Assessment Selection Documentation	
Fiscal Year	**2009**
Directorate	
Associate Director	
Date Completed	
Person Completing	
Additional Information (if needed)	

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	**Start with the assessments that you clearly know you are obligated to perform (i.e. area of responsibility in Laboratory's Statement of Work and associated commitments). Do not attempt to anticipate the assessments that other organizations in the Laboratory might ask you to do in the upcoming year.**
1	**Assessment Title:** Provide a Title for all assessments that you are ***required*** to perform.	Assessments are deemed to be ***required*** if: 1) You are the Requirements Area Owner for a specific regulation, DOE Order, or similar driver that mandates that the Laboratory perform a specific assessment; 2) You are an 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; 3) You are performing the assessment to fulfill a Prime Contract specified deliverable; or 4) You have made a commitment to NNSA or another customer to perform a specific assessment for corrective, improvement, or other purposes.
2	**Type of Assessment:** For each assessment, select the type of Laboratory assessment you plan to use from pull down list.	Independent, Management, or Management Observation & Verification (MOV).
3	**Primary Requirement or Driver:** For each assessment, select "highest level" of requirement or driver type from pull down list. *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.*	Examples (highest to lowest): 1) Regulatory requirements, 2) Orders or directives (DOE or NNSA), 3) Customer request, 4) Prime Contract/PEP, 5) LANL policy/procedure, 6) Corrective action, 7) Continuous improvement, 8) Management commitment, or 9) Other
4	**Requirement/Driver Specifics:** For each assessment identified, provide enough additional details regarding the requirement or driver so that it documents that the specified assessment fulfills your requirement or commitment.	This can be as simple as providing the title of the regulation or Laboratory requirement, the customer, the LIMTS Issue # or CAP #, etc.
5	**Category:** For each item identified in Step 1, select the category that is most closely associated with the Risk, Concern, Vulnerability, Uncertainy, or Missed Oppportunity that you described.	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.
6	**Recurring Assessment:** Select "Yes" or "No" from pull down list to specify if each assessment is a recurring one. ***NOTE: If assessment is recurring you may need to enter it multiple times as indicated below.***	Indicate "Yes" if the assessment is routinely performed as opposed to being performed just once or on an "as needed" basis.

Step	Description	Notes
7	**Assessment Frequency:** For each assessment identified, select assessment frequency or "One-Time Only" if it's a one-time assessment. ***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.**	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.
8	**Additional Assessment Scope Definition:** Provide additional scope definition.	Use this space to further define the scope for assessment planners to ensure that they deliver the needed assessment. The information in the field is automatically copied into the Assessment Schedule sheet.
9	**Assessment on the Schedule for the Next FY?:** Select "Yes" if you would like the assessment on the schedule for the next FY, otherwise select "No." *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".*	This field is used later on by the workbook to transfer information from the planning sheets to the Assessment Schedule.
10	**Assessed Associate Director(s) (AD)(s)** - Select the AD to be assessed (select ALL if all ADs will be assessed).	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.
11	**Assessed Div-Grp** - Identify the Division(s) and Group(s) that are to be assessed.	
12	**Assessed Point of Contact (POC)** - Identify the assessment POC for the organization that is to be assessed.	
13	**Estimated FY Quarter for Schedule** - From the pull-down menu, select the FY quarter that the assessment is estimated to be scheduled in.	
14	**Estimated Field Observation Start Date** - Enter the estimated Field Observation Start Date (mm/dd/yyyy) or TBD if that date is not yet determined. *NOTE: If you enter TBD, please make sure to complete the "Estimated FY Quarter Scheduled" field.*	
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.	

Step	Description	Notes
	Risk-Prioritized Assessments Worksheet	**This sheet is designed to help document the "why" or "why not" associated with assessments that are not required. It can be used in either of two ways. The steps described below start with listing the risks or vulnerabilties that concern you and then determining what, if any, assessments might be of help. You can also start with the assessments that you know that you want performed, using the Assessments Title column, and then use the preceding columns to document what led you to that conclusion. Either path can be used to provide documentation of your reasoning.**
1	**Risk, Concern, Vulnerability, Uncertainty, Missed Opportunity:** List the risks, concerns, vulnerabilities, uncertainties, or lost opportunities which most concern you relative to performance of your programs and operations.	Use your own words with sufficient detail that can be understood by those with whom you may want to communicate the results of the selection process.
2	**Category:** For each item identified in Step 1, select the category that is most closely associated with the Risk, Concern, Vulnerability, Uncertainy, or Missed Oppportunity that you described.	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.
3	**Worst Case Consequence Category:** 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. *The numerical value associated with the consequence (next column) is calculated and entered automatically.*	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.
4	***Sort and Review:*** 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.	This sort enables pairwise checks of the resulting order. This step could also be done later on.
5	**Actions planned or underway to manage the risk or seize the opportunity:** For each item that has conseqences other than None, Routine Administrative, list the the actions that you have underway or are planning to initiate to manage the risk, concern, vulnerability, uncertainty, or missed opportunity.	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.

