 9. SC: _____

Date: _____ Date: _____

8. COR ASSESSOR: _____ 10. DATA ENTRY: _____

Date: _____ Date: _____

**ORO INSTRUCTIONS FOR COMPLETING ADMINISTRATIVE
(PROGRAMMATIC) ASSESSMENT DATA COLLECTION FORM**

This form is used to document assessment information for one or more requirement statements. Enter the information in the space designated by the number that corresponds to the same number on the sample form.

1. **REVIEW COMPONENT**. Enter the review component to which the requirement applies, such as "ORO-Wide," "DP," "KSO," "ORNL," etc. If the assessment applies to more than one review component, enter all that are applicable.
2. **SOURCE DOCUMENT NUMBER**. Enter the control number for the requirement document. For example, enter the full DOE Order number, including the change or revision number (e.g., DOE 420.1, Chg. 1).
3. **SOURCE DOCUMENT TITLE**. Enter the full title of the document.
4. **REQUIREMENT NUMBER(S)**. Enter the full requirement number or numbers covered by this assessment (e.g., I.2.(b)[3]).
5. **ADMINISTRATIVE (PROGRAMMATIC) COMPLIANCE STATUS**. Check one of the following. See the definitions in Chapter I, Attachment A and the instructions contained in Chapter VII. If the compliance status is different for different review components, group review components with the same status together and fill out a form for each status type. For example, if KSO and ORNL are in compliance and DP is not applicable, fill out one form for KSO and ORNL combined and another form for DP.
- 6a. **JUSTIFICATION (IF "NOT APPLICABLE")**. Complete this block only if you checked "Not Applicable" in block 4. In one or several sentences, explain why the requirement statement does not apply to the review component's activities. Some examples of specific situations where a requirement statement does not apply are given below with suggested language for justification:
 - 1) If the requirement statement describes a function or applies solely to a type of facility that the review component does not have, use the following language:

"There are no facilities/processes at this review component where this requirement statement applies."
 - 2) As stated earlier, some requirement statements apply to the review component but need not or cannot be assessed. Below are some examples with suggested language for justification:
 - (a) If a requirement statement requires compliance with another source document that is included in STRIDe, use the following language:

"Compliance with this statement is addressed in the assessment of document #____."

- (b) If a requirement statement refers to a matching or like statement in a different section in the same source document, use the following language:

"Compliance with this statement is addressed in the assessment of requirement statement #____."

- (c) If in your judgment a requirement statement is not assessable, provide justification for your reasoning (e.g., too vague, is a definition).

6b. DESCRIPTION OF THE EVIDENCE (IF "YES--IN COMPLIANCE" or "PLANNED COMPLIANCE"). If ORO is in programmatic compliance or has planned compliance with the requirement statement(s) for the review component's activities, provide the following information. If more than one evidence document applies, attach an extra page that lists the required information for each document.

- 1) Document Number. Enter the identifying number of the document that provides evidence that the requirement is proceduralized or is contained in an implementation plan. If the document is unnumbered, leave blank.
- 2) Document Title. Enter the complete title of the document provided as evidence that the requirement is proceduralized.
- 3) Revision Number. Enter the revision number, if applicable, of the document provided as evidence that the requirement is being met. Otherwise, leave blank.
- 4) Document Date. Enter the issue date of the document provided as evidence that the requirement is being met. If the document is undated, leave blank.
- 5) Location Within Document. Enter the paragraph, section, page, or other identifying information within the document where the qualifying evidence can be located.
- 6) Description of Evidence. Enter a description of how the document satisfies the requirement statement. Provide specific information as to how the specific requirement is described and met in the evidence document referenced.

6c. DESCRIPTION OF NONCOMPLIANCE (IF "NO--IN NONCOMPLIANCE"). If block 4 was checked as programmatic noncompliance, enter one or more paragraphs that specifically describe the nature of the problem or condition. Do not use language such as "Several noncompliances exist in..." If only one portion of a multi-part requirement statement is out of compliance, be sure to identify which portion is out of compliance and which is in compliance.

7. DPI ASSESSOR. Enter the name (printed) and signature of the DPI assessor and the date the form was prepared. Forward the form and assessment to the DMG.

NOTE: The DMG forwards the form and assessment to the Standards Coordinator, who provides it to the appropriate COR assessor.

8. COR ASSESSOR. Enter the name (printed) and signature of the COR assessor and the date signed. Return the signed form to the Standards Coordinator.
9. SC. Enter the name (printed) and signature of the Standards Coordinator who checked the form for completeness and adequacy and the date the review was completed. Forward the form to the DMG.
10. DATA ENTRY. Enter the initials of the person who actually entered the data into STRIDe and the date that data entry was completed.

FEDERAL ASSESSMENT
COMMENT/CONCURRENCE CONTROL FORM

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

TO: _____

STANDARDS COORDINATOR (IF APPLICABLE): _____

SOURCE DOCUMENT NUMBER: _____

SOURCE DOCUMENT TITLE: _____

The attached Federal Compliance Assessment for the subject source document is forwarded for review and necessary action. Complete Part B and forward this form to the Directives Management Group, AD-440, by _____.

PART B If changes are needed, obtain agreement from the other assessor (DPI or COR assessor) before signing the form. Reviewers of these assessments should be the people most familiar with the subject matter area.

1. Based on a requirement-by-requirement review of the Standards/Requirements Identification Database (STRIDe) Assessment Summary Report, I concur with the Federal assessments, and I agree that the assessment adequately represents my assessment of this source document's compliance status.

