PNSO Integrated Evaluation Plan FY08 Assessments/Surveillances of BMI

A	B	C	D	E
	Type of Oversight	**Lead/Point of Contact**	**Scheduled Date**	**Document Source**
1.0	**Operational Awareness Activities** **Assessment Driver: DOE O 226.1, DOE Oversight Policy Implementation & DOE O 414.1C Quality Assurance. For all Programmatic and Management System Oversight Activities below.**			
1.1	**Programmatic Oversight (Includes...)**			
1.1.1	Fundamental Science	Williams	Monthly	Capture Tool
1.1.2	Energy Sciences and Technology	Edwards	Monthly	Capture Tool
1.1.3	National Security	Mamiya/McLeod	Monthly	Capture Tool
1.1.4	Environmental Molecular Sciences Laboratory	Day	Monthly	Capture Tool
1.2	**Management System Oversight (Includes ROD reviews, self-assessment validation, corrective action reviews, etc.)**			
1.2.1	Acquisition Management	Kilbury	Monthly	Capture Tool
1.2.2	Communications	Talbot	Monthly	Capture Tool
1.2.3	Environmental	Aldridge	Monthly	Capture Tool
1.2.4	Emergency Preparedness (Safeguards, Security, and EP)	Collantes	Monthly	Capture Tool
1.2.5	Facility Operations & Maintenance	Escamillo	Monthly	Capture Tool
1.2.6	Facility Safety	Escamillo	Monthly	Capture Tool
1.2.7	Financial Management	Mendez	Monthly	Capture Tool
1.2.8	Human Resource	Fletcher	Monthly	Capture Tool
1.2.9	Information Resources	Moody	Monthly	Capture Tool
1.2.10	Integrated Planning and Assessment	Swafford-Bennett	Monthly	Capture Tool
1.2.11	Integrated Environment, Safety and Health (ES&H)	Pietrok	Monthly	Capture Tool
1.2.12	Project Management	Biancosino	Monthly	Capture Tool
1.2.13	Quality	Swafford-Bennett	Monthly	Capture Tool
1.2.14	Radiological Control	Briggs	Monthly	Capture Tool
1.2.15	Records	Angulo	Monthly	Capture Tool
1.2.16	Safeguards, Security and Emergency Preparedness	Suess	Monthly	Capture Tool
1.2.17	Scientific and Technical Information	Angulo	Monthly	Capture Tool
1.2.18	Standards-Based Management System (SBMS)	Collantes	Monthly	Capture Tool
1.2.19	Technology Commercialization	Moody	Monthly	Capture Tool
1.2.20	Training and Qualification	Escamillo	Monthly	Capture Tool
1.2.21	University and Science Education Programs	Williams	Monthly	Capture Tool
1.2.22	Worker Safety and Health	Briggs	Monthly	Capture Tool
	Legal (Not a Management System)	Angulo	Monthly	Capture Tool
1.3	**Facility Representative Oversight**			
	Informal Oversight			
1.3.1	Routine Oversight as identified in FR Master Oversight Plans (e.g. Attend PODs, POWs, pre-jobs, critiques, event follow-up, walkthroughs, etc.) Assessment Drivers: Facilty Representatives Core Schedule	Higgins Carlson	Daily, Weekly, Monthly, Quarterly, Annual, As occur	More significant issues in FR Weekly Reports
	Formal Oversight			
1.3.2	Authorization Basis Implementation/USQ	Carlson (RPL)	1Q	Surveillance

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1.3.3	OPS 9.16 Procedure Content and Use	Carlson (RPL)	2Q	Surveillance
1.3.4	MSS 1.1 Corrective Action/Issue Management	Carlson (RPL)	3Q	Surveillance
1.3.5	TQS 4.3 Training Program Content	Carlson (RPL)	4Q	Surveillance
1.3.6	ERS 14.1 Satellite Accumulation Area	Higgins	1Q	Surveillance
1.3.7	MAS 10.1 Maintenance Activities	Higgins	2Q	Surveillance
1.3.8	OPS 9.9 Lockouts and Tagouts	Higgins	3Q	Surveillance
1.3.9	OSS 19.10 Barriers and Postings	Higgins	4Q	Surveillance
1.4	**Project Oversight** Quarterly Project Performance Review Assessment Driver: DOE O 226.1 Implementation of DOE Oversight Policy	HQ-SC	Quarterly	Capture Tool
2.0	**Evaluation of Contractor Performance**			
	Performance Evaluation and Measurement Plan (PEMP) Evaluations – Quarterly Assessment Driver: Contract Clause H-10/H-11 Continued Improvement Initiative/Standards of Contractor Performance Evaluation	PNSO/Kilbury	Quarterly	Capture Tool
	Contract Evalution Assessment Driver: Contract Clause H-10/H-11 Continued Improvement Initiative/Standards of Contractor Performance Evaluation	PNSO/Kilbury	Annual	Formal Report
3.0	**Assessments of Facilities Operations and Programs**			
	Annual LDRD certification Assessment Driver: DOE O 413.2B Laboratory Directed Research and Development	OR/Mendez	1Q	Formal Report
	Annual QAPD Review and Update Assessment Driver: DOE O 414.1C Quality Assurance/ 10CFR 830 Subpart A Quality Assurance	Swafford-Bennett	2Q	Formal Report
	Record of Decision Review Assessment Driver: DOE O 226.1, DOE Oversight Policy Implementation & DOE O 414.1C Quality Assurance.	Collantes	3Q	Formal Report
	Management Systems Annual Self Assessment Assessment Driver: DOE O 226.1, DOE Oversight Policy Implementation & DOE O 414.1C Quality Assurance.	Swafford-Bennett	4Q	Formal Report
	R&D Directorate Review Committee Reviews (3) Assessment Driver: DOE O 226.1, DOE Oversight Policy Implementation	DRC-PNSO	2Q/3Q	Capture Tool
	Internal assessment for ISO-14001:2004 Registration to PNNL Assessment Driver: DOE O 450.1 Environmental Protection Program/Contract requirement: H-8: Allocation of Responsibilities for Contractor E Compliance Activities (a)	ISO/Aldridge	3Q	Formal Report
	External assessment for evaluation of PNNL application to EPA for continued Performance Track Membership Assessment Driver: DOE O 450.1 Environmental Protection Program/Contract requirement: H-8: Allocation of Responsibilities for Contractor Env Compliance Activities (a)	EPA/Aldridge	3Q	Formal Report

