

DIRECTIVES CONTROL FORM - ORO FINAL DIRECTIVE

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

1. NUMBER AND TITLE OF DIRECTIVE: **ORO O 450, Chapter VI, ORO 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. BWXT Y-12 ORAU UT-Battelle

Other contractors (list by type) All other ORO contractors and subcontractors.

Many ORO contractors have approved S/RIDs or 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 impact?

No Yes If yes, describe: This is a new chapter in the 450 series. This chapter, along with ORO O 450, Chapter V, ORO INTEGRATED SAFETY MANAGEMENT PROGRAM, dated 12/31/2002, cancels and replaces ORO O 450, Chapter IV, Change 1, ENVIRONMENT, SAFETY, AND HEALTH (ES&H) SELF-ASSESSMENT AND CONTRACTOR ASSESSMENT PROGRAM, dated 01/02/2002.

5. CONTACT POINT: Tyrone Harris Assessment & Emergency Mgt. Div., SE-32 576-0953
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	01/02/2002	ORO Control Form	12/31/2002
ORO O 450, Chapter IV, Chg. 1, Pages IV-1 thru IV-12	01/02/2002	ORO O 450, Chapter VI, Pages VI-1 thru VI-13	12/31/2002

ORO Directives are available on the ORO Directives Management Home Page at http://www.ornl.gov/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 12/31/2002
Signature: DMG Team Leader, AD-440 Date

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

Rev. 01/30/2002

U.S. Department of Energy

Oak Ridge Operations

ORO O 450
Chapter VI

Date: 12/31/2002

SUBJECT: ORO ASSESSMENT PROGRAM

1. PURPOSE. This chapter establishes the elements of an effective Oak Ridge Operations (ORO) line management assessment program for the Environment, Safety and Health (ES&H) Program, which for the purposes of this chapter also include the Quality Assurance Program, Emergency Management Program and Issues Management Program. This chapter correlates to DOE P 450.5, LINE ENVIRONMENT, SAFETY AND HEALTH OVERSIGHT, dated June 26, 1997; DOE O 210.1, Change 2, PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION, dated May 1, 1996; Criteria 9 and 10 of DOE O 414.1A, Change 1, QUALITY ASSURANCE, dated July 12, 2001; DOE O 231.1, Change 2, ENVIRONMENT, SAFETY, AND HEALTH REPORTING, dated November 7, 1996; and DOE O 470.2B, INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM, dated October 31, 2002. Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) directive.
2. CANCELLATION. This chapter, along with ORO O 450, Chapter V, ORO INTEGRATED SAFETY MANAGEMENT PROGRAM, dated December 31, 2002, cancels and replaces ORO O 450, Chapter IV, Change 1, ENVIRONMENT, SAFETY, AND HEALTH (ES&H) SELF-ASSESSMENT AND CONTRACTOR ASSESSMENT PROGRAM, dated January 2, 2002.
3. APPLICABILITY. The provisions of this chapter apply to ORO Principal Staff and to ORO contractors as provided by contract.
4. RESPONSIBILITIES.

Line management is responsible for developing a comprehensive assessment program that addresses the requirements in a balanced manner and is consistent with the feedback and improvement function of Integrated Safety Management (ISM). DOE and its contractors are required to develop and implement assessment programs. DOE O 414.1B requires DOE elements and their contractors to assess their internal performance and that of their contractors (suppliers) by performing management/self-assessments and independent assessments. Nuclear facility contractors have regulatory assessment requirements (Title 10 Code of Federal Regulations [CFR] Part 830, Subpart A) that are identical to those in DOE O 414.1B. DOE P 450.5 establishes expectations for coordinating line management oversight of its contractors. DOE P 450.5 also describes the necessity for contractors to have a robust, rigorous, and credible assessment program to facilitate DOE line management oversight. Emergency management programs have additional requirements that are described in DOE O 151.1A, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM and DOE O 470.2B.

a. Manager.

- (1) Establishes assessment policy.

