



# Assurance Council

## *H Clause Implementation – Contract Mapping and Policy Status*

- ◆ The contract SOW (C.3) has been mapped to the current DOE Orders and policies
- ◆ Per tasking – D/S/Cs are being interviewed to identify current document control systems
  - ❖ Systems are being contrasted to understand the differences and so recommended process minimizes impact on existing methods
  - ❖ Draft documents for controlled document preparation have been generated and are being modified as necessary to reflect as found, or required, conditions from interviews
    - Completed drafts will be forwarded to AC chair and OQBP head for dissemination to AC once internal review comments are reconciled

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## *H Clause Implementation – Contract Mapping and Policy Status*

### ◆ Required discussion

- ❖ What does hierarchy look like?
- ❖ How do we label the levels in the hierarchy?
- ❖ Agree on definition of management systems
- ❖ Name management systems
- ❖ Agree to steps for completion

### ◆ Hierarchy

- ❖ One way is to organize the policies in a way consistent with the way we do business
  - Shows flow down of contract requirements and demonstrate ownership of the different aspects of Fermilab management

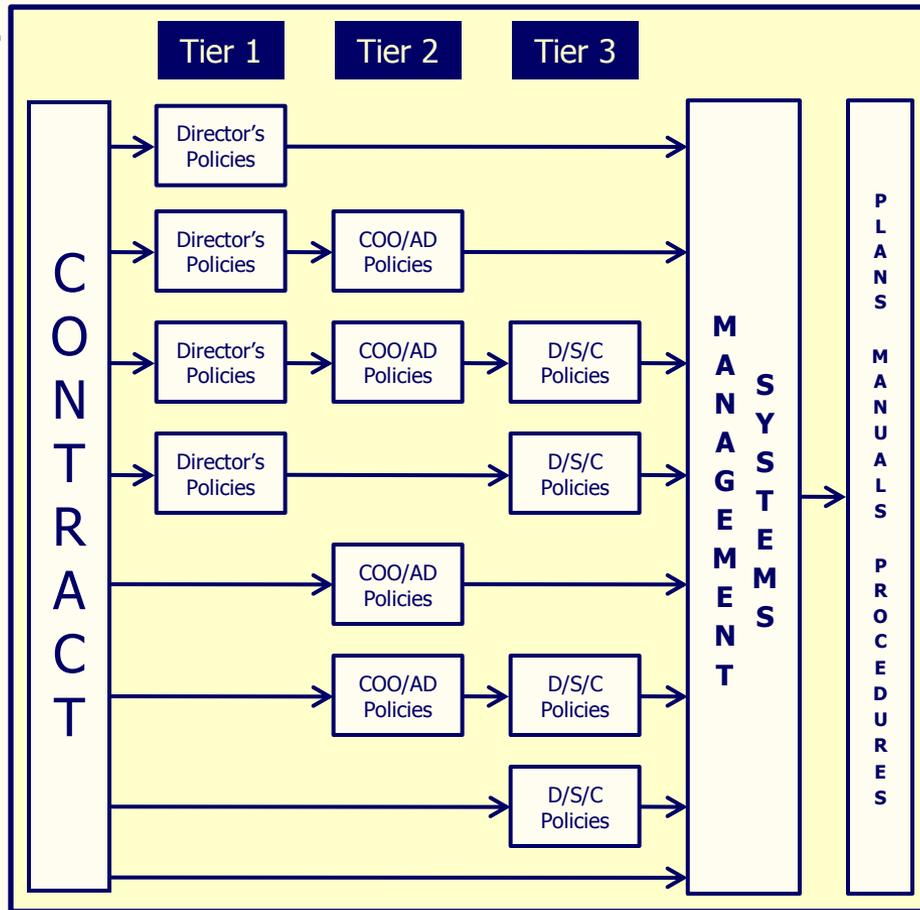
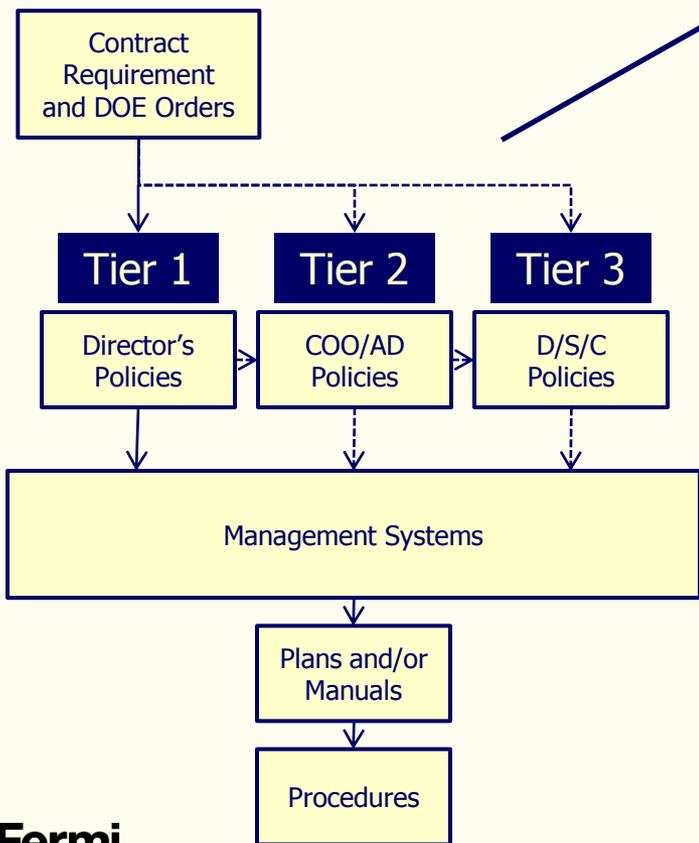
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## *Current Policies – No Structure*

