

Los Alamos National Laboratory Assessment Planning Tool

6/29/09 (V5.0)

2010 Assessment Selection Tool 6-29-09.xlsm - Microsoft Excel

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Home Insert Page Layout Formulas Data Review View Developer Acrobat

Normal Page Layout Page Break Preview Custom Views Full Screen

Workbook Views Show/Hide

Ruler Formula Bar Gridlines Headings Message Bar

Show/Hide

Zoom 100% Zoom to Selection

New Window Arrange All Freeze Panes Unhide

Window View Side by Side Synchronous Scrolling Reset Window Position

Save Workspace Switch Windows

Macros Arrange Freeze Panes Unhide

Window View Side by Side Synchronous Scrolling Reset Window Position

Save Workspace Switch Windows

Macros

Security Warning Automatic update of links has been disabled Options...

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	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	Instructions																	
2	Update Data	Sort	Sort		Sort	Sort	Sort		Sort			Sort	Sort	Sort	Sort		Sort	
	Assessment Title	Assessment Type	Requirement or Driver	Requirement or Driver Specifics	Risk Type (if applicable)	System	Process	Scope/Objective Description	Primary Assessed AD	Secondary Assessed AD	Assessed Point of Contact (NA for Mgt Assmts)	Assessed FOD	Estimated FY Quarter for Schedule	Estimated Field Observation Start Date (or TBD)	Assessing AD	Assessing Div-Grp	Assmt Team Lead (or TBD)	Other Participating Orgs Acting as Assessors
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Assessment Schedule Worksheet (data transfers from other two worksheets when Update Data Button is selected)

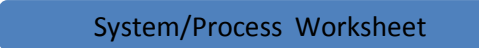
Step	Description	Notes
	Organizational Information Worksheet	
1	Complete the identifying information.	This will be used as identification for the completed tool so that the information can be reused and so that auditors can get the information that they need without having to schedule as many interviews.
	Required Assessments Worksheet	
	<p data-bbox="1014 342 1192 375" style="text-align: center;">To WS</p> <p data-bbox="296 483 919 573">Note: Be sure to have the following requirement document information available when completing this worksheet:</p> <ol data-bbox="296 576 919 667" style="list-style-type: none"> 1. Requirement title and number, 2. Assessment scope and frequency as identified by the requirement. 	<p data-bbox="924 375 1963 581">When completing the Required Assessments worksheets consider all assessments that your organization is obligated to perform because you are</p> <ol data-bbox="924 402 1963 581" style="list-style-type: none"> 1) the Requirement Area Owner for a specific regulation, DOE Order, or driver that mandates that the Laboratory perform a specific assessment, 2) the Issuing Authority for a Laboratory Requirement and are using an assessment as the means to comply with your PD 311 requirements to provide implementation and compliance oversight, or 3) performing the assessment to fulfill a Prime Contract specified deliverable. <ul data-bbox="924 584 1963 735" style="list-style-type: none"> - An obligated assessment is required by a) Law, b) Department of Energy/National Nuclear Security Administration (DOE/NNSA) order or directive, or c) Laboratory policy or procedure. - To assist you in identifying Directives and Regulations, we have provided a spreadsheet called "LANL Required Assessment Drivers" that crosswalks Directives and Regulations with Responsible LANL organizations.
Click on Number to Return to Required Assessments Worksheet	Complete all the following fields for each assessment you identify.	
<u>1</u>	Assessment Title: Provide a brief Title.	
<u>2</u>	Type of Assessment: Select the type of Laboratory assessment you plan to use from pull down list.	Independent, Management, Management Observation & Verification (MOV), Readiness Review, or Vital Safety System Assessment.
<u>3</u>	Primary Requirement or Driver: Select "highest level" of requirement or driver type from pull down list. <i>Note: While there may be multiple levels of drivers (i.e. a LANL procedure or corrective action that is driven by a DOE Order), try to select the "highest" level of requirement/driver.</i>	Examples (highest to lowest): 1) External Regulatory requirements, 2) Orders or directives (DOE or NNSA), 3) Prime Contract/PEP, 4) LANL policy/procedure, 5) Other
<u>4</u>	Requirement/Driver Specifics: Enter Title and Number of the Requirement or Driver identified in previous column.	

5	System/Process: Select one System and corresponding Process area from the pull-down list.	Identification of systems and processes may be useful in evaluating how comprehensive your assessment plan is and in looking for patterns and trends across time and across the Laboratory. Note: A list of Systems and corresponding Processes may be also viewed in the System-Process Areas worksheet.
6	Assessment Frequency: Select the Assessment Frequency that is identified in the Requirement/Driver documents <u>and document the logic behind the frequency selection in the Assessment Scope Field.</u> If no Assessment Frequency is identified in the Requirement/Driver document, select Other from the pull-down list and document that "no assessment frequency was identified" in the Assessment Scope field. <i>NOTE: If assessment frequency occurs multiple times within the scheduled FY (i.e. every 3 or 6 months), every occurrence must be entered on to the schedule.</i>	Select "One-Time Only" if the assessment is not a recurring one. Otherwise select the the most descriptive frequency from the options provided: 3, 6, 12, 24, 36 Months or Other. System/Process Worksheet
7	Assessment Scope Necessary to Meet Requirements: Provide specific scope of assessment as identified by the Requirement or Driver documents. <u>Also document the logic behind the Assessment Frequency selection</u> as identified in the Requirement/Driver documents.	Use this space to define the scope for assessment planners to ensure that they deliver the needed assessment.
8	Transfer to the Schedule? Select "Yes" if you would like the assessment transferred to the schedule, otherwise select "No." <i>NOTE: There is no requirement for MOVs to be on the Integrated Assessment Schedule; however, if you would like to see them on the schedule, select "Yes".</i>	This field is used later on by the workbook to transfer information from the planning sheets to the Assessment Schedule.
9	Primary Assessed Associate Director(s) (AD)(s) - Select the Primary AD to be assessed (select ALL if all ADs will be assessed). If more than one AD is to be assessed, use next column to select a Secondary AD.	
10	Secondary Assessed (AD)(s) - Select the Secondary AD to be assessed (select ALL if all ADs will be assessed).	
11	Assessed Point of Contact (POC) - Identify the assessment POC for the organization that is to be assessed.	