- (2) Appoints accident investigation team leaders.
 - (3) Ensures that Contracting Officer's Representatives (CORs) develop effective, documented programs for assessing contractors' ES&H, quality, and emergency management programs.
 - (4) Transmits Corrective Action Plans (CAPs) to appropriate DOE Headquarters (HQ) offices or approves CAPs if approval authority has been delegated.
 - (5) Requests for-cause reviews, as necessary.
- b. Assistant Manager for Environment, Safety, Health, and Emergency Management (AMESH).
- (1) Serves as the focal point for the coordination of (1) ORO self-assessment/management assessment processes and (2) processes for assessment of ORO's contractors in accordance with DOE P 450.5, paragraph 2. For example:
 - (a) Accompanies line management on operational awareness walk downs, as requested;
 - (b) Participates in and/or leads readiness reviews and other assessments, as requested;
 - (c) Coordinates and assists line management in maintaining an ORO Integrated Assessment Schedule; and
 - (d) Establishes and maintains an ORO Assessment Resource Center (internet-accessible assessment reports, procedures, guides, and checklists and a physical assessment library).
 - (2) Coordinates information requests made to ORO Manager from DOE HQ.
 - (3) Supports the development and implementation of ORO line management programs to assess contractors' ES&H programs (see Attachment 2), as requested by the COR(s).
 - (4) Facilitates/coordinates the programmatic development of the ORO Facility Representative Program in support of all line management programs.
 - (5) Facilitates/coordinates the programmatic development of the ORO Lessons Learned Program in support of all line management programs.
 - (6) As requested by the COR(s):
 - (a) Conducts closure or verification of corrective actions.
 - (b) Serves as the point of contact for inspections/investigations by HQ OA; and
 - (c) Conducts independent verification of closure of CAPs for HQ OA findings.

- (7) Develops and coordinates an ORO issues management program through a system of the following:
 - (a) Ensures that a centralized tracking system is available and under configuration control to track the status of issues/actions for the responsible management official (e.g., from HQ OA reviews, opportunities for improvement, Accident Investigation Board judgments of need, and other reviews/assessments) and develops reports on the status of actions.
 - (b) Analyzes and trends ORO and contractor performance data (e.g., from the Oak Ridge Issues, Open Items, and Nonconformances [ORION2] System) to identify positive and negative trends and recommends improvements to ORO management and line management, as requested.
 - (c) Coordinates the corrective action management program and process as identified in DOE O 414.1A, QUALITY ASSURANCE, and ORO O 410, Chapter III, QUALITY ASSURANCE.
 - (d) Communicates results of the issues management system to senior management and posts the results on the ORO web site.
 - (e) Coordinates corporate feedback and improvement processes. Reports on the status to senior management.
- (8) Assists ORO line management in conducting periodic assessments of its implementation of the roles and responsibilities assigned in the approved ORO M 411.1-1D, MANUAL OF SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, LEVEL II, FOR OAK RIDGE OPERATIONS (ORO FRAM) as requested.
- (9) Supports line management on independent assessments, as requested.
- (10) Supports periodic assessments and for-cause reviews, as requested, by providing personnel and other resources.
- (11) Supports line management in performing unannounced worker protection inspections as required by DOE O 440.1A, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, and 29 CFR 1960.
- (12) Performs periodic corporate-level management assessments/self-assessments as directed by the Manager.
- (13) Receives Annual Assessment Plans from line management organizations and posts them on the ORO web site.
- (14) Makes an integrated, web-based assessment scheduling tool available.
- (15) Assesses the AMESH organization's management processes via a documented management/self-assessment program.