- ◆ 1.000 Policy on Policies
- ◆ 2.000 Personnel
- ◆ 3.000 ES&H
- ◆ 4.000 Operations
- ◆ 5.000 Maintenance
- ◆ 6.000 Procurement
- ◆ 7.000 Make or Buy
- ◆ 8.000 Design
- ◆ 9.000 Experiments
- ◆ 10.000 Quality Assurance
- ◆ 11.000 Property
- ◆ 12.000 Project Management
- ◆ 13.000 Document Control
- ◆ 14.000 Security & Site Access
- ◆ 15.000 Financial Management
- ◆ 16.000 Discretionary Funds
- ◆ 17.000 Community Outreach
- ◆ 18.000 Construction/Modification
- ◆ 19.000 Training
- ◆ 20.000 Assessments
- ◆ 21.000 Computing
- ◆ 22.000 Fermilab Scientific Appointments
- ◆ 23.000 Public Affairs
- ◆ 24.000 Freedom of Information Act Requests
- ◆ 25.000 Smoking
- ◆ 26.000 Substance Abuse
- ◆ 27.000 Anti-Harassment
- ◆ 28.000 Emeritus Status
- ◆ 29.000 Guest Appointments
- ◆ 30.000 Ozone Depleting Substances
- ◆ 31.000 Demonstrations
- ◆ 32.000 Honoraria
- ◆ 33.000 Interactions with Legislators
- ◆ 34.000 Loaning Tools
- ◆ 35.000 Foreign Travel Approval
- ◆ 36.000 Facility Reuse Program
- ◆ 37.000 Code of Conduct
- ◆ 38.000 Personally Identifiable Information
- ◆ 39.000 Assurance Program
- ◆ 40.000 Inclement Weather and Snow Policy
- ◆ 41.000 Fermilab Employee Assignments to non-US Institutions while Awaiting Visa Renewals
- ◆ 42.000 Scientific Research
- ◆ 43.000 Requests for Easements or License