12	Assessed Facility Operations Directorate (FOD) – Select the FOD to be assessed (select ALL if all FODs will be assessed). <i>Note: When assigning an Estimated Quarter or Start Date, please consider scheduling Independent Assessments during the windows of time provided by the FODs on the "FOD Times for Ind Assess" Worksheet.</i>	
13	Estimated FY Quarter for Schedule - From the pull-down menu, select the <i>FY quarter end date</i> that reflects the quarter the assessment is estimated to be scheduled in. Selection of this FY quarter end date indicates that the assessment will occur by the end of the quarter selected. Note: <i>This field is to be used when an exact Estimated Field Observation Date is not known at time of planning.</i>	These fields are used later on by the workbook to combine the planning sheets into the information that will be used for the Assessment Schedule for the next FY. The copy is triggered by indicating "Yes" in step 9.
14	Estimated Field Observation Start Date - Enter the estimated Field Observation Start Date (mm/dd/yyyy). <i>If you do not know this date at the time of planning, complete the previous field "Estimated FY Quarter for Schedule".</i>	
15	Assessing Associate Director (AD) - Identify the AD that is responsible for performing the assessment.	
16	Assessing Div-Grp - Identify the Division and Group that is responsible for performing the assessment.	
17	Assessment Team Lead - Identify the Team Lead responsible for leading the assessment or enter TBD if that has not yet been determined.	
18	Other Participating Orgs Acting as Assessors - Identify any other organization(s) that will be acting as assessors during the assessment.	
	Risk-Prioritized Assessments Worksheet	
Click on Number to Return to Risk Prioritized Assessments Worksheet		This worksheet helps you identify risks, concerns, vulnerabilities, uncertainties, or lost opportunities and to document the level of risk for each item identified to determine whether: <ul style="list-style-type: none"> a) you currently have actions in place that are likely to be successful in managing the risk, b) an assessment will improve the likelihood of successfully managing this risk, or c) a continuous improvement effort or measure development will improve the likelihood of successfully managing the risk.

1	<p><u>Risk, Concern, Vulnerability, Uncertainty, Missed Opportunity:</u> List the risks, concerns, vulnerabilities, uncertainties, or lost opportunities which most concern you relative to performance of your programs and operations.</p>	<p>Also, consider risks associated with the implementation of new or revised Laboratory-wide program To WS Integrated Safety Management, Integrated Safeguards and Security Management, Radiation Protection, etc. Previous assessments and measures performance are helpful in identifying these elements.</p>
2	<p><u>Risk Type:</u> For each item identified in Step 1, select the Risk Type that is most closely associated to it.</p>	<p>Choose the option that is primary from among: compliance, emergency management, environment, financial, mission program development, mission program performance, property/assets, public confidence, public safety/health, safeguards/security, work safety/health, other. It is not critical that this categorization be precise, rather it may be useful in evaluating how comprehensive the set is and in looking for patterns and trends across time and across the Laboratory.</p>
3	<p><u>Worst Case Consequence Category:</u> For each item identified in Step 1, use the pull-down menu to select your "best fit" estimate of the Worst Case Consequence for the risk or vulnerability. <i>The numerical value associated with the consequence (next column) is calculated and entered automatically.</i></p>	<p>Options provided: none/routine admin, minor/recoverable, moderate/recoverable, major/recoverable, permanent/beyond LANL. Reflects the amount of time, lost productivity, and the remediation costs associated with the consequence]. Major, Moderate, and Minor are determined within the context of your program and operations. It may help to think of examples from the past to anchor these levels.</p>
4	<p><u>Sort and Review:</u> After you have completed Steps 1-3 for all identified items, it may be useful to use the Sort button located above the Worst Case Consequence category to check that the risks and vulnerabilities are ordered by relative consequence. If the ordering does not appear to make sense, make needed changes in the Consequence estimates.</p>	<p>This sort enables pair-wise checks of the resulting order. This step could also be done later on.</p>
5	<p><u>Actions planned or underway to manage the risk or seize the opportunity:</u> List the actions that you have underway or are planning to initiate to manage the risk, concern, vulnerability, uncertainty, or missed opportunity.</p>	<p><i>Only complete this field for items that have consequences other than None, Routine Administrative.</i> Use your own words with sufficient detail that is can be understood by those with whom you may want to communicate the results of the selection process.</p>
6	<p><u>Likelihood of Action Success (Certainty):</u> When completing this field think about: <i>How likely it is that the actions planned or underway will be successful in managing the risk.</i> Select your "best fit" estimate of the Likelihood of Action Success. <i>The numerical value associated with the likelihood (next column) is calculated and entered automatically.</i></p>	<p><i>Only complete this field for items that have consequences other than None, Routine Administrative.</i> Options to choose from: very likely, likely, 50/50, unlikely, very unlikely]. It helps to consider a timeframe when estimating likelihood. Five years is often a timeframe that can be estimated with some accuracy.</p>

