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Project Evaluation Board	Management Control Procedure	For Additional Info: <a href="http://EDMS">http://EDMS</a>	Effective Date: 11/27/12
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Manual: 3 – ES&amp;H Program Support

**USE TYPE 3**Change Number: 329297

\*The current revision can be verified on EDMS.

Entire Document Revised

## 1. INTRODUCTION

### 1.1 Purpose

The purpose of this document is to establish the process used by the Project Evaluation Board (PEB) to conduct independent assessments at the Idaho Cleanup Project (ICP). The mission of the PEB is to promote safety, operational excellence, and continuous improvement through the conduct of independent project and program assessments. The PEB functions as an integral part of the ICP Contractor Assurance System (CAS), PRD-338, *ICP Contractor Assurance System* within the ICP Feedback and Improvement Program, PDD-155, *Feedback and Improvement Program* and the ICP Quality Assurance Program (Manual 13). The PEB has sufficient authority and freedom from line management to perform independent assessments.

The PEB provides ICP management with accurate and consistent information to determine the effectiveness of ICP processes and to assure adherence to requirements and ICP management direction.

PEB assessments may include evaluations of areas where cost savings and increased efficiencies may be realized.

### 1.2 Scope and Applicability

PRD-5091, *Assessments*, identifies requirements and responsibilities for establishing and performing assessments of the integrated Quality Assurance (QA) Program. The PEB is established to satisfy part of the requirements of the integrated QA Program, namely: 1) 10 CFR 830 Subpart A, *Quality Assurance Requirements*, Criterion 10, "Assessment/Independent Assessment;" 2) DOE Order 414.1D, *Quality Assurance*, Criterion 10, "Independent Assessment;" and 3) DOE Order 226.1B, *Implementation of Department of Energy Oversight Policy*. Management assessments and management reviews are performed in accordance with MCP-8 *Performing Management Assessments and Management Reviews*. Internal independent assessments are not performed by organizations other than the PEB since the PEB is responsible for the performance of CWI independent assessments. Quality Assurance Audits and Assessments, which fulfill the remaining requirements of 10 CFR 830 Subpart A, *Quality Assurance Requirements*, and DOE Order 414.1D, *Quality Assurance*, are described in other company procedures.

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The PEB also performs corrective action effectiveness reviews consistent with DOE O 226.1B using trained and qualified personnel. If these effectiveness reviews are performed by organizations other than the PEB, personnel performing these reviews must be trained and qualified as a Lead Independent Assessor or Independent Assessor.

The PEB is established to promote safety, operational excellence, continuous improvement, and to identify areas of excellence in CWI projects/programs consistent with CWI and Department of Energy (DOE) requirements. For purposes of this document, “safety” encompasses a comprehensive set of requirements, including environmental protection, industrial safety, industrial hygiene, fire protection, nuclear safety, radiological protection, and quality assurance. The PEB will conduct comprehensive multi-disciplined assessments of ICP projects/programs, targeted assessments, or reviews as directed by the CWI Chief Executive Officer (CEO) or Chief Operating Officer (COO). The frequency of these assessments and the projects/programs selected will be based on several factors, including: risk, hazards, process complexity, project/program performance, management concerns, and conclusions of other assessments.

**2. RESPONSIBILITIES**

Performer	Responsibilities
Chief Executive Officer or Chief Operating Officer	Approve the PEB annual schedule and schedule changes
ESH&QA Vice President	Ensure PEB assessments are scheduled and performed in accordance with this MCP.
PEB Department Manager	Develop the PEB schedule for approval and recommend schedule changes Ensure PEB assessments are performed in accordance with the schedule Approve the disciplines and/or topics selected for PEB assessments Approve the assessment approach based upon recommendations of the PEB Lead Assessor in the absence of a Criteria Review and Approach Document (CRAD) Issue pre-assessment letters Issue PEB reports within 21 calendar days following the completion of PEB field work and ensure responsible organizations receive a copy of the final report. Approve team members for assessments Assign PEB members to perform assessments