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	Annual external Regulator (Department of Health) inspection of PNNL major stacks (325, 331) (date set by DOH) Assessment Driver: Washington Administrative Code (WAC)/Air Operating Permitt Requirements	DOH/Aldridge	3Q	Formal Report
	Annual ISM Description Review and Update Assessment Driver: Contract Clause I-87 (DEAR Clause 970.5223-1)	Pietrok	4Q	Formal Report
	ISM System Self Assessent and Declaration Assessment Driver: Contract Clause I-87 (DEAR Clause 970.5223-1)/ DOE M 450.X (expected to be issued September 2007)	Pietrok	4Q	Formal Report
	Annual 325 SAR/SER Update Assessment Driver: 10 CFR830 Subpart B, section 202.(c).2	Escamillo	4Q	Formal Report
	CAS Compliance Audits Assessment Driver: Use Permitt, FAR 42.7/ Contract Requirement I-38 Cost Account Standards	DCAA/Mendez	4Q	Formal Report
	Financial Statement Audit Assessment Driver: Gov. Reform Act 1994	OIG/Mendez	4Q	Formal Report
	Review of Statement of Costs Incurred and Claimed for FY06&FY07 Assessment Driver: DOE O 534.1 Accounting Handbook	OIG/Mendez	Bi-Annual	Formal Report
	Financial Management Reviews Assessment Driver: Gov. Reform Act 1994/ DOE O 523.1 Finanacil Management Oversight	OR/Mendez	4Q	Formal Report
	EVMS Surveillance at the end of each FY (September)-FY11 Assessment Driver: DOE O 413.3A Program and Project Management for Acquisition of Capital Assets.	DOE-HQ	4Q	Formal Report
	DCAA Audits Assessment Driver: Gov. Reform Act 1994/ DOE O 523.1 Finanacil Management Oversight	DCAA/Mendez	Quarterly	Formal Report
	Office of Worker Safety and health Assistance (HS-12) Re-Certification Assessment of PNNL Voluntary Protection Protection Program Assessment Driver: DOE Voluntary Protection Program Requirements	HS-12/Pietrok	1Q	Formal Report
	Lehman Pre CD-3B Review Assessment Driver: DOE O 413.3A Program and Project Management for Acquisition of Capital Assets.	DOE-HQ	1QFY08	Formal Report
	Safety Basis Documentation Review Assessment Driver: 10 CFR830 Subpart B	Escamillio	2Q	Formal Report
	Safeguards and Security Periodic Survey of Hohman Plating & Manufacturing Driver: DOE M 470.4-1, Chg 1, Safeguards and Security Program Planning and Management	Suess	1Q	Formal Report
	Safeguards and Security Periodic Survey of PNNL-Sequim (MRO) Driver: DOE M 470.4-1, Chg 1, Safeguards and Security Program Planning and Management	Suess	4Q	Formal Report

4.0 Self Assessments

	Q-12 Assessment Driver: DOE O 226.1, DOE Oversight Policy Implementation	PNSO/Talbot	3Q	Formal Report
	Site Office Annual Assessment Report Assessment Driver: DOE HQ Office of Science	PNSO/Vickerman	4Q	Formal Report