7	<p>Sort and Review: It may be useful at this time to use the Sort button located above the Likelihood of Action Success column to check that the risks and vulnerabilities are appropriately ordered by relative likelihood. If the ordering does not appear to make sense, make needed changes in the Likelihood estimates.</p>	<p>This sort enables pair-wise checks of the resulting order based upon which actions you have greater confidence in.</p>
8	<p>Risk Level Numeric: This numerical value is calculated and entered automatically (consequence x likelihood).</p>	
9	<p>Sort and Review: It may be useful at this time to use the Sort button located above the Risk Level (numeric) or Risk Level (adjective) columns to check that items are sensibly ordered by relative risk. If the ordering does not appear to make sense, make needed changes in the Consequence or Likelihood estimates and then repeat the steps above as needed.</p>	<p>This sort allows you to explain "why" you chose to take or not to take additional actions that would Improve Likelihood of Success.</p>
10	<p>What Would Improve Likelihood of Success: Consider the Risk Level along with recent action(s) when determining whether an assessment, a continuous improvement, or a measure development might improve the likelihood of success in managing the risk, concern, vulnerability, uncertainty, or lost opportunity. <i>See possible scenarios under Notes to the right.</i></p>	<p>Possible scenarios:</p> <ol style="list-style-type: none"> 1. You've just completed an assessment in the identified area of risk and you're still completing corrective actions. Setting up a new measure to track improvement may be more appropriate than performing another assessment. 2. You keep having problems in the identified area of risk no matter how many times you've assessed, identified, and corrected problems. You may want to perform a continuous improvement process. 3. You do not have enough information about the risk itself, and an assessment would give you the additional information you need. NOTE: The tool enables you to carry the Risks you have considered from year to year, so you have a risk reference point which you can continuously refer to and modify throughout the year.
11	<p>Transfer to the Schedule? Select "Yes" if you would like the assessment on the schedule. Select "No" if you've selected Continuous Improvement, Metric Development, or No Additional Action At This Time. <i>This field must be completed because it is used later on by the workbook to transfer information from the planning sheets to the Assessment Schedule.</i></p>	<p>NOTE: There is no requirement for MOVs to be on the Integrated Assessment Schedule; however, if you would like to see them on the schedule, select "Yes".</p>
<p>Only complete the following fields for items where "Assessment" was selected for Improving Likelihood of Success.</p>		
12	<p>Type of Assessment: If an assessment will improve the likelihood for success, select the method you will use to perform the assessment from pull down list.</p>	<p>Independent, Management, Management Observation & Verification (MOV), Readiness Review, or Vital Safety System Assessment.</p>

13	System/Process: Select one System and corresponding Process area from the pull-down list.	Identification of systems and processes may be useful in evaluating how comprehensive your assessment plan is and in looking for patterns and trends across time and across the Laboratory. Note: A list of Systems and corresponding Processes may be also viewed in the System-Process Areas worksheet.
14	Assessment Frequency: Select the Assessment Frequency and document the logic behind the frequency selection in the Assessment Scope Field. <i>NOTE: If assessment frequency occurs multiple times within the scheduled FY (i.e. every 3 or 6 months), every occurrence must be entered on to the schedule.</i>	Select "One-Time Only" if the assessment is not a recurring one. Otherwise select the the most descriptive frequency from the options provided: 3, 6, 12, 24, 36 Months or Other.
15	What assessment scope would be the most beneficial in improving the certainty of success?: Provide specific scope of assessment and the logic behind the selected Assessment Frequency.	Use this space to define the scope for assessment planners to ensure that they deliver the needed assessment.
16	Assessment Title: Provide a Title for the assessment.	
17	Primary Assessed Associate Director(s) (AD)(s) - Select the Primary AD to be assessed (select ALL if all ADs will be assessed). If more than one AD is to be assessed, use next column to select a Secondary AD.	
18	Secondary Assessed (AD)(s) - Select the Secondary AD to be assessed (select ALL if all ADs will be assessed).	
19	Assessed Point of Contact (POC) - Identify the assessment POC for the organization that is to be assessed.	
20	Assessed Facility Operations Directorate (FOD) – Select the FOD to be assessed (select ALL if all FODs will be assessed). <i>Note: When assigning an Estimated Quarter or Start Date, please consider scheduling Independent Assessments during the windows of time provided by the FODs on the "FOD Times for Ind Assess" Worksheet.</i>	

21	<p>Estimated FY Quarter for Schedule - From the pull-down menu, select the <i>FY quarter end date</i> that reflects the quarter the assessment is estimated to be scheduled in. Selection of this FY quarter end date indicates that the assessment will occur by the end of the quarter selected. Note: <i>This field is to be used when an exact Estimated Field Observation Date is not known at time of planning.</i></p>	<p>These fields are used later on by the workbook to combine the planning sheets into the information that will be used for the Assessment Schedule for the next FY. The copy is triggered by indicating "Yes" in step 13.</p>
22	<p>Estimated Field Observation Start Date - Enter the estimated Field Observation Start Date (mm/dd/yyyy). <i>If you do not know this date at the time of planning, complete the previous field "Estimated FY Quarter for Schedule".</i></p>	
23	<p>Assessing Associate Director (AD) - Identify the AD that is responsible for performing the assessment.</p>	
24	<p>Assessing Div-Grp - Identify the Division and Group that is responsible for performing the assessment.</p>	
25	<p>Assessment Team Lead - Identify the Team Lead responsible for leading the assessment or enter TBD if that has not yet been determined.</p>	
26	<p>Other Participating Orgs Acting as Assessors - Identify any other organization(s) that will be acting as assessors during the assessment.</p>	
Assessment Schedule		<p>This sheet is designed to organize your input to the assessment schedule in a manner that clearly links it to the planning processes. It is initially blank until you <u>click on the Update button</u>. Any changes in content need to be made on the planning sheets followed by another Update. The Sort buttons on this sheet are designed to help you evaluate potential resource loading issues.</p>
External Assessments Worksheet		
<p>This sheet is to identify known assessments that are going to be performed by external organizations (LASO, NNSA, DOE, and other federal/state assessments) that may impact resources in your organization. These assessments will not be incorporated into your assesment plan.</p>		
1	<p>Assessment Title: Provide a brief Title.</p>	
2	<p>Type of Assessment: Enter the type of external assessment.</p>	
3	<p>Primary Requirement or Driver: If known, select the requirement or driver type from pull down list.</p>	