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Performer	Responsibilities
	Approve Provisional PEB Assessors who assist in the performance of assessments  Conduct post-assessment reviews to identify lessons learned and to improve the PEB process  Assign PEB Lead Assessor (QC00LPEB)  Assign PEB Assessment Coordinator  Provide ICP projects/programs an on-going status of assessment results
PEB Lead Assessor (QC00LPEB)	Responsible to the PEB Department Manager for the execution of assigned assessment(s) in accordance with this document  Assist PEB Members and Provisional PEB Assessors with the performance of PEB assessments including guidance on using CRADs  Provide CWI management debriefings on assessment results  Assist in developing PEB assessment reports  Shall be qualified as PEB Lead Assessor (QC00LPEB)  Ensure the records developed during an assessment are managed in accordance with company procedures for records management
PEB Assessment Coordinator	Assist the PEB Lead Assessor by ensuring proper conduct of the assessment and coordination of assessment activities  Act as the PEB point-of-contact in preparing for and conducting the assessment  Issue correspondence (e.g., e-mail, letter) identifying the logistical support required of the project/program to support the PEB  Coordinate logistical support for assessment team members, including training and access requirements (e.g., CERCLA, security, radiological control)  Assist the PEB Lead Assessor in developing the assessment report.
PEB Members	Assigned to the PEB organization on a full-time basis  Shall be qualified as PEB Assessors (QC000PEB or QC00LPEB)  Assist in the development of PEB CRADs  Perform PEB assessments, as directed by the PEB Department Manager  Assist the PEB Lead Assessor in developing assessment reports
Provisional PEB Assessors	Support PEB activities on an ad hoc basis. During the course of their assignment to support PEB activities, Provisional PEB Assessors should

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Performer	Responsibilities
(QCPEBPRV)	not allow other duties to interfere with their PEB assignment  Shall be approved by the PEB Department Manager as Provisional PEB Assessors prior to PEB assessment field work to ensure they are technically qualified and knowledgeable of the areas they assess  Assist in the development of CRADs  Assist the PEB Lead Assessor in developing assessment reports
Director(s)/Manager(s) of Assessed Projects/Programs	Plan and/or provide the requested support items (documents, evolutions, schedules, interviews, drills, etc.)  Identify points-of-contact for PEB assessments  Provide escorts, as needed, in specific areas  Provide the PEB timely notice of all critiques, event investigations, or fact-finding meetings held during the PEB field work  Provide a factual accuracy review of the draft assessment issues and results  Ensure findings/issues identified during PEB assessment debriefings and in the final PEB report are screened and managed in accordance with MCP-598, <i>Corrective Action System</i> . In screening issues, it may be appropriate to combine issues identified in order to develop a more comprehensive corrective action plan.  As requested by the COO/CWI President, provide corrective action plans for issues within 45 days of the PEB report
Functional Support Manager(s) and Project Managers/Directors	As requested, provide subject matter experts as Provisional PEB Assessors

**3. PREREQUISITES**

None

**4. INSTRUCTIONS**

**4.1 Pre-Assessment Activities**

- 4.1.1 PEB Department Manager - Develop an annual assessment schedule on a fiscal year (FY) basis. This schedule and any changes to the schedule are approved by the CEO or COO. PEB assessments may be listed in the

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Integrated Assessment System (IAS) database only as PEB assessments or by area to facilitate unannounced assessments.

