

**Work Planning and Control
Phase 1 & 2 CRAD**

OBJECTIVE

WPC: An integrated process has been established and is utilized to effectively plan, authorize and execute the identified work for the facility or activity. (Reference DOE-HQ Memorandum from Dr. Steven L Krahn, *Work Planning and Control Program Guidelines*, dated April 7, 2010 for lines of inquiry) (Criteria aligned to ISMS core functions)

CRITERIA:

1. Procedures and/or mechanisms are in place to ensure that **work planning is integrated** at the individual maintenance or activity level fully.

Procedures adequately describe the process for requesting/initiating WCD (Work Control Document).

There is adequate guidance regarding the use of the “graded approach” in determining the type of WCD and associated levels of planning and detail based upon the activity’s complexity, frequency, and/or risk.

Procedures and/or mechanisms are in place which ensures that adequate performance measures and indicators, including safety performance measures are established of the work.

2. Procedures are in place to assure that the Work Control documents properly **define the scope** of the activity to be performed and that activities are prioritized based on an integrated schedule:

Procedures adequately describe the process for the work planner to develop the proposed WCD (e.g., job walk downs; selection of planning SMEs; previous job lessons learned review; hazards analysis process). (RARE 6.2, Procedures defining work are approved)

Document Control records verify that work planning and control procedure(s) are approved based on the scope of the work to be performed and the latest revision has been implemented.

The procedures provide adequate details for the planner to develop a consistent, quality WCD (work instructions).

Procedures address worker responsibilities and expectations.

3. Procedures and/or mechanisms are in place which ensures that the contractor has **analyzed the hazards and mitigate the hazards** through appropriate controls and that safety requirements are integrated into work performance.

Procedures adequately describe the Industrial Hygiene, Occupational Safety, Radiological Control and other hazard analysis process and its interface with the work planning and control process. (RARE 1.1.2, (Combustible Control Plan (CCP) completed and current), RARE 1.3.1, (Approved HASP, if HAZWOPER activity), RARE 1.5.3, (RWPs developed and approved))

WCD reflect appropriate prerequisites, PPE, Administrative Controls, Engineered Controls, hold points and other hazard mitigation identified in the hazards identification process. (RARE 1.2.2, (Applicable permit(s) identified and obtained (e.g., lockout/tagout, confined space, excavation/penetration, hotwork, etc.), RARE 1.2.3, (Appropriate personal protective equipment identified and available), RARE1.2.4, (Construction Safety and Health Plan (CSHP) completed and current), RARE1.3.2, (Workplace Industrial Hygiene (IH) sampling strategy developed and documented), RARE 1.3.4, (Medical surveillance/screening program participation verified for applicable workers))

Procedures address when an independent safety review of WCD is required.

Procedures adequately describe the Emergency Work process and criteria. (RARE 12.1, (Hazards Survey/EPHA/EALs applicable to the work scope are in place.), RARE 12.2, (Work Control documents address emergency notifications and worker protective actions))

4. Procedures and/or mechanisms are in place which ensures that there is a process used to confirm that the facility or activity and the operational work force are in an **adequate state of readiness** prior to **authorizing the performance of the work.**

Approved work packages and procedures are issued and authorized for use. (RARE 6.1, (Approved Work Packages/Procedures are issued))

Line Management is responsible for and has verified that training records or other documents indicate that appropriate personnel have been trained and/or briefed to the latest changes and/or revision of the work planning and control procedure(s). (RARE 6.3, (Training/Briefings completed))

An adequate selection, training, and qualification program exists for work planners.

Work planner training contains, at a minimum, the following elements: ISMS requirements; WCD process; hazard analysis process procedures; use of walk downs; use of SMEs.

Work activities are formally approved and scheduled on the Plan of the Day, or equivalent, to facilitate notification to affected personnel, resolution of scheduling conflicts, identification of resources and support required, prioritization with other work, and availability of required facilities and systems.

Tools are available to perform the work and laydown, staging and dress-out areas have been identified. (RARE 6.4, (Tools are available), RARE 6.5, (Laydown areas identified))

5. Procedures and/or mechanisms are in place which ensures that there is a process used to gain authorization to conduct operations and to verify that the **work is performed within the controls.**

The draft WCD requires peer or work control management review prior to distribution for concurrence and approval.

The process adequately describes the responsibilities and accountabilities of the personnel concurring with and approving the WCD and there is a process that requires a final WCD approval by management.

Line Management is responsible for oversight of ongoing activities.

6. Procedures and/or mechanisms demonstrate effective **Feedback Performance.**

The work planning and control procedure(s) require a documented post-job review that addresses worker, planner and supervisor feedback.

There is an established process to initiate lessons learned and there is an established process (i.e., identified databases or information sources) for planners to incorporate lessons learned into WCDs.

WCD feedback/lessons learned are tracked, trended, and made available for planner use.

APPROACH:

Record Reviews: (List of documents with title, date, revision)

Interviews: (List of interviews conducted by functional title)

Field and/or Work Activities Reviewed: (If any)

DISCUSSION OF RESULTS:

CONCLUSION: (The objectives were met/not met)

Concern: (Programmatic noncompliance with requirements)

Finding: (Single noncompliance with requirements)

Comment: (Both positive and negative activities; no specific requirement)