<u>4</u>	Requirement/Driver Specifics: Enter Title and Number of the Requirement or Driver identified in previous column.	
<u>5</u>	System/Process: Select one System and corresponding Process area from the pull-down list.	Identification of systems and processes may be useful in evaluating the areas at the Laboratory that are going to be assessed. Note: A list of Systems and corresponding Processes may be also view To WS System-Process Areas worksheet.
<u>6</u>	Assessment Frequency: Select the Assessment Frequency if known.	Select "One-Time Only" if the assessment is not a recurring one. Otherwise select the the most descriptive frequency from the options provided: 3, 6, 12, 24, 36 Months or Other.
<u>7</u>	Assessment Scope: Provide scope of assessment if known.	
<u>8</u>	Primary Assessed Associate Director(s) (AD)(s) - Select the Primary AD to be assessed (select ALL if all ADs will be assessed). If more than one AD is to be assessed, use next column to select a Secondary AD.	To WS
<u>10</u>	Secondary Assessed (AD)(s) - Select the Secondary AD to be assessed (select ALL if all ADs will be assessed).	
<u>11</u>	Assessed Facility Operations Directorate (FOD) – Select the FOD to be assessed (select ALL if all FODs will be assessed). <i>Note: When assigning an Estimated Quarter or Start Date, please consider scheduling Independent Assessments during the windows of time provided by the FODs on the "FOD Times for Ind Assess" Worksheet.</i>	
<u>12</u>	Assessed Facility Operations Directorate (FOD) – Select the FOD to be assessed (select AL if all FODs will be assessed).	
<u>13</u>	Estimated FY Quarter for Schedule - From the pull-down menu, select the <i>FY quarter end date</i> that reflects the quarter the assessment is estimated to be scheduled in. Selection of this FY quarter end date indicates that the assessment will occur by the end of the quarter selected. Note: <i>This field is to be used when an exact Estimated Field Observation Date is not known at time of planning.</i>	System/Process Worksheet

<u>14</u>	Estimated Field Observation Start Date - Enter the estimated Field Observation Start Date (mm/dd/yyyy). <i>If you do not know this date at the time of planning, complete the previous field "Estimated FY Quarter for Schedule".</i>
<u>15</u>	Hosting Associate Director (AD) - Identify the AD that is responsible for hosting the external assessment.
<u>16</u>	Hosting Assessing Div-Grp - Identify the Division and Group that is responsible for hosting the external assessment.
<u>17</u>	Hosting Assessment Team Lead - Identify the Team Lead responsible for hosting the external assessment or enter TBD if that has not yet been determined.
<u>18</u>	Other Participating Orgs Acting as Assessors - Identify any other organization(s) that will be acting as assessors during the assessment.

LANL Required Assessment Drivers

Back to Req Assessment WS					
Responsible LANL Organization	Directive or Regulation #	Date	Frequency	Title	Excerpt of Text Suggesting that Assessments Might be Required
ADBS	DOE O 580.1 Chg 1	5/8/2008	Annual	Department of Energy Personal Property Management Program	1d. Perform assessments of its personal property management systems , in accordance with directions provided by DOE, to determine whether the systems meet DOE personal property management program expectations, reporting assessment results to the cognizant DOE property management function and taking corrective action when weaknesses are identified. 2c(1) Domestic loans may be approved by the appropriate DOE official for one loan period up to 3 years with annual assessments of verifiable need.
ADEP	DOE M 435.1-1 Chg 1	6/19/2001	Unspecified	Radioactive Waste Management Manual	Chapter II. (1) The evaluation and assessment requirements of RW- 0333P, Quality Assurance Requirements Document and Description, and associated implementing procedures shall be met for high-level waste acceptance and product quality activities , in addition to the assessment requirements of other DOE directives Chapter IV P(2) A site-specific radiological performance assessment shall be prepared and maintained for DOE low-level waste disposed of after September 26, 1988. The performance assessment shall include calculations for a 1,000 year period after closure of potential doses to representative future members of the public and potential releases from the facility
ADESHQ	DOE M 231.1-1A Chg 2	9/9/2004	Unspecified	Environment, Safety, and Health Reporting Manual	Appendix F, Table F-2. Fire hazards analyses/ fire protection program assessment reports are complete (as compared to the examples in the DOE Fire Protection Handbook) and current. The site has access to a fleet of mobile apparatus capable of responding effectively and in a timely manner to all credible, anticipated site emergencies as determined by a Baseline Needs Assessment (BNA) . Additionally, such assessments address the requirements of NFPA 1710 with any equivalencies documented and approved by the Local DOE Authority Having Jurisdiction.

LANL Required Assessment Drivers

ADESHQ	DOE O 414.1C	6/17/2005	Unspecified	Quality Assurance	<p>1b. To achieve QA for all work based upon the following principles.</p> <p>(3) That performance and quality improvement require thorough rigorous assessment and corrective action.</p> <p>2a. Quality Assurance Program Development and Implementation. A contractor must assign and identify a senior management position responsible for the development, implementation, assessment, and improvement of a QAP that does the following.</p> <p>3. The QAP must address the following management, performance, and assessment criteria.</p> <p>3a. Management/Criterion 1—Program.</p> <p>(1) Establish an organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing work.</p> <p>3i. Assessment/Criterion 9—Management Assessment. Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.</p>
ADESHQ	DOE O 440.2B Chg 1	11/19/2006	Unspecified	Aviation Management and Safety	<p>2e Establishes a comprehensive, integrated aviation safety program. The program will— 4) conduct internal assessments and oversight to verify that the standard elements required are implemented;</p>
ADESHQ	DOE O 443.1A	12/20/2007	Unspecified	Protection of Human Subjects	<p>7. Periodically conduct internal assessments and oversight to verify that the standard elements required are implemented;</p>
ADESHQ	DOE O 450.1A	6/4/2008	Unspecified	Environmental Protection Program	<p>1b. (2) Protection of public health and the environment, including but not limited to—</p> <p>(e) Assessment of the hazard of engineered nanomaterials and implementation of appropriate environment, safety and health controls.</p> <p>(7) conduct of appropriate operational assessments, such as pollution prevention opportunity assessments, of site operations and activities to identify opportunities to implement sustainable practices</p>