- 4.1.2 PEB Department Manager – Approve the PEB Members and Provisional PEB Assessors (referred to as Assessors throughout this MCP) who will participate in PEB assessment activities. Assessors shall have sufficient authority and freedom from line management for independent assessment teams and shall be technically qualified and knowledgeable in the areas they assess.
- 4.1.3 Assessors - Prepare CRADs in accordance with the standard PEB format.
- 4.1.3.1 CRAD development will include items such as:
- 4.1.3.1.1 SAR/TSR-100 Safety Management Programs (SMPs);
  - 4.1.3.1.2 DOE Order 425.1D Core Requirements. Although PEB assessments are not always readiness reviews, the Core Requirements in DOE O 425.1D establish a basis for sustained operations that are compliant with federal regulations and DOE directives;
  - 4.1.3.1.3 Defense Nuclear Facility Safety Board (DNFSB) Recommendations 2004-1, *Oversight of Complex, High-Hazard Nuclear Operations*; DNFSB Recommendation 2000-2, *Configuration Management of Vital Safety Systems*, and DNFSB Recommendation 2002-3, *Requirements for the Design, Implementation, and Maintenance of Administrative Controls*.
- 4.1.3.2 CRADs may also be developed for specific items such as: Institute of Nuclear Power Operations (INPO) Guides, lessons learned, or other items, as determined by the PEB Department Manager.
- 4.1.3.3 The CRADs should contain performance objectives, criteria for evaluation, and review approaches.
- 4.1.3.4 CRADs are reviewed and updated to reflect changes in requirements, lessons learned, and human performance prior to use.

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4.1.3.5 In the absence of a CRAD, the PEB Department Manager will approve the assessment approach based upon recommendations of the PEB Lead Assessor for the assessment being performed.

4.1.4 Assessors – Conduct assessments by adhering to the following basic principles:

4.1.4.1 Integrated Safety Management System (ISMS) Awareness: Assessors should be knowledgeable of the ISMS core functions and how they apply to the disciplines being assessed. Being aware of ISMS allows the PEB to evaluate the project's/program's adherence to ISMS principles and core functions.

4.1.4.2 Mission Awareness: Assessors should be aware of the mission and goals of the project/program being assessed. Having a clear understanding of the project/program mission allows the PEB to focus on the critical issues that may impact the success of the project/program.

4.1.4.3 Inquisitiveness: Assessors should challenge assumptions to uncover possibly unresolved issues that potentially impact the ability of a project/program to achieve its mission or to be in compliance with requirements that could impact mission success.

4.1.4.4 Technical Knowledge: Assessors should be knowledgeable of requirements, implementing procedures, Safety Management Program (SMP) requirements, and management directions for their assigned disciplines.

4.1.4.5 Attention to Detail: Assessors should ensure assessments are performed in sufficient detail with adequate supporting information to come to a conclusion on project/program performance and compliance.

4.1.4.6 Project/Program Cost Effectiveness and Process Efficiency: Assessors should review project/program activities to evaluate whether effective processes and practices are in place to ensure maximum cost effectiveness and efficiency.

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- 4.1.5 PEB Lead Assessor – Develop an Assessment Plan (Form 414.89) for each assessment. The Assessment Plan identifies the scope of the assessment.
- 4.1.6 PEB Department Manager – Approve the Assessment Plan.
- 4.1.7 PEB Department Manager - Issue a letter to the project/program director prior to each assessment. This letter will describe the purpose/scope of the assessment.
- 4.2 **Conduct of PEB Assessments**
  - 4.2.1 Assessors – Conduct PEB assessments using methods such as document reviews, personnel interviews, and observations of field activities.
  - 4.2.2 Focus on improving quality and process effectiveness by emphasizing improvement methods.
  - 4.2.3 Assessors - Evaluate:
    - 4.2.3.1 Work performance and process effectiveness;
    - 4.2.3.2 The quality of work products; and
    - 4.2.3.3 Compliance to management system requirements.
  - 4.2.4 Assessors – Identify:
    - 4.2.4.1 Noteworthy practices and strengths;
    - 4.2.4.2 Abnormal performance and potential problems;
    - 4.2.4.3 Opportunities for improvement; and
    - 4.2.4.4 Observations.
  - 4.2.5 Assessors - Consider human performance factors in the performance of project/program assessments.
  - 4.2.6 PEB Lead Assessor – Conduct debriefings (e.g., daily) with assessment team members and program/project management.

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4.2.7 Director(s)/Manager(s) - Ensure issues/findings identified during debriefings are screened and managed in accordance with MCP-598, *Corrective Action System*. In screening issues, it may be appropriate to combine issues identified in order to develop a more comprehensive corrective action plan.