Step	Description	Notes
6	**Likelihood of Action Success (Certainty):** For each item that has conseqences other than None, Routine Administrative, use the pull-down menu to select your "best fit" **estimate** of the **Likelihood of Action Success** in managing the risk or vulnerability. *The numerical value associated with the likelihhood (next column) is calculated and entered automatically.*	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 come accuracy.
7	***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.	This sort enables pairwise checks of the resulting order based upon which actions you have greater confidence in.
8	**Risk Level Numeric:** This numerical value is calculated and entered automatically (consequence x likelihood).	
9	***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.	This sort allows you to explain "why" you chose to do one one assessment versus another.
10	**Will Assessment Improve Likelihood of Success?:** For items that are rated as High or Moderate, indicate your judgement (yes or no from the pull-down menu) as to whether an assessment might improve the likelihood of success in managing the risk, concern, vulnerability, uncertainty, or lost opportunity. *If "No", see NOTE to the right and do not complete the rest of the fields for this particular risk.*	*NOTE: If you determine that an assessment will not improve the likelihood of success at this time and select "No", the tool enables you to carry the Risks you have considered from year to year. Thus you have a risk reference point which you can continuously refer to and modify throughout the year.*
11	**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.	Independent, Management, or Management Observation & Verification (MOV).
12	**What assessment scope would be the most beneficial in improving the certainty of success?:** For items where an assessment might be benefical provide additional details on the scope that is necessary in order to achive your desired results.	Use this space to further define the scope for assessment planners to ensure that they deliver the needed assessment.
13	**Assessment on the schedule for the Next FY?:** Select "Yes" if you would like the assessment on the schedule for the next FY, otherwise select "No." *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".*	This field is used later on by the workbook to transfer information from the planning sheets to the Assessment Schedule.
14	**Assessment Title:** Provide a Title for the assessment.	

Step	Description	Notes
15	**<u>Assessed Associate Director(s) (AD)(s)</u>** - Select the AD to be assessed (select ALL if all ADs will be assessed).	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.
16	**<u>Assessed Div-Grp</u>** - Identify the Division(s) and Group(s) that are to be assessed.	
17	**<u>Assessed Point of Contact (POC)</u>** - Identify the assessment POC for the organization that is to be assessed.	
18	**<u>Estimated FY Quarter for Schedule</u>** - From the pull-down menu, select the FY quarter that the assessment is estimated to be scheduled in.	
19	**<u>Estimated Field Observation Start Date</u>** - Enter the estimated Field Observation Start Date (mm/dd/yyyy) or TBD if that date is not yet determined. *<u>NOTE:</u> If you enter TBD, please make sure to complete the "Estimated FY Quarter Scheduled" field.*	
20	**<u>Assessing Associate Director (AD)</u>** - Identify the AD that is responsible for performing the assessment.	
21	**<u>Assessing Div-Grp</u>** - Identify the Division and Group that is responsible for performing the assessment.	
22	**<u>Assessment Team Lead</u>** - Identify the Team Lead responsible for leading the assessment or enter TBD if that has not yet been determined.	
23	**<u>Other Participating Orgs Acting as Assessors</u>** - Identify any other organization(s) that will be acting as assessors during the assessment.	
	Assessment Schedule	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 click on the **Update** button. 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.

Required Assessments Worksheet

V4.0

Assessment Title	Type of Assessment	Primary Requirement or Driver	Requirement/Driver Specifics	Category	Recurring Assmt?	Assmt Frequency	What assessment scope is necessary to meet requirements?	Do you want this assessment on the schedule for the next FY?	Assessed AD(s)	Assessed Div-Grp	Assessed Point of Contact (NA for Mgt Assmts)	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
	Sort	Sort		Sort		Sort						Sort					

Risk-Prioritized Assessments

	Sort	Sort			Sort		Sort	Sort	Sort	Sort		Sort							Sort					
Risk, Concern, Vulnerability, Uncertainty, Missed Opportunity	Category	Worst Case Consequence Category	Consequence #	Actions planned or underway to manage the risk or seize the opportunity	Likelihood of Action Success (Certainty)	Likelihood #	Risk Level (Numeric) (1-100)	Risk Level (Adjective)	Will Assessment Improve Likelihood of Success?	What Type of Assessment?	Recurring Assmt?	Assmt Frequency	What assessment scope would be the most beneficial in improving the certainty of success?	Do you want this assessment on the schedule for the next FY?	Assessment Title	Assessed AD(s)	Assessed Div-Grp	Assessed Point of Contact (NA for Mgt Assmts)	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

Assessment Schedule

V4.0

Update Data	Sort	Sort		Sort		Sort			Sort	Sort	Sort		Sort	
Assessment Title	Assessment Type	Requirement or Driver	Requirement or Driver Specifics	Category	Scope/Objective Description	Assessed AD(s) (list primary AD first)	Assessed Div-Grp	Assessed Point of Contact (NA for Mgt Assmts)	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