LANL Required Assessment Drivers

<p>ADESHQ</p>	<p>DOE O 5400.5 Chg 2</p>	<p>1/7/1993</p>	<p>Unspecified</p>	<p>Radiation Protection of the Public & the Environment</p>	<p>9b(3)(b) Maintain appropriate capabilities at each operating site for monitoring and assessing routine and unplanned releases of radioactive materials, with respect to the characteristics of radioactive material released and the release modes, consistent with the types of operations conducted; 6a. Demonstration of Compliance. Demonstrations of compliance with requirements of this Order generally will be based upon calculations that make use of information obtained from monitoring and surveillance programs. The abilities to detect, quantify, and adequately respond to unplanned releases of radioactive material to the environment also rely on in-place effluent monitoring, monitoring of environmental transport and diffusion conditions, and assessment capabilities. This will enable DOE to develop useful data and to collect and analyze pertinent information on unplanned releases in a timely manner. It is the intent of DOE that the monitoring and surveillance programs for the DOE activities, facilities, and locations be of high quality. Although some differences result from specific site or specific activity conditions, uniformity in the methods and performance criteria used in obtaining the information is desirable. 8a. Content. Records developed shall include information and</p>
<p>ADESHQ</p>	<p>10CFR851.21</p>			<p>Worker Safety and Health Program Hazard identification and assessment</p>	<p>(a) Contractors must establish procedures to identify existing and potential workplace hazards and assess the risk of associated workers injury and illness. Procedures must include methods to: (1) Assess worker exposure to chemical, physical, biological, or safety workplace hazards through appropriate workplace monitoring; (2) Document assessment for chemical, physical, biological, and safety workplace hazards using recognized exposure assessment and testing methodologies and using of accredited and certified laboratories; (3) Record observations, testing and monitoring results; (4) Analyze designs of new facilities and modifications to existing facilities and equipment for potential workplace hazards; (5) Evaluate operations, procedures, and facilities to identify workplace hazards; (6) Perform routine job activity-level hazard analyses; (7) Review site safety and health experience information; and (8) Consider interaction between workplace hazards and other hazards such as radiological hazards. (b) Contractors must submit to the Head of DOE Field Element a list of closure facility hazards and the established controls within 90 days after identifying such hazards. The Head</p>
<p>ADESHQ</p>	<p>10CFR835.102</p>		<p>Triennial</p>	<p>Occupational Radiation Protection - Internal audits</p>	<p>Internal audits of the radiation protection program, including examination of program content and implementation, shall be conducted through a process that ensures that all functional elements are reviewed no less frequently than every 36 months.</p>

LANL Required Assessment Drivers

<p>ADNHHO</p>	<p>DOE G 420.1-1</p>	<p>3/28/2000</p>	<p>Annual</p>	<p>Nonreactor Nuclear Safety Design Criteria and Explosives Safety Criteria Guide for use with DOE O 420.1, Facility Safety</p>	<p>This is NOT a requirements document. p. 8 an annual assessment of any changes in the site boundary and potential effects on safety SSC classification should be performed, in association with the required annual update of the Safety Analysis Report for a facility. 3.3.3 Design considerations for volcanic eruption and ash fall, lightning strikes, range fires, snow loads, and extreme temperatures are not provided in DOE O 420.1, Section 4.4, and other associated standards. Criteria for the assessment and mitigation of these hazards must be developed on a site-specific basis and approved by DOE prior to use. p. 28 Adequate instrumentation and controls must be provided to assess system performance and to allow the necessary control of system operation.</p>
<p>ADNHHO</p>	<p>DOE G 423.1-1</p>	<p>10/24/2001</p>	<p>Unspecified</p>	<p>Implementation Guide For Use In Developing Technical Safety Requirements</p>	<p>Guidance for reviews and audits. Reviews and audits of activities affecting facility safety have two distinct elements. The first of these is the review performed by facility personnel to ensure that day-to-day activities are conducted in a safe manner. The second of these is the review and audit of facility activities and programs affecting nuclear safety that is performed independently of the facility staff. The independent review and audit should provide for the integration of the reviews and audits into a cohesive program to provide senior level facility operation and recommend actions to improve nuclear safety and facility reliability. It should include an assessment of the effectiveness of reviews conducted by facility staff. Facility staff reviews should include USQ determinations; proposed tests and experiments; procedures; programs; facility changes and modifications; TSR changes; facility operation, maintenance, and testing; DOE and industry issues of safety significance; and any other safety-related items. Reviews by the off-site safety organization</p>

LANL Required Assessment Drivers

<p>ADNHHO</p>	<p>DOE O 420.2B</p>	<p>7/23/2004</p>	<p>Unspecified</p>	<p>Safety of Accelerator Facilities</p>	<p>1. Safety Assessment Document (SAD). A SAD must— a. identify hazards and associated onsite and offsite impacts to workers, the public, and the environment from the facility for both normal operations and credible accidents; b. contain sufficient descriptive information and analytical results pertaining to specific hazards and risks identified during the safety analysis process to provide an understanding of risks presented by the proposed operations; c. provide appropriate documentation and detailed descriptions of engineered controls (e.g., interlocks and physical barriers) and administrative measures (e.g., training) taken to eliminate, control, or mitigate risks of operation; d. include or reference a description of facility function, location, and management organization in addition to details of major facility components and their operation; e. be prepared as a single document addressing the hazards of the entire accelerator facility or as separate SADs prepared for discrete modules of the facility such as injectors, targets, experiments, experimental halls, and other type modules; and f. be maintained current and consistent with the administrative control measures and physical configuration of the facility and</p>
<p>ADNHHO</p>	<p>DOE O 461.1A</p>	<p>4/26/2004</p>	<p>Annual</p>	<p>Packaging and Transfer or Transportation of Materials of National Security Interest</p>	<p>4. Contractors who request an OTA to ship Type B content in packaging that is not compliant with the requirements of 49 CFR 100-185 and/or 10 CFR 71 must supplement the documentation submitted to support the request with a Transportation System Risk Assessment (TSRA) that records the hazards, the assessment of the hazards, and the analysis methods, and actual analyses and results used to determine the probability and consequences of undesired but credible events that could pose risks to the workers, public and/or environment . 20. Contractors will ensure that their organizations perform annual self-assessments of activities covered by this CRD.</p>