#### 4.3 Post-Assessment Activities

4.3.1 Assessors – Categorize the results of evaluated CRADs in accordance with the definitions given in Appendix A.

4.3.1.1 Provide results in the form of documented findings and issues supported by identified deficiencies.

4.3.1.2 Identify opportunities for improvement (OFI), observations, strengths, noteworthy practices, compliant items and any unsafe work practices. The identification of these items is intended to support continuous improvement.

4.3.2 PEB Lead Assessor – Prepare the PEB report, using Appendix B (Typical PEB Report Format Guide) as a guide.

4.3.2.1 Identify Assessment Follow-Up Items (AFIs) (see definition in Appendix A), if appropriate. AFIs may be discovered during the course of the assessment but cannot be fully evaluated due to time limitations. AFIs will be identified in the assessment report. These items may require a follow-up assessment or may need to be included as part of the next scheduled assessment of the project/program. Identification of AFIs precludes delays in issuing reports while identifying potential problems that may require further evaluation.

*Note: PEB reports (Appendix B) should be issued within 21 calendar days following the completion of the PEB field work*

4.3.3 PEB Department Manager – Prepare and issue draft report for factual accuracy.

4.3.4 Review draft report with the Manager of the assessed Project/Program.

4.3.5 Incorporate comments from factual accuracy review.

4.3.6 Incorporate any comments from the debriefing and issue the final report.

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- 4.3.7 Debrief the COO, CWI President, and project management/Responsible Manager(s) following project/program assessments.
- 4.3.8 Ensure copies of PEB reports are issued to Director(s)/Manager(s) of assessed projects/programs and all affected Functional Support Areas (FSAs). The PEB reports and/or transmittal memorandums will be clear regarding who has the lead in resolving identified issues.
- 4.3.9 Director(s)/Manager(s) of Assessed Projects/Programs - Ensure issues/findings identified in the final PEB report are screened and managed in accordance with MCP-598, *Corrective Action System*.

#### 4.4 Annual Review

- 4.4.1 PEB Department Manager – Perform an annual review of the PEB process and identify lessons learned to improve the process.

### 5. RECORDS

The following records are managed in accordance with MCP-557, *Records Management*:

Form 414.89, *Assessment Plan*

PEB Assessment Reports

### 6. DEFINITIONS

See Appendix A

### 7. REFERENCES:

10 CFR 830 Subpart A, *Nuclear Safety Management, Quality Assurance Requirements*, January 10, 2001

DNFSB Recommendation 2000-2, *Configuration Management of Vital Safety Systems*, March 8, 2000

DNFSB Recommendation 2002-3, *Requirements for the Design, Implementation, and Maintenance of Administrative Controls*, December 11, 2002.

DNFSB Recommendation 2004-1, *Oversight of Complex, High-Hazard Nuclear Operations*, May 21, 2004

DOE-ID Memorandum, *Review of the Implementation of Specific Administrative Controls at Idaho Cleanup Project Facilities (EM-NSPD-07-093)*, dated August 22, 2007

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DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*, April 25, 2011

DOE O 227.1, *Independent Oversight Program*, August 30, 2011

DOE G 414.1-1B, *Management and Independent Assessments Guide for Use with 10 CFR Part 830, Subpart A, and DOE O 414.1C, Quality Assurance, DOE M 450.4-1, Integrated Safety Management System Manual and DOE O 226.1A, Implementation of DOE Oversight Policy*, September 27, 2007

DOE O 414.1D, *Quality Assurance*, April 25, 2011

DOE O 425.1D, *Verification of Readiness to Start Up or Restart Nuclear Facilities*, April 16, 2010

DOE O 436.1, *Departmental Sustainability*, May 2, 2011

DOE G 450.4-1C, *Integrated Safety Management System Guide*, September 29, 2011

Form 414.89, *Assessment Plan*

ISO 14001, *Environmental Management Systems – Requirements with guidance for use*, 2004