- (16) Assist Assistant Managers in implementation where line management procedures require assessments of conduct of operations elements.
- c. Assistant Managers for Administration, Laboratories, Environmental Management, and Assets Utilization; and Director, Office of Nuclear Fuel Security and Uranium Technology.
- (1) Direct each COR to develop a program for assessing contractors' ES&H, self-assessment, quality, and emergency management programs in keeping with DOE P 450.5 and this chapter.
 - (2) Provide support to for-cause reviews.
 - (3) Perform unannounced worker protection inspections as required by DOE O 440.1A, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, and 29 CFR 1960.
 - (4) Assess his/her organization's management processes via a documented management/self-assessment program.
 - (5) Identify and correct problems that hinder the Federal organization from achieving its objectives and track the corrective actions to closure.
 - (6) Ensure development of an annual assessment schedule which includes assessments to be conducted of both DOE and contractor activities.
 - (7) Maintain the organization's assessment schedule..
 - (8) Ensure implementation where line management procedures require assessment of conduct of operations elements.
- d. Contracting Officer's Representatives.
- (1) Establish and implement an effective program for assessing contractors' ES&H, quality, and emergency management programs as required by DOE P 450.5. (See Attachment 2.)
 - (2) Ensure that contractors prepare CAPs for HQ OA findings and transmit the CAPs to DOE. The COR ensures that the CAP is sent through the Manager to the appropriate DOE HQ Program Office.
 - (3) Ensure that the contractor is tracking issues to closure, trending issues, and setting performance measures to support continuous improvement.
 - (4) Ensure that Standards/Requirements Identification Documents and Work Smart Standards sets are kept current with assistance from the Directives Management Group in accordance with ORO O 250, Chapter V, DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS, and Chapter VII, MAINTENANCE OF STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS.

- (5) Implement the roles and responsibilities listed in DOE M 411.1-1B, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, dated May 22, 2001, and the ORO FRAM in accordance with DOE P 411.1, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES.
- (6) Perform those tasks identified in paragraph 5 of DOE O 210.1, PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION.
- (7) Ensure that prime contracts contain a requirement for the contractor to perform ES&H oversight of its direct subcontractors and their subcontractors, consistent with this chapter and DOE P 450.5.
- (8) Ensure that a documented, implemented operational awareness, surveillance, and inspection program is in place for periodic assessment of the contractor.
- (9) Ensure the independence of reviewers who perform independent assessments of the contractor.

5. REQUIREMENTS AND PROCEDURES.

- a. A key component of the assessment process is an effective tracking and follow-up system. Most contractors and DOE elements use an electronic database to continuously update a prioritized list of improvements and corrections and to track their resolution. The tracking and resolution of independent oversight evaluations performed by the Office of Oversight (EH-2) and OA are required by DOE O 414.1A. The Department's electronic tracking system for EH-2 and OA safety issues, known as CATS, is available at the following internet address: <http://tis-nt.eh.doe.gov/ism/cats.html>. Actions to be tracked in CATS include findings from the following:

- Assessment Reports issued by EH-2 and OA
- Type A Accident Investigations
- OA Emergency Management Assessments
- High Efficiency Particulate Air Filter Line Management Self-Assessments
- Nuclear Criticality Safety Line Management Self-Assessments

Corrective actions deemed by line management will be tracked in ORION2 System. The ORO issues management system, ORION2, is available at the following internet address: <http://www-internal.oro.doe.gov/esq/orion2/index.htm>. DOE must ensure that ORO prime contractors perform their own tracking and trending as part of their comprehensive assessment programs.

- b. ORO organizations with ES&H responsibilities must develop an assessment program consistent with Attachments 2 and 3.

6. REFERENCES.

- a. 10 CFR 830, Subpart A, QUALITY ASSURANCE REQUIREMENTS, dated January 10, 2001.

