

3. Contractor Assurance System Operational Awareness

Objective 3.0:

Contractor management has established a rigorous and credible CAS operational awareness program that evaluates and documents operating experience and uses the results of incident reporting, performance measures, worker feedback, and lessons learned programs and processes as the basis for informed management decisions to improve.

Criteria 3.1: Formal programs have been established and effectively implemented to identify issues and report, analyze, and address operational events, accidents, and injuries. (DOE O 226.1A, Attachment 1, Appendix A.3.)

Review Approach:

Determine if reportable occurrences are reported and documented as required by DOE directive. (M 231.1-1, Environment, Safety and Health Reporting Manual and DOE O 226.1A, Attachment 1, Appendix A.3.a.)

Evaluate reportable occurrences to determine if corrective actions are evaluated, and documented as required by the DOE directive. (M 231.1-1, Environment, Safety and Health Reporting Manual and DOE O 226.1A, Attachment 1, Appendix A.3.a.)

Determine if Price-Anderson Amendment Act, nuclear and worker safety health issues are self-reported through the DOE-wide Noncompliance Tracking System to mitigate the severity level of the violation and potential financial penalties. (DOE O 226.1A, Attachment 1, Appendix A.3.b.)

Determine if trending analysis of events, accidents, and injuries is performed in accordance with structured/formal processes. (DOE O 226.1A, Attachment 1, Appendix A.3.c.)

Determine if data analysis and trending is performed by trained and qualified personnel to determine the root and contributing causes of issues, deficiencies, and weaknesses, and to identify proposed corrective actions.

Criteria 3.2: The Contractor has developed and implemented a process to solicit feedback from workers and work activities. (DOE O 226.1A, Attachment 1, Appendix A.4.)

Review Approach:

Determine if the feedback processes have been established and are documented to include minimum the following programs and processes (DOE O 226.1A, Attachment 1, Appendix A.4.):

- employee concerns programs,
- telephone or intranet “hotline” processes for reporting concerns or questions,
- pre-job briefs,
- job hazard walk-downs by workers prior to work,
- post-job reviews,
- employee suggestion forms,
- safety meetings,
- employee participation in committees and working groups, and
- labor organization input.

Evaluate the effectiveness and availability of each of the following programs and processes used for worker feedback:

- employee concerns programs,
- telephone or intranet “hotline” processes for reporting concerns or questions,
- pre-job briefs,
- job hazard walk-downs by workers prior to work,
- post-job reviews,
- employee suggestion forms,
- safety meetings,
- employee participation in committees and working groups, and
- labor organization input.

Interview workers to determine their level of knowledge regarding worker feedback programs and processes.

Criteria 3.3:

Formal programs have been established to communicate lessons learned during work activities, process reviews, and event analyses to potential users and applied to future work activities. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.6.)

Review Approach:

Determine if the contractor has developed and implemented a process to identify, apply, and exchange lessons learned with the rest of the DOE complex. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.6.)

Interview workers to determine the effectiveness of the lessons learned program. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.6.)

Determine how external lessons learned are evaluated and applied at the site. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.6.)

Criteria 3.4:

Contractors have in place a process which identifies, monitors, and analyzes data by measuring the performance of facilities, programs, and organizations. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.7.)

Review Approach:

Determine if data is used to demonstrate performance improvement or deterioration relative to identified goals. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.7.)

Evaluate data collected to determine if contractors are using the data to suggest further improvements and identify good practices and lessons learned. (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.7.)

Determine if the contractor has established programs that identify, gather, verify, analyze, trend, disseminate, and make use of performance indicators (DOE Order 414.1C, Criterion 3, “Quality Improvement” and DOE O 226.1A, Attachment 1, Appendix A.7.)

Review performance indicator data to determine if it is being utilized to allocate resources, establish goals, identify performance trends, identify potential problems, and apply lessons learned and good practices. (DOE O 226.1A, Attachment 1, Appendix A.7.)

Determine if quantitative performance indicators/measures are used, developed or considered in evaluating performance and establishing oversight priorities. (DOE O 226.1A, Attachment 1, Appendix A.7.)