MCP-8, *Performing Management Assessments and Management Reviews*

MCP-557, *Records Management*

MCP-598, *Corrective Action System*

PDD-155, *Feedback and Improvement Program*

PDD-1004, *Integrated Safety Management System*

PRD-331, *Integrated Safety Management System*

PRD-338, *ICP Contractor Assurance System*

PRD-5091, *Assessments*

SAR-100, *ICP Standardized Safety Analysis Report (SAR) Chapters*

TSR-100, *ICP Standardized Technical Safety Requirements (TSR) Document*

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**8. APPENDIXES**

Appendix A, Assessment Categorization Definitions

Appendix B, Typical PEB Report Format Guide

Appendix C, Acronyms

Appendix D, Procedure Basis

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## Appendix A

### Assessment Categorization Definitions

Compliant	An action/condition which is in accordance with requirements.
Deficiency	A deficiency is an inadequacy that is found during an assessment. Deficiencies may serve as the basis for one or more issues/findings.
Finding	A finding conveys a representative theme for a group of deficiencies. A finding captures the essence of one or more deficiencies in a summary fashion and typically indicates a non-compliance with a criterion. Findings require corrective actions in accordance with MCP-598, <i>Corrective Action System</i> . In screening findings it may be appropriate to combine findings identified in order to develop a more comprehensive corrective action plan.
Issue	An issue conveys a common representative theme for a group of findings. An issue captures the essence of one or more findings in a summary fashion and typically indicates a non-compliance with a performance objective. The intent of an issue is to provide a programmatic focus for associated findings. Issues require corrective actions in accordance with MCP-598, <i>Corrective Action System</i> . In screening issues it may be appropriate to combine issues identified in order to develop a more comprehensive corrective action plan.
Noteworthy Practice	An activity or policy implemented by an organization that clearly demonstrates significantly innovative and effective attributes within a discipline that may be applied in other projects/programs.
Observation	Observations may be a minor deviation, a minor nonconformance, or minor violation of requirements or company expectations (They consist of one or more conditions that were evaluated by the PEB and determined to be of minor consequence). Observations may not require corrective actions to achieve compliance with minimum requirements, or they are either corrected on-the-spot, or corrected with prompt management attention.
Opportunity for Improvement (OFI)	These items are not a deviation, nonconformance, or violation of requirements. They consist of items that hinder the efficiency, cost effectiveness, or team integration associated with a program, operation, activity, or process. Opportunities for Improvement should be evaluated to improve performance.

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- Strength                      One or more observed actions/conditions which represent unusually innovative or effective achievement within a discipline.
  
- Assessment Follow-up      Items of concern which require further evaluation. Further  
Item (AFI)                      assessment of these items may be necessary to determine whether an issue or deficiency exists.

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## Appendix B

### Typical PEB Report Format Guide

Note: This guide is typical for PEB assessment reports. Changes in content may be made to tailor the report for specific evaluations and department or program needs.

#### Table of Contents

#### Executive Summary

Identify the project/program assessed, the Integrated Assessment System (IAS) Number and the date of the report. The Executive Summary will describe the assessment and the conclusions.

#### List of Acronyms

#### 1.0 Purpose and Scope

#### 2.0 Assessment Team

#### 3.0 Description of Assessment

#### 4.0 Results of the Assessment

This section provides a summary of the performance of the assessed organization for each of the areas evaluated.

- Issues / Findings
- Strengths / Noteworthy Practices
- Opportunities for Improvement
- Observations

#### 5.0 Conclusions

Appendix A – Documents Reviewed

Appendix B – Personnel Interviewed

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**Appendix C****Acronyms**

AFI	Assessment Follow-up Item
CAS	Contractor Assurance System
CERCLA	Comprehensive Environmental Response, Compensation and Liability Act
CFR	Code of Federal Regulations
COO	Chief Operating Officer
CRAD	Criteria Review and Approach Document
CWI	CH2M♦Washington Group Idaho, LLC
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
EMS	Environmental Management System
ESH&QA	Environment, Safety, Health and Quality Assurance
FSA	Functional Support Area
FY	Fiscal Year
IAS	Integrated Assessment System
ICARE	Issue Communication and Resolution Environment
ICP	Idaho Cleanup Project
INPO	Institute of Nuclear Power Operations
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
MCP	Management Control Procedure
MSA	Management Self Assessment
OFI	Opportunity for Improvement
PDD	Program Description Document
PEB	Project Evaluation Board
PRD	Program Requirements Document
QA	Quality Assurance
SAR	Safety Analysis Report
SMP	Safety Management Program
TSR	Technical Safety Requirement