- b. 29 CFR 1960, BASIC PROGRAM ELEMENTS FOR FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAMS AND RELATED MATTERS, dated July 1, 2001.
- c. DOE P 411.1, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, dated January 28, 1997.
- d. DOE P 450.5, LINE ENVIRONMENT, SAFETY AND HEALTH OVERSIGHT, dated June 26, 1997.
- e. DOE O 151.1A, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, dated November 1, 2000.
- f. DOE O 210.1, Change 2, PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION, dated May 1, 1996.
- g. DOE O 225.1A, ACCIDENT INVESTIGATIONS, dated November 26, 1997.
- h. DOE O 231.1, Change 2, ENVIRONMENT, SAFETY, AND HEALTH REPORTING, dated November 7, 1996.
- i. DOE O 232.1A, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION, dated July 21, 1997.
- j. DOE M 411.1-1B, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, dated May 22, 2001.
- k. DOE O 414.1A, Change 1, QUALITY ASSURANCE, dated July 12, 2001.
- l. DOE O 425.1B, STARTUP AND RESTART OF NUCLEAR FACILITIES, dated December 21, 2000.
- m. DOE O 440.1A, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, dated March 27, 1998.
- n. DOE O 470.2A, SECURITY AND EMERGENCY MANAGEMENT INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM, dated March 1, 2000
- o. DOE N 203.1, SOFTWARE QUALITY ASSURANCE, dated October 2, 2000.
- p. DOE G 200.1-1, SOFTWARE ENGINEERING METHODOLOGY, dated May 21, 1997.
- q. DOE G 450.4-1B, INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE, Volumes 1 and 2, dated March 1, 2001
- r. DOE G 414.1-1A, MANAGEMENT ASSESSMENT AND INDEPENDENT ASSESSMENT GUIDE, dated May 31, 2001
- s. DOE G 450.3-2, ATTRIBUTES OF EFFECTIVE IMPLEMENTATION, dated February 1, 1997

- t. DOE-STD-7501-99, *The DOE Corporate Lessons Learned Program*, dated December 1999.
- u. DOE-HDBK-7502-95, *Implementing U. S. Department of Energy Lessons Learned Programs*, dated August 1995.
- v. ORO O 220, Chapter V, Change 1, APPRAISAL OF DOE CONTRACTOR PERFORMANCE, dated June 18, 1999, and any subsequent revisions.
- w. ORO O 230, Chapter IV, OCCURRENCE REPORTING AND PROCESSING OF OPERATION INFORMATION, dated February 28, 1997.
- x. ORO O 250, Chapter V, Change 2, DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS, dated April 26, 2001.
- y. ORO O 250, Chapter VII, Change 2, MAINTENANCE OF STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS, dated April 27, 2001.
- z. ORO O 410, Chapter III, Change 2, QUALITY ASSURANCE, dated November 4, 1998.
- aa. ORO M 411.1-1D, MANUAL OF SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, LEVEL II, FOR OAK RIDGE OPERATIONS (ORO FRAM), dated October 31, 2000.
- bb. ORO O 420, Chapter IV, Change 2, CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES, dated December 17, 1998.
- cc. ORO O 450, Chapter V, ORO INTEGRATED SAFETY MANAGEMENT PROGRAM, dated December 31, 2002.
- dd. U.S. Department of Energy Report on Contract Reform, Action Item No. 27, *Department-Wide Guidelines for Coordination of Contractor Oversight Programs*, undated.
- ee. *Oak Ridge Operations Office Facility Representatives Program Manual*, Revision 3, dated August 2001.
- ff. *U. S. Department of Energy Plan to Address and Resolve Safety Issues Identified by Internal Independent Oversight, Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 98-1*, dated March 10, 1999.

7. DEFINITIONS.

- a. **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.
- b. **Concern** – Use of this term when reporting assessment results is strongly discouraged. It has been routinely used to mean both more and less than a finding, with resulting confusion in almost all cases. Instead, use the term Findings or Observation.
- c. **Deficiency** – See Findings.

- 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. Findings are categorized into Priority I or Priority II, which are explained below.

Priority I – These are findings of major significance that generally result in work cessation or work limitation. Such findings may include imminent threats to worker protection, public safety, and/or environmental quality. Such findings can also include a systematic breakdown in, or a failure to implement, a major work control element necessary for safety and quality.

Priority II – These findings represent nonconformances, deviations, and/or deficiencies in the implementation of requirements, procedures, standards, and/or regulatory requirements.