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	Site Office Program Review Assessment Driver: DOE O 226.1, DOE Oversight Policy Implementation	PNSO/Davis	Monthly	Formal Report
5.0	**Out Year Assessments (FY09-)**			
	SAS Inspections Hohman Plating & Manufacturing Assessment Driver: DOE O 470.4, Safeguards and Security Program Planning and Management	CH	1Q/FY09	Formal Report
	Safeguards and Security Periodic Survey of Barson Composite Corp (Hitemco) Driver: DOE M 470.4-1, Chg 1, Safeguards and Security Program Planning and Management	Suess	1Q	Formal Report
	Safeguards and Security Periodic Survey of PNNL-Seattle Driver: DOE M 470.4-1, Chg 1, Safeguards and Security Program Planning and Management	Suess	2Q	Formal Report
	Safeguards and Security Periodic Survey of PNNL Driver: DOE M 470.4-1, Chg 1, Safeguards and Security Program Planning and Management	Gradle	3Q	Formal Report
	Safeguards and Security Periodic Survey of Albuquerque Polygraph Test Center (ALPTC) Driver: DOE M 470.4-1, Chg 1, Safeguards and Security Program Planning and Management	Suess	3Q	Formal Report
	Review Cost Transfers Assessment Driver: Gov. Reform Act 1994/ DOE O 523.1 Finanacil Management Oversight	FM	FY09	Formal Report
	Review of Funds Control Process Assessment Driver: DOE O 130.1 Budget Formulation, DOE M 135.1A Budget Execution Funds Distribution and Control/DOE O 520.1 CFO/ DOE O 534.1 Accounting Handbook	FM	FY09	Formal Report
	Review of Statement of Cost Incurred and Claimed Assessment Driver: DOE O 534.1 Accounting Handbook	OIG	FY09	Formal Report
	Financial Statement Audit Assessment Driver: Gov. Reform Act 1994	OIG	FY08	Formal Report
	CAS Compliance Audits Assessment Driver: Use Permitt, FAR 42.7/ Contract Requirement I-38 Cost Account Standards	DCAA	FY09	Formal Report
	EVMS Surveillance at the end of each FY (September)-FY11 Assessment Driver: DOE O 413.3A Program and Project Management for Acquisition of Capital Assets.	DOE-HQ	4QFY08-11	Formal Report
	External limited assessment (1/3 of elements assessed) for ISO-14001:2004 to PNWD (October) Assessment Driver: ISO 14001:2004 , DOE O 450.1 Environmental Protection Program/Contract requirement: H-8: Allocation of Responsibilities for Contractor Env Compliance Activities (a)	ISO	1QFY09	Formal Report

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	EPA Performance Track Commitments for 2007 (April Report) Driver: DOE O 450.1/EPA Performance Track Membership Requirements	Assessment	EPA	3QFY08/09	Formal Report
	Annual external Regulator (Department of Health) inspection of PNNL major stacks (325, 331) (date set by DOH) Driver: Washington Administrative Code	Assessment	DOH	TBD	Formal Report
	Assess implementation of NEPA through EPR process Driver: NEPA Policy	Assessment	PNSO-Aldridge	2QFY08/09	Formal Report
	Assess the efficient of the development of inventories related to the Unneeded Materials and Chemicals Site Specific Plan (SSP) and as appropriate the Start Clean Stay Clean Management Plan (SCSCMP). Assessment Driver: DOE HQ Initiative and NEPA Policy		PNSO Aldrige/Moody	3QFY08/09	Formal Report
	Corrective Action Validation (EMSD Procedures) Driver: NEPA Policy	Assessment	PNSO-Aldridge	FY09	Formal Report
	LDRD Certification Driver: DOE O 522.1	Assessment	FM	12/31/2008	Formal Report
	Annual Financial Management Systems Review Assessment Driver: DOE O 520.1		FM	4/30/2009	Formal Report
	Review of Cost Transfers Assessment Driver: DOE O 520.1		FM	6/30/2009	Formal Report
	A-123 Validation Review Driver: HQ Direction	Assessment	FM	8/31/2009	Formal Report
	Review of Related Party Transactions		FM	9/28/2009	Formal Report
	Review of Statement of Costs Incurred and Claimed Driver: DOE O 224.2	Assessment	OIG	7/3/2009	Formal Report
	Financial Statement Audit Assessment Driver: DOE O 224.2		OIG	11/7/2009	Formal Report
	CAS Compliance Assessment Driver: Contract		DCAA	TBD	Formal Report
	Biennial Review of Prices Charged for Materials and Services		FM	12/31/2009	Formal Report
	LDRD Certification Assessment Driver: HQ Direction		FM	12/31/2009	Formal Report
	Budget Validation Review Driver: DOE O 520.1	Assessment	FM	6/30/2010	Formal Report
	Review of Funds Control Process Assessment Driver: DOE O 520.1		FM	8/30/2010	Formal Report
	A-123 Validation Review Assessment Driver: HQ Direction		FM	8/31/2009	Formal Report
	Review of Statement of Costs Incurred and Claimed Assessment Driver: DOE O 224.2		OIG	7/3/2010	Formal Report
	Financial Statement Audit Assessment Driver: DOE O 224.2		OIG	11/7/2010	Formal Report
	CAS Compliance Assessment Driver: Contract		DCAA	TBD	Formal Report