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**Appendix D  
Procedure Basis**

Step	Basis	Source	Citation	Comments
1.2 Scope and Applicability 2.0 Responsibilities 4.1 Pre-Assessment Activities 4.2 Conduct of PEB Assessments	Plan and conduct independent assessments to measure item and service quality, to measure the adequacy of work performance, and to promote improvement.	PRD-5091, <i>Assessments</i>  10 CFR 830 Subpart A, Quality Assurance Requirements, Criterion 10 – Assessment/Independent Assessment	4.1.1.2.1  10 CFR 830.122(j)(1)	
1.1 Purpose 2.0 Responsibilities	(2) Establish sufficient authority, and freedom from line management, for the group performing independent assessments.	PRD-5091, <i>Assessments</i>  10 CFR 830 Subpart A, Quality Assurance Requirements, Criterion 10 – Assessment/Independent Assessment	4.1.1.2.2  10 CFR 830.122(j)(2)	
2.0 Responsibilities 4.2 Conduct of PEB Assessments	Ensure persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed.	PRD-5091, <i>Assessments</i>  10 CFR 830 Subpart A, Quality Assurance Requirements, Criterion 10 – Assessment/Independent Assessment	4.1.1.2.3  10 CFR 830.122(j)(3)	
1.0 Introduction 2.0 Responsibilities 4.1 Pre-Assessment Activities 4.2 Conduct of PEB Assessments	Plan and conduct independent assessments to measure item and service quality, to measure the adequacy of work performance, and to promote improvement.	PRD-5091, <i>Assessments</i>  DOE O 414.1D, <i>Quality Assurance</i>	4.1.1.2.1  Attachment 2, 3(j)(1)	

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Step	Basis	Source	Citation	Comments
1.1 Purpose 2.0 Responsibilities	Establish sufficient authority, and freedom from line management, for the group performing independent assessments.	PRD-5091, <i>Assessments</i> DOE O 414.1D, <i>Quality Assurance</i>	4.1.1.2.2 Attachment 2, 3(j)(2)	
2.0 Responsibilities 4.2 Conduct of PEB Assessments	Ensure persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed.	PRD-5091, <i>Assessments</i> DOE O 414.1D, <i>Quality Assurance</i>	4.1.1.2.3 Attachment 2, 3(j)(3)	
Entire MCP-1539	Provide Feedback on the adequacy of controls and continue to promote safety, continuous improvement, and identify areas of excellence in CWI projects consistent with DOE requirements.	PRD-331, <i>Integrated Safety Management System</i>	3.1.2	
Entire MCP-1539	Provide Feedback on the adequacy of controls and continue to promote safety, continuous improvement, and identify areas of excellence in CWI projects consistent with DOE requirements.	PDD-1004, <i>Integrated Safety Management System</i>	5.2.8	
Entire MCP-1539	The contractor must establish an assurance system that includes assignment of management responsibilities and accountabilities and provides evidence to assure both the Department of Energy’s (DOE) and the contractor’s managements that work is being performed safely, securely, and in compliance with all requirements; risks are being identified and managed; and that the systems of control are effective and efficient.	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i> PRD-338, <i>ICP Contractor Assurance System</i>	Attachment 1, 2.a	

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Entire MCP-1539	The contractor assurance system, at a minimum, must include the following:  (1) A method for validating the effectiveness of assurance system processes. Third party audits, peer reviews, independent assessments, and external certification may be used and integrated into the contractor's assurance system to complement, but not replace, internal assurance systems.	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>  PRD-338, <i>ICP Contractor Assurance System</i>	Attachment 1, 2.b	
1.2 Scope and Applicability	After completion of a corrective action or a set of corrective actions, an effectiveness review is conducted using trained and qualified personnel that can validate the effectiveness of corrective action/plan implementation and results in preventing recurrences	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>	Attachment 1, 2.b.(3)(b)(3)	
Entire MCP-1539	To facilitate appropriate oversight, contractor assurance system data must be documented and readily available to DOE. Results of assurance processes must be analyzed, compiled, and reported to DOE as requested by the Contracting Officer (e.g., in support of contractor evaluation or to support review/approval of corrective action plans).	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>  PRD-338, <i>ICP Contractor Assurance System</i>	Attachment 1, 2.d.	