- e. **For-Cause Reviews** – Unplanned assessments in response to any condition that has caused or poses 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 or the COR. For-cause reviews may be chartered by the Manager, an Assistant Manager, the COR, or a line manager and are conducted when analysis of information from the contractor, the line management organization, or occurrence report indicates a situation of sufficient concern to the chartering official to warrant a special assessment. Such reviews may also be chartered based on assessments from other organizations and/or based on events occurring elsewhere that might have implications for ORO's operations. The chartering official will appoint the leader and members of the team.
- f. **Independent Assessments** – Independent assessments must be planned 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 to carry out their responsibilities. Persons conducting independent assessments must be technically qualified and knowledgeable in the areas assessed. "Freedom from the line management organization" means that the reviewers are not directly associated with the cost/budget or scheduling of the activity/facility being assessed. (Reference Criterion 10 of DOE O 414.1A.)
- g. **Integrated Assessment Schedule** – This schedule is a compilation of the ES&H assessment and management/self-assessment schedules for AMESH, the Assistant Managers for Laboratories, Environmental Management, and Assets Utilization; and the Director, Office of Nuclear Fuel Security and Uranium Technology. This schedule is used by ORO management and line management personnel to gain an overview of assessment activity and assist in compliance with Criterion 9 of DOE O 414.1A.
- h. **Issue** – See Findings.
- i. **Management Assessment/Self-Assessment** – Corporate-level ORO self-assessments of line management's programs and implementation thereof to ensure line management organizations are effectively performing ES&H assessments of ORO's contractors and self-assessments of their own performance. These ORO self-assessments are independent of line management and may be performed in conjunction with periodic assessments or other assessments to minimize disruption of line management activities. These assessments are customarily led by a member

of the Assessment Team and are performed at the request of the appropriate Assistant Manager, Site Manager, or COR.

- j. **Noteworthy Practice** – See Proficiency.
 - k. **Observation** – Observations are negative. An observation can be used to describe a noncompliance with a procedure that is not also a contractual or regulatory noncompliance (which would be a finding). An observation can also 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.”
 - l. **Operational Awareness Assessments** may include any of a variety of activities (such as walkthroughs, inspections, surveillances, and walkdowns) to analyze and evaluate operations through observations, interviews, or documented reviews. Walkthroughs, as well as any follow-up, should be documented, even if only with a checklist.
 - m. **Opportunity for Improvement** – See Findings.
 - n. **Periodic Assessments** are assessments involving multiple assessment team members with diverse scopes. These assessments are carefully planned and may require significant contractor and DOE preparation. These assessments are coordinated across DOE organizations/programs. Periodic assessments require more formality in the conduct of the assessment, including entrance meetings, daily or weekly briefings, and exit meetings. “Periodic” is determined by the COR or DOE directive (such as annually, every three years, every six months, etc.).
 - o. **Plan** – The high-level scoping document that identifies the assessment commitments for the upcoming fiscal year.
 - p. **Proficiency** – A Proficiency is a positive observation 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. Another term that means essentially the same thing as a Proficiency, and which can be used interchangeably for it, is Noteworthy Practice.
 - q. **Readiness Review** – See DOE O 425.1B.
 - r. **Schedule** – A schedule is the detailed plan of upcoming assessments, which provides more precise dates, team leaders, review areas, etc.
8. **CONTRACTOR REQUIREMENTS DOCUMENT**. See Contractor Requirements Document, Attachment 1 of this chapter.
9. **ATTACHMENTS**.
- a. Attachment 1 – Contractor Requirements Document.
 - b. Attachment 2 – Key Elements of an Effective Line Management Assessment Program.
 - c. Attachment 3 – Guide to Field Element ES&H and Emergency Management Assessment Requirements (as of September 23, 2002).