LANL Required Assessment Drivers

<p>ADNHHO</p>	<p>DOE O 5480.30 Chg 1</p>	<p>3/14/2001</p>	<p>Unspecified</p>	<p>Nuclear Reactor Safety Design Criteria</p>	<p>Attachment 3. 3a(2)(a) Program-Organizations should develop, implement, and maintain a written Quality Assurance Program (QAP). The QAP should describe the organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing adequacy of work. The QAP should describe the management system, including planning, scheduling, and cost control considerations. 3a(2)(c) Assessment. 1 Management Assessment. Management at all levels should periodically assess the integrated quality ASSURANCE program and its performance. Problems that hinder the organization from achieving its objectives should be identified and corrected. 2 Independent Assessment. Planned and periodic independent assessments should be conducted to measure item quality and process effectiveness and to promote improvement. The organization performing independent assessments should have sufficient authority and freedom from the line organization to carry out its responsibilities. Persons conducting independent assessments should be technically qualified and knowledgeable in the areas assessed. Specific guidance for each of these criteria is given in Attachment I of DOE 5700.6C, QUALITY ASSURANCE.</p>
<p>ADNHHO</p>	<p>DOE-STD-1186-2004</p>	<p>Aug-04</p>	<p>Unspecified</p>	<p>Specific Administrative Controls</p>	<p>p. 14 If SACs require operator action and perform a function similar to a SC SSC, a human reliability assessment (HRA) should be performed as part of the Specific AC formulation. The HRA validates the dependability of an SAC and can identify weaknesses in the proposed procedures to implement an SAC and suggest additional measures to improve the overall dependability. p. 23 Prior to implementation of DOE approved TSR ACs, contractors should first take appropriate actions to ensure a control's availability and readiness. These actions may include programmatic assessments, development or modification of facility procedures, and training of facility personnel. Continuing implementation of the programmatic control is typically verified through continuing assessment and performance monitoring (trend analysis).</p>

LANL Required Assessment Drivers

<p>ADNHHO</p>	<p>DOE-STD-1189-2008</p>	<p>Mar-08</p>	<p>Unspecified</p>	<p>Integration of Safety Into The Design Process</p>	<p>p. 7. The SDIT (or the project safety lead if there is no SDIT) is responsible for drafting a SDS and also for preparing a Risk and Opportunity Assessment. Table 2-1 The Risk and Opportunity Assessment is input to the project's Risk Management Plan and is summarized in that document. Contractor SDIT or, in the absence of an SDIT, the contractor safety lead prepares the Risk and Opportunity Assessment. It is updated, as appropriate, throughout the design stages. 3.2 A Quality Assurance Program (QAP), compliant with 10 CFR 830, Subpart A, and DOE O 414.1C is established early in the project. The QAP describes the planned quality-related activities, surveillances, and assessments and is developed in the project conceptual phase and updated as the project matures. Section 8.9 of this Standard addresses the QAP in more detail</p>
<p>ADNHHO</p>	<p>SEN-35-91</p>	<p>9/9/1991</p>	<p>Unspecified</p>	<p>Nuclear Safety Policy</p>	<p>Therefore, DOE contractors must critically assess the standards in use at DOE facilities to assure that they remain consistent with the latest information arising from operational experience and developments in science and engineering. Where standards do not exist or where existing standards do not suffice, appropriate DOE nuclear safety standards shall be developed and adopted</p>

LANL Required Assessment Drivers

<p>ADPMSS</p>	<p>DOE O 430.1B Chg.1</p>	<p>2/8/2008</p>	<p>Every 5 Years</p>	<p>Real Property Asset Management</p>	<p>1. PLANNING. Based on DOE-furnished program planning guidance, the contractor must</p> <p>a. assess the current real property assets against program mission projections and</p> <p>b. identify the specific real property asset projects and activities required to meet program mission projections, and propose a 10-year planning horizon through the development of a Ten-Year Site Plan (TYSP) or a disposition plan for closure sites. [See also paragraph 4a of DOE O 430.1B.]</p> <p>5. Maintenance. The contractor must maintain real property assets in a manner that promotes operational safety, worker health, environmental compliance, property preservation and cost-effectiveness while meeting the program missions. This requires a balanced approach that not only sustains the assets, but also provides for their recapitalization and includes the following as a minimum.</p> <p>a. A maintenance management program that includes a condition assessment of the real property assets, a work control system, management of deferred maintenance, a method to prioritize, and systems to budget and track maintenance expenditures.</p> <p>d. Condition assessments must be performed on real property assets at least once within a five-year period, and may be required more frequently for mission essential facilities and infrastructure. The condition assessment program shall utilize a tailored approach based on facility status, mission and importance and the magnitude of the hazards associated with facilities and infrastructure. Inspection methodology shall be consistent with industry practice, and shall include identification of safety and health hazards. Deferred maintenance estimates will be based on nationally recognized cost estimating systems or</p>
<p>ADPMSS</p>	<p>DOE O 433.1A</p>	<p>2/13/2007</p>	<p>Unspecified</p>	<p>Maintenance Management Program for DOE Nuclear Facilities</p>	<p>2b(3)(m) Facility Condition Inspection conducted by management periodically direct independent assessments of equipment and facilities to ensure safe nuclear facility condition and housekeeping and to meet fire protection and natural hazard phenomena mitigation requirements of DOE O 420.1B, <i>Facility Safety</i></p>
<p>ADSS</p>	<p>DOE M 470.4-1 Chg 1</p>	<p>3/7/2006</p>	<p>Unspecified</p>	<p>Safeguards and Security Program Planning and Management</p>	<p>2e. Risk Management. S&S programs must be based on the results of vulnerability and risk assessments, the results of which are used to design and provide graded protection in accordance with an asset's importance or the impact of its loss, destruction, or misuse. The results of the assessments, to include the determination of system effectiveness, are one of the key considerations the manager must evaluate when establishing the level of risk. (1) Vulnerability and risk assessments must be conducted and documented to support the identification of risks to be accepted by the Department.</p>