Yes _____ = Concurrence with all assessments.
No _____ = Nonconcurrence with one or more assessments

2. **COMMENTS/REVISIONS.** For nonconcurrences ("No" above), list recommended revisions or attach a markup of the STRIDe Assessment Summary Report, coordinate concurrence on changes with the other assessor (DPI or COR), and submit it to the DMG: (Use an extra sheet of paper if necessary.)
3. SIGNATURES: (Please print legibly or type name, then sign above)

DPI ASSESSOR: _____
Name/Signature Telephone

DPI DIRECTOR: _____
Name/Signature Date

COR ASSESSOR: _____
Name/Signature Telephone

COR: _____
Name/Signature Date

STANDARDS COORDINATOR: _____
Signature Date

**ORO INSTRUCTIONS FOR COMPLETING THE FEDERAL ASSESSMENT
COMMENT/CONCURRENCE CONTROL FORM**

PART A:

Part A is completed by the Directives Management Group (DMG), AD-440.

PART B:

Part B is completed by the assessor.

1. REQUIREMENT REVIEW.

- a. Perform a requirement-by-requirement review of the STRIDe Assessment Summary Report for verification of data entry.
- b. Check "Yes" if you agree with the assessment and go to step 3. Check "No" if you do not agree with the assessment.

2. COMMENTS/REVISIONS.

If you checked "No," follow these steps:

- a. Attach a marked up copy of the STRIDe Assessment Summary Report. These changes may be pertinent changes to the assessment or typographical changes.
- b. Contact the other assessor (DPI or COR assessor) to discuss the changes and obtain agreement. Do not submit the revisions until you obtain concurrence.
- c. Go to step 3.

3. SIGNATURES.

- a. Print your name on the appropriate ASSESSOR line and then sign above it. Include your telephone number in the space indicated.
- b. Print the COR or DPI's name, as appropriate, on the COR or DPI DIRECTOR line and obtain that person's signature and the date.
- c. The DPI assessor submits the form and attachments directly to the DMG. The COR assessor submits the form and attachments to the Standards Coordinator.

4. STANDARDS COORDINATOR.

- a. Review the form and attachments for completeness and adequacy.
- b. Submit the form to the DMG by the date specified in Part A.

CONTRACTOR ASSESSMENT COMMENT/CONCURRENCE CONTROL FORM

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

TO: _____

STANDARDS COORDINATOR (IF APPLICABLE): _____

SOURCE DOCUMENT NUMBER: _____

SOURCE DOCUMENT TITLE: _____

The attached Contractor Programmatic Assessment for the subject source document is forwarded for review and necessary action. Complete Part B and forward this form to the Directives Management Group, AD-440, by ____.

PART B (To be completed by the DPI assessor or COR assessor.) **NOTE:** Reviewers of these assessments should be the people most familiar with the contractor's programs in the subject matter area.

1. List or describe the evidence documents and other sources used to perform this review: (Use an extra sheet of paper if necessary.)
2. Based on a sample review of the source document and the documentation described above, I concur with the contractor's assessments. Where the contractor has indicated compliance on a sample requirement, I agree that the documents relied upon by the contractor, if implemented, described program controls adequate to achieve compliance with the requirement.

Yes ____ = Concurrence with all assessments.
No ____ = Nonconcurrence with one or more assessments

3. **COMMENTS/REVISIONS.** For nonconcurrences ("No" above), explain what is wrong, list recommended revisions, coordinate with the DPI and contractor, and submit to the DMG: (Use an extra sheet of paper if necessary.)

4. SIGNATURES: (Please print legibly or type name, then sign above)

COR ASSESSOR: _____
Name/Signature Telephone

COR: _____
Name/Signature Date

STANDARDS COORDINATOR: _____
Signature Date

DPI ASSESSOR: _____
Name/Signature Telephone

DPI DIRECTOR: _____
Name/Signature Date

**INSTRUCTIONS FOR COMPLETING THE CONTRACTOR ASSESSMENT
COMMENT/CONCURRENCE CONTROL FORM**

PART A:

Part A is completed by the Directives Management Group (DMG), AD-440.

PART B:

Part B is completed by the assessor.

1. REQUIREMENT REVIEW.

Perform a sample review of the source document, and list the requirements reviewed and the evidence documents and other sources used to perform this review. Attach an extra sheet of paper if necessary.

2. CONCURRENCE/NONCONCURRENCE.

Check "Yes" if you concur with the contractor's assessment based on the requirements sampled. Check "No" if you do not concur with the contractor's assessment.

3. COMMENTS/REVISIONS.

If you checked "No" for step 2, briefly explain what is wrong, list the recommended revisions for the sample requirements reviewed. Attach an extra sheet of paper if necessary.

4. SIGNATURES.

COR Assessor.

- a. Print and sign your name on the COR ASSESSOR line and include your telephone number.
- b. Print the COR's name on the COR line. Obtain the COR's signature and the date signed.
- c. Forward the form and assessment package to the Standards Coordinator.

Standards Coordinator.

- a. Review the form for completeness and adequacy.
- b. Print and sign your name on the STANDARDS COORDINATOR line and date the form.
- c. Forward the form to the DMG by the date indicated in Part A.

DPI Assessor.

- a. Print and sign your name on the DPI ASSESSOR line and include your telephone number.
- b. Obtain the DPI Director's signature on the DPI DIRECTOR line and the date signed.
- c. Submit the completed, signed form to the DMG.