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors identified in paragraph 3 of this chapter will accomplish the following, to the extent set forth in their contract:

1. Develop and maintain a self-assessment program in accordance with DOE P 450.5 and this chapter. Provide access to final reports and corrective action tracking systems that contain results of self-assessments and their associated corrective actions. Provide copies of reports upon request.
2. Incorporate key elements of an effective ES&H oversight process into their self-assessment program as identified in DOE P 450.5 and this chapter.
3. Develop performance metrics from the management level to the activity level and provide the data to the COR and Site Manager on request.
4. Provide the results of self-assessment activities to the COR and Site Manager.
5. Cooperate fully with assessment teams and make relevant facilities and materials available.
6. Prepare CAPs addressing findings from assessments and other oversight activities within 60 days of being provided the assessment report.
7. Complete corrective actions in a timely manner, track the actions to closure, and verify the effectiveness of those actions.
8. Evaluate trends and use trend data to make additional improvements.
9. Provide administrative support for assessments by DOE, as requested.
10. Perform ES&H oversight of direct subcontractors and their subcontractors, consistent with this chapter.

KEY ELEMENTS OF AN EFFECTIVE LINE MANAGEMENT ASSESSMENT PROGRAM

The following are paraphrased excerpts from DOE P 450.5:

1. Line management (i.e., each COR) is responsible for ensuring that the contractor has a robust, rigorous, self-assessment program which has the following elements:
 - (a) Performance measures and performance indicators.
 - (b) Line management and independent evaluations.
 - (c) Compliance with applicable requirements (Rules, regulatory standards, contract terms).
 - (d) Data collection, analysis, and CAPs.
 - (e) Continuous feedback and performance improvement.
2. When the contractor has achieved an effective self-assessment program, the line management's assessments of the contractor's program move to the following:
 - (a) Operational awareness of contractor work activities, typically through DOE local line managers and staff (such as Facility Representatives, subject matter experts, and other specialists).
 - (b) Review performance against formally established ES&H performance measures, other ES&H performance indicators, and contractor self-assessments. Ensure that corrective action plans are in place and followed.
 - (c) Review and assess in support of required assessments, such as:
 - Readiness Assessments,
 - Operational Readiness Reviews,
 - ISM System Phase I and II verifications, and
 - Authorization basis document reviews (such as those needed for Safety Analysis Reports, Technical Safety Requirements, and Bases for Interim Operations).
 - (d) A periodic, value-added appraisal of sufficient frequency and duration to confirm the contractor's safe performance of work and the effectiveness of the self-assessment program. A cost-effective appraisal meeting the intent of this policy might need to be no more than two weeks in duration and no more than annually at each site. The scope of periodic appraisals, including additional areas of review, is determined by field elements with input from DOE HQ and the contractor. DOE uses the analysis of contractor self-assessment results, performance measures, and operational awareness, as input to scoping the annual appraisal.

Appraisals by non-line organizations, such as EH-2, or external organizations, such as the Environmental Protection Agency and state agencies, are fully considered and not ordinarily duplicated. The appraisals are conducted primarily by DOE employees. Issues identified but unresolved during a periodic appraisal are referred to local DOE personnel (Facility Representatives, etc.) for further examination.
 - (e) For-cause reviews, as necessary.

**GUIDE TO FIELD ELEMENT ES&H AND EMERGENCY MANAGEMENT
ASSESSMENT REQUIREMENTS
as of September 23, 2002**

Note 1: This is not a controlled list. This table and accompanying list are provided for example purposes. The reader is strongly advised to verify whether the directive in question has been revised or if new directives with assessment requirements have been added since this table was developed on September 23, 2002.

Note 2: Strictly paper reviews, such as safety basis documentation review and approval or implementation plan review and approval, were not considered for the purposes of this list.

Functional Area	Assessment Frequency	DOE Assessment Requirement
Accelerator Facilities	4d – Prior to commissioning 4g – Periodically	DOE O 420.2A, 01/08/2001
Accident Investigation	Not specified	DOE O 225.1A, 11/26/1997
Aviation Safety	4l – Before initiation of flight operations and every 24 months thereafter 5k(4) – Periodic Others not specified	DOE O 440.2A, 03/08/2002
Conduct of Operations	Not specified	DOE 5480.19, Chg. 2 10/23/2001
Configuration Management	4.5.1.2, third paragraph – Periodic	DOE O 420.1A, 05/20/2002
Construction	1b(2)(f) – Frequent and regular	DOE O 440.1A, 03/27/1998
	Not specified	DOE 5560.1A, 05/08/1995
Criticality Safety	Not specified	DOE O 420.1A, 05/20/2002
Decontamination and Decommissioning		
Emergency Management	Ch. I, 8m – 1 assessment per site per year Ch. IV, 4b(1)(a) – Every 3 years Ch. IV, 4b(1)(b) – Annually Ch. X, 4a – Annually Ch. X, 4b – Once every 3 years Others not specified	DOE O 151.1A, 11/01/2000
	Not specified	DOE 5530.3, Chg. 1, 04/10/1992
Environmental Protection	Not specified	DOE 5400.1, Chg. 1, 06/29/1990
	Not specified	DOE 5480.4, Chg. 4, 01/07/1993
	5c(1) – Include in existing ISM annual review once 5c(2) – Every 3 years	DOE N 450.4, 02/05/2001
	Not specified	DOE O 451.1B, Chg. 1, 09/28/2001
ES&H Assessment Reporting	4d – Annual report by end of March	DOE N 231.1, 01/15/2002

Functional Area	Assessment Frequency	DOE Assessment Requirement
Explosives	Not specified	DOE O 440.1A, 03/27/1998
Facility Safety	4.2.1, para 7 – Baseline	DOE O 420.1A, 05/20/2002
Fire Protection	Not specified	DOE O 440.1A, 03/27/1998
	4.2.1, para 9 – Regular basis	DOE O 420.1A, 05/20/2002
FRAM (HQ)	Not specified	DOE M 411.1-1B, 05/22/2001
Life Cycle Asset Management	6e(7)(b)7 – Prior to the commencement of execution 6e(7)(c) – Prior to operation	DOE O 430.1A, 10/14/1998
Maintenance	Not specified	DOE O 433.1, 06/01/2001
Management Systems	Periodic – no more than 2 weeks long and no more than once a year	DOE P 450.5, 06/27/1997
Natural Phenomena	4.4.4, third paragraph – every 10 years	DOE O 420.1A, 05/20/2002
Nuclear Safety	Not specified	10 CFR 830, Subpart B, 01/10/2002
	Not specified	10 CFR 820, Appendix A, 10/08/1997
	Not specified	DOE 5480.30, Chg. 1, 03/14/2001
Occupational Safety and Health	5c(1) – Annually	DOE O 440.1A, 03/27/1998
	Not specified	DOE 5480.4, Chg. 4, 01/07/1993
	Not specified	DOE O 443.1, 05/15/2000
	Not specified	DOE N 450.7, 10/17/2001
Occurrence Reporting	Not specified	DOE O 232.1A, 07/21/1997
Packaging and Transportation	Not specified	DOE O 460.1A, 10/02/1996
	4j – Every 3 years 5e(7) – Every 3 years	DOE O 460.2, Chg. 1, 10/26/1995
	Not specified	DOE M 460.2-1, 09/23/2002
Quality Assurance	Not specified	DOE O 414.1A, Chg. 1, 07/12/2001
	Not specified	DOE O 200.1, 09/30/1996
	Not specified	DOE N 203.1, 10/02/2000
	4e – Periodically	DOE O 210.1, Chg. 2, 05/01/1996
	Not specified	DOE O 241.1A, 04/09/2001
Radiation Protection	Not specified	10 CFR 835, 11/04/1998
	Not specified	10 CFR 820, Appendix A, 10/08/1997
	Not specified	DOE 5400.5, Chg. 2, 01/07/1993
Research and Development	Not specified	DOE O 483.1, 01/12/2001
Startup and Restart	Before startup/restart	DOE O 425.1B, 12/21/2000
Suspect/Counterfeit Items	Not specified	DOE O 440.1A, 03/27/1998
Training and Qualification	7c(2) – Periodic Others not specified	DOE 5480.20A, Chg. 1, 07/12/2001
Waste Management	Not specified	DOE O 435.1, Chg. 1, 08/28/2001
	Not specified	DOE M 435.1, Chg. 1, 06/19/2001