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Entire MCP-1539	Contractors must monitor and evaluate all work performed under their contracts, including the work of subcontractors, to ensure work performance meets the applicable requirements for environment, safety, and health, including quality assurance and integrated safety management; safeguards and security; cyber security; and emergency management.	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>  PRD-338, <i>ICP Contractor Assurance System</i>	Attachment 1, 1	
2.0 Responsibilities  4.2 Conduct of PEB Assessments  4.3 Post-Assessment Activities	The contractor assurance system, at a minimum, must include the following:  (3) A structured issues management system that is formally described and documented and that captures program and performance deficiencies (individually and collectively) in systems that provide for timely reporting, and taking compensatory corrective actions when needed.	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>  PRD-338, <i>ICP Contractor Assurance System</i>	Attachment 1, 2.b.(3)(a)	
Entire MCP-1539	The contractor must submit an initial contractor assurance system description to the Contracting Officer for DOE review and approval. That description must clearly define processes, key activities, and accountabilities. An implementation plan that considers and mitigates risks should also be submitted if needed and should encompass all facilities, systems, and organization elements.	DOE O 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>  PRD-338, <i>ICP Contractor Assurance System</i>	Attachment 1, 2.c.	
Entire MCP-1539	...performing independent oversight of DOE and contractor activities...	DOE G 450.4-1C, <i>Integrated Safety Management System Guide</i>  PDD-1004, <i>Integrated Safety Management System</i>	Attachment 6, Core Function 5	

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Step	Basis	Source	Citation	Comments
		PRD-331, <i>Integrated Safety Management System</i>		
4.2 Conduct of PEB Assessments 4.3 Post-Assessment Activities	Relevant performance records reflect an improving ISM system. Records include routine DOE and contractor self-assessment reports, independent and focused assessment reports, ...	DOE G 450.4-1C, <i>Integrated Safety Management System Guide</i>	Attachment 9	
1.2 Scope and Applicability 4.2 Conduct of PEB Assessments	Contractors must develop and implement an environmental management system (EMS) that is certified to or conforms with the International Organization for Standardization's (ISO) 14001:2004 ...	DOE O 436.1, <i>Departmental Sustainability</i>  ISO 14001, <i>Environmental Management Systems – Requirements with guidance for use</i>	2.b  ISO 14001, 4.5.5	
4.1 Pre-Assessment Activities	Establish functional area CRADs	DNFSB Recommendation 2004-1, <i>Oversight of Complex, High-Hazard Nuclear Operations</i>	Entire Document	
4.1 Pre-Assessment Activities 4.2 Conduct of PEB Assessments	The systematic assessment of the state of all systems/equipment upon which the safety of the site and its hazardous facilities depend (public, worker, and environment) and the adequacy of the resources applied to do surveillance, maintenance, and configuration management.	DNFSB Recommendation 2000-2, <i>Configuration Management of Vital Safety Systems</i>	Entire Document	
Entire MCP-1539	The ICP CAS encompasses all aspects of the activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers and authorities, and ensure that corrective and preventive actions are established and effectively implemented. These activities include assessments (including self-assessments, management assessments, and internal independent assessments as defined by laws, regulations, and DOE Orders), operational	PRD-338, <i>ICP Contractor Assurance System</i>	Section 1	

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Step	Basis	Source	Citation	Comments
	awareness activities (e.g., management walk-through), quality assurance programs, ... worker feedback mechanisms,...			
4.1 Pre-Assessment Activities	A self-assessment program shall be established in which facility personnel review the day-to-day activities to ensure that they are conducted in a safe manner.	TSR-100, <i>ICP Standardized Technical Safety Requirements (TSR) Document, Rev. 7</i>	AC 5.100.8	