

EM-LA FY16 Assessment Schedule

| Assessment Title | Scope | Assessed AD (if LANL) | Is this Req'd or Risk-Based | Applicable Directive/ Reference | Assess of Self or Cont. | QTR | Estimated Start Date | Month Expected to be Complete | When Last Performed | Fed. Assess Lead | Team Members | Team member from other Orgs |
|--|--|-----------------------|-----------------------------|---|-------------------------|---------|--|--------------------------------------|---------------------|------------------|--|----------------------------------|
| USQ (Partner w/NA-LA) | Evaluate LANS USQ procedure and obtain a random sample of USQ actions to determine adherence to requirements. | ADNHHO | AIB JON 24 EM-LA-24-3 | 10 CFR 830.203 Unreviewed Safety Questions Process; DOE G 424.1-1B Admin Chg. 1, Implementation Guide for Use in Addressing Unreviewed Safety Question Requirements; SBP 112-3 LANL USQ/USI; SBP 113-3 LANL USI Process | Cont. | 2nd QTR | 31-Dec-15 | March | N/A | M. Langford | G. Henckel, J. Ferguson EM-LA Nuclear Engineer | NA-LA Team Members |
| Area G WAC (Partner w/NA-LA) | Evaluate the Area G WAC to requirements, configuration control, implementation, and staff knowledge of requirements at Area G and generators across LANL. | ESH | AIB JON 3 EM-LA-3-10 | DOE O 435.1 Radioactive Waste Management; DOE M 435.1-1 Radioactive Waste Management Manual; DOE O 5400.5 Radiation Protection of the Public and the Environment; P930-1 LANL Waste Acceptance Criteria; P930-2 Radioactive Waste Certification Program | Cont. | 3rd QTR | 15-Apr-16 | June | N/A | P. Maggiore | L. Bishop, A. Enriquez, C. Bateman, A. Barras, K. Gallegos (Support Cont.) | A. Nash (NA-LA) |
| Legacy Waste Compliance w/ DOE O 435.1 and 422.1 | Assess the implementation of DOE O 435, training, procedures and field execution. | ADEP | AIB JON 3 EM-LA-3-19 | DOE M 435.1 Radioactive Waste Management; DOE G 435.1-1 Chapter 4 Low-Level Waste Requirements. DOE O 422.1 Conduct of Operations | Cont. | 4th QTR | 1-Jul-16 | September | N/A | L. Bishop | A. Duran, J. Ferguson, R. Benedict, K. Gallegos (Support Cont.) | A. Nash (NA-LA) |
| IP Program | Evaluate the execution of the IP program from procurement to project management and ensure liabilities are adequately addressed to reduce risk to the Government. | ADEP | Risk (M) | NPDES Permit NM0030759 Issued 9/30/2015, Correction of Typo - Appendix B, Pg. 9 - 10/12/2010 | Cont. | 2nd QTR | 15-Jan-16 | March | N/A | R. Massey | H. Shen, K. Armijo, D. Krantz, K. Gallegos (Support Cont.) | J. Arnsward (NA-LA) |
| R/R Interface Compliance | Assess the delineation of Roles and Responsibilities, clear lines of authorities, integration, and communications across ADESH and ADEP. | ADEP/ESH | Risk (H) | LANL Governing Policies, Rev. 3, LANL P313, Rev. 9 Roles, Responsibilities, Authorities, and Accountability, LANL P351, Rev. 0 Permits and Requirements Identification | Cont. | 2nd QTR | 20-Jan-16 | April | N/A | A. Duran | G. Falance, R. Benedict, L. Churchill, K. Gallegos (Support Cont.) | P. Maggiore, J. Arnsward (NA-LA) |
| EM-LA Oversight Performance | Assess the level of oversight from cradle to grave to include: documentation and communications to the contractor, trending and analysis, lessons learned, and the capability of the oversight staff. | EM-LA | AIB JON 3 EM-LA-3-21 | DOE O 227.1 Independent Oversight Program, DOE G 226.1-2A Federal Line Management Oversight of Department of Energy Nuclear Facilities, DOE O 226.1B Implementation of Department of Energy Oversight Policy, DOE P 226.1B Department of Energy Oversight Policy, EM-LA Oversight, EM-LA Quality Implementation | Self | 4th QTR | Assessment will begin 60 days after the approval of the EM-LA Oversight Plan | Assessment duration will be 90 days. | N/A | D. Nickless | R. Massey, G. Rael, K. Walker, K. Gallegos (Support Cont.) | |
| EM-LA Business Processes | Evaluate EM-LA's culture change for effectiveness/improvement. Evaluate EM-LA's training of Policies, Plans, and Procedures for compliance and effectiveness. Evaluate EM-LA's staff compliance with Policies, Plans, and Procedures. Identify areas of improvement. | EM-LA | Req'd (6 mo follow-up) | DOE O 414.1D Quality Assurance, EM-LA Business Processes Listing, SOPP 00.01 Plan and SOPP Preparation and Maintenance. | Self | 2nd QTR | 5-Jan-16 | April | 31-Jul-15 | J. Hackett | B. Pfaff, A. Barras, D. Wolfe, K. Gallegos | |

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| EM-LA Safety Culture | Assess the EM-LA safety culture maturation level as an interim step to determine appropriate focus areas for continuous learning, improvements, and employee involvement. | EM-LA | AIB JON 39 EM-LA-39-1 | DOE G 450.4-1C, Integrated Safety Management | Self | 4th QTR | 15-Sep-16 | November | N/A | D. Rhodes | M. Gardipe, G. Rael, A. Barras, K. Gallegos (Support Cont.) | D. Decker (NA-LA) C. Casalina (NA-LA) |
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1st QTR

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2nd QTR

4

3rd QTR

1

4th QTR

3

Submitted By:

Gaeton Falance

1-14-16

Gaeton Falance, EM-LA Assessment Program Manager Date

Approved By:

Douglas E. Hintze

1/19/16

Douglas E. Hintze, EM-LA Manager

Date