LANL Required Assessment Drivers

<p>ADSS</p>	<p>DOE M 470.4-3A</p>	<p>11/5/2008</p>	<p>Annual</p>	<p>Contractor Protective Force</p>	<p>Chapter V. 1. APPRAISALS/SELF-ASSESSMENTS. a. Formal appraisals or self-assessments of the safety and health aspects of the safeguards and security (S&S) program must include firearms safety and must be performed by line management annually (at least every 12 months). [DOE O 440.1A, Worker Protection Management for DOE Federal and Contractor Employees]. b. Contractors must conduct and document formal appraisals and self-assessments (i.e., annual program reviews and worksite appraisals and periodic surveillance). c. Department of Energy (DOE) line management must conduct and document formal self-assessments to include annual program reviews of each contractor and appraisals of selected worksites. d. Firearms safety assessments must be conducted by safety personnel or by a joint safety and protective force (PF) evaluation team. e. Firearms safety assessments must cover procedures, responsibilities, and duty assignments within the firearms safety program to ensure that overall objectives and performance are being met. f. Firearms safety assessments must include reviews of: (1) records of unauthorized firearms discharges, investigations of such discharges, and the application of lessons learned; (2) armorer's records of firearms inspections, malfunctions, and</p>
<p>ADSS</p>	<p>DOE M 470.4-6 Chg 1</p>	<p>8/14/2006</p>	<p>Unspecified</p>	<p>Nuclear Material Control and Accountability</p>	<p>Chapter I. 6. ASSESSMENT PROGRAMS. a. General. The site/facility operator must establish a program to periodically review and assess the integrity and quality of its MC&A program and practices. The assessment program must address both normal operations and emergency conditions. The frequency and content of these assessments must be on a graded basis approved by the DOE cognizant security authority. (See DOE M 470.4-1, Safeguards and Security Program Planning and Management, for additional information on safeguards and security assessment programs.) The results of all assessments must be reported to the DOE cognizant security authority, and assessment reports must be reviewed for classification. Deficiencies must be identified and corrective action plans developed. The assessment must be performed by personnel who are knowledgeable of MC&A. Reviews must be conducted and documented before startup of new facilities or operations and when changes occur in facilities, operations, or MC&A features that might alter the performance of the MC&A system. b. Assessment Program Elements. At a minimum, the assessment program must address the following. (1) (14) TID programs. c. Independent Assessments. In addition to the assessments described above, an organization independent of MC&A must</p>

LANL Required Assessment Drivers

<p>ADSS</p>	<p>DOE M 475.1-1B</p>	<p>8/28/2007</p>	<p>Biennial</p>	<p>Identifying Classified Information</p>	<p>Chapter VII, Classification Program Evaluations. 1. Self-Assessment. Every 2 years, each Classification Officer must complete a written self-assessment of his or her implementation of the requirements contained in the CRDs to DOE O 475.2 and DOE M 475.1-1B.</p> <p>2. On-Site Review. Each Classification Officer must conduct an on-site review of each contractor organization under his or her cognizance that has a Classification Officer to evaluate his or her implementation of the requirements contained in the CRDs to DOE O 475.2 and DOE M 475.1-1B. This review must be documented in a written report, including a corrective action plan for any deficiencies noted.</p> <p>3. Scope. Each self-assessment and on-site review must cover the following areas.</p> <p>a. Management Responsibilities. Management provides the necessary resources and support to meet the requirements specified in the CRDs to DOE O 475.2 and DOE M 475.1-1B.</p> <p>b. Authorities. A sufficient number and appropriate distribution of Derivative Classifiers and Derivative Declassifiers exists so as to not unduly interfere with or delay the work of the contractor; a record of classification officials appointed is maintained (e.g., in a paper document, electronic database); the description for each authority includes the individual's name, organization, the effective date, the specific subject areas covered by the authority, the jurisdiction of the authority, the expiration date, and any special instructions or limitations on the authority; and initial and reappointment training and testing have been</p>
<p>ADSS</p>	<p>DOE O 151.1C</p>	<p>11/2/2015</p>	<p>Unspecified</p>	<p>Comprehensive Emergency Management System</p>	<p>2. Contractors must implement and document an integrated Operational Emergency Base Program for each facility and activity. 2a. The Operational Emergency Base Program must be based on a Hazards Survey. A Hazards Survey is an examination of the features and characteristics of the facility or activity to identify the generic emergency events and conditions (including natural phenomena such as earthquakes and tornadoes; wild land fires; and other serious events involving or affecting health and safety, the environment, safeguards, and security at the facility) and the potential impacts of such emergencies.</p> <p>(1) Each Hazards Survey must—</p> <p>(a) identify (e.g., in matrix or tabular form) the emergency conditions (e.g., fires, work place accidents, natural phenomena, etc.);</p> <p>(b) describe the potential health, safety, or environmental impacts;</p> <p>(c) indicate the need for further analyses of hazardous materials in an Emergency Planning Hazards Assessment (EPHA), based on the results of the hazardous material screening process described in paragraph 2b below; and</p> <p>(d) identify the planning and preparedness requirements that apply to each type of hazard.</p> <p>(3) Hazards surveys must be updated every three years and prior to significant changes to the site/facility or to hazardous</p>

LANL Required Assessment Drivers

<p>ADSS</p>	<p>DOE O 475.2</p>	<p>8/28/2007</p>	<p>Biennial</p>	<p>Identifying Classified Information</p>	<p>1j. Ensure that the performance contract or other system used to rate personnel performance includes the management of classified information as a critical element or item to be evaluated in the rating of employees whose duties significantly involve the creation of classified information (e.g., Classification Officer, Classification Coordinator, Derivative Classifier, and Derivative Declassifier). Such performance systems include but are not limited to the annual personnel performance rating system or personnel evaluations based upon the Integrated Safeguards and Security Management system or an organization’s internal self-assessment system, etc. 2n. Conducts a self-assessment of the implementation of the requirements in this CRD and the CRD to DOE M 475.1-1B every 2 years. If the individual serves as the Classification Officer under an agreement for support with another organization, then he or she must also conduct such an assessment every 2 years for that organization. 2o. Conducts an on-site review of the implementation of the requirements in this CRD and the CRD to DOE M 475.1-1B by each contractor organization under his or her cognizance that has a Classification Officer every 2 years (or more or less frequently based on previous on-site review results).</p>
<p>ADTR</p>	<p>DOE O 142.3, Chg 1</p>	<p>2/28/2008</p>	<p>Unspecified</p>	<p>Unclassified Foreign Visits and Assignment</p>	<p>3i. Follow a graded approach for reviewing and approving access by foreign nationals to DOE sites, programs, information, and technologies based on location, country, subject, and length of time. 4a(11) Ensure that the UFVA program is included in organizational self-assessments.</p>
<p>CAO</p>	<p>DOE O 210.2</p>	<p>6/12/2006</p>	<p>Unspecified</p>	<p>DOE Corporate Operating Experience Program</p>	<p>1c. (4) Assess contractor operating event trends to identify recurring issues and evaluate the root causes of the recurring issues. 2g. As a part of self-assessments conducted to evaluate the contractor’s ISMS performance, include an assessment of the effectiveness of the contractor organization’s operating experience program. Report the results of this effectiveness review to the DOE Contracting Officer and the DOE Corporate Operating Experience Program lead office. 2h (5) With assistance from subject matter experts, assess the applicability and significance of internal and external operating experiences identified as potential lessons learned.</p>

LANL Required Assessment Drivers

CAO	DOE O 226.1A	7/31/2007	Unspecified	Implementation of DOE Oversight Policy	2b. The contractor assurance system will address the criteria described in Appendix A to this CRD, or other comparably effective criteria established by responsible DOE line management, for activities such as the following: (1) assessments (including self-assessments or management assessments, operational awareness or management walk-throughs, quality assurance assessments, and internal independent assessments), Appendix A 2. A rigorous and credible assessment program is the cornerstone of effective, efficient management of programs such as environment, safety, and health; safeguards and security; cyber security; and emergency management. Contractors will be responsible for developing, implementing, and performing comprehensive assessments of all facilities, systems, and organizational elements, including subcontractors, on a recurring basis. The scope and frequency of assessments must be specified in site plans and program documents (e.g., the quality assurance program) and must ensure that required assessments by applicable DOE directives are being performed; the effectiveness of safety management programs, including programs that are credited in the safety basis for nuclear facilities are being assessed adequately; deficiencies are being self-identified; and corrective actions are
CIO	DOE O 205.1A	12/4/2006	Unspecified	Department of Energy Cyber Security Management Program	The contractor must implement and comply with the applicable Program Cyber Security Plan (PCSP), as provided by Senior DOE Management, for all cyber security activities involving unclassified or national security information systems; compliance with the PCSP is monitored by Senior DOE Management. NOTE: Some of the plans include assessments.
PADWP	DOE O 142.2A	12/15/2006	Unspecified	Safeguards Agreement and Protocol with the IAEA	2b. Carry out security reviews, prepare security plans, and conduct security assessments as requested by the field element.
PADWP	DOE O 452.3	6/8/2005	Quarterly	Management of the Department of Energy Nuclear Weapons Complex	5. During quarterly NWC program reviews, assess WFO to determine whether there is actual or potential for adverse impact on essential work for the nuclear weapons program.
PADWP	DOE O 5639.8A	7/23/1993	Unspecified	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities	Predates CRDs. Applies to contractors. 8d. Conduct independent inspections, performance tests, and evaluations to assess the protection program and the effectiveness of the levels of protection and compliance with regulations, requirements, and Orders at DOE facilities.

<p>PADWP</p>	<p>DOE O 5660.1B</p>	<p>5/26/1994</p>	<p>Annual</p>	<p>Management of Nuclear Materials</p>	<p>Chapter V 1. Annual assessments of nuclear material inventories are required to evaluate the need for the inventory levels and to determine if the materials are categorized properly. Appropriate indicators for inventory evaluation should be developed and used. 3. FIELD OFFICE ASSESSMENT OF CONTRACTOR USE OF NUCLEAR MATERIALS. The following instructions are provided for preparing the annual nuclear materials Inventory assessment report: 3d. Analysis Format. Assessments submitted to Headquarters should summarize inventories by individual projects with explanations using the following categories: (1) Material that is actively used in DOE user programs . (2) Inactive Material - Defined Use Material not in active use, but held for probable future use in an identifiable DOE program within the next 2 years or being held in designated reserves for probable future use beyond 2 years (3) Inactive Material - No Defined Use. Material not in active use or needed for an onsite DOE program now or in the next 2 years. Includes material that is surplus to projected needs but is desirable for retention, but does not include reserves designated for specific purposes. In addition, the assessments shall include composition of ending inventory data codes with the material</p>
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