# Contractor Requirements Document (Supplemented) Form

<table>
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<th>CRD #: CRD O 470.2B (Supplemented Rev. 3)</th>
<th>Title: INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM</th>
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<td>Applicable Contractor(s): RCC X OccMed X PRC X MSC X Other</td>
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## Section A – Headquarters CRD:

DOE O 470.2B, Attachment 2.

## Section B – General Clarifications:

None

## Section C – Specific Clarifications:

The supplemental requirements in Section C do not apply to actions involving safeguards and security, since equivalent implementation is accomplished through Security Directives.

## Section D – General Supplemental Requirements

1. The contractor shall notify RL within one week when: (Note: This may be informal notification via e-mail.)
   a. Each identified Corrective Action (CA) is completed as identified in an approved Corrective Action Plan (CAP).
   b. All CAs have been completed for an issue (concern, finding, observation, etc.) that requires RL closure verification or that no CAs are deemed necessary.
   c. CAs and due dates are established for issues that require RL closure verification. This notification shall provide the detailed CAs and respective due dates. Any subsequent changes to the CAs and/or due dates shall also be communicated.

2. Contractor shall provide RL with documentation demonstrating closure for all completed CAs for issues requiring RL closure verification (either CAP required or CAP not required but RL closure verification required). This documentation shall be at the issue (concern, finding, observation, etc.) level. (Note: This may be an informal transmittal.)

3. Criteria for DOE requested CAPs:
   a. The CAP shall clearly demonstrate the basis for disposition of the identified issues, using a graded approach, and how CAs cited will adequately address the causal factors (apparent or root) and prevent recurrence. If CAs are not established, this shall be justified.
   b. All corrective actions associated with issues (concern, finding, observation, etc.) identified in approved CAPs shall be tracked in the Contractor's corrective action tracking system database.
   c. RL CAPs shall be considered approved within 30 days of submittal unless notified otherwise.
   d. For each issue (e.g., Concern, Finding, Observation, etc.), Contractors shall:
      i. Investigate and document an understanding of the condition(s). This shall include a determination if the issue(s) are isolated or represent a broader programmatic scope or cross-cutting issue.
      ii. Using a graded approach, identify the cause(s) (apparent or root) and associated causal factors for each issue. The causal analysis methodology used to determine the cause(s) shall be identified.
      iii. Develop CAs that are written in a clear and concise manner, are executable, and address the cause(s) of the issue.
      iv. Ensure completion dates and responsible parties are assigned to each of the identified CAs.
      v. Identify what actions will or will not be taken to verify/validate completion of CAs to provide
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assurance that CAs are appropriate to prevent recurrence.

4. Additional requirements specific to DOE-HQ CAPs:
   a. A single comprehensive CAP (Contractors and RL) is prepared to address the identified issues contained in a DOE-HQ report. As such, the CAPs shall include both RL and contractor CAs.
   b. CAs in approved DOE-HQ CAPs shall not be modified without RL approval. The Contractor shall formally request any CA changes, including due date extensions, established in approved DOE-HQ CAPs well in advance of completion due dates. The intent is to allow sufficient time to formally process the change through DOE-HQ prior to the planned completion dates (e.g., 60 days). The request shall include a justification for the change any revised completion dates.

Section E - Specific Supplemental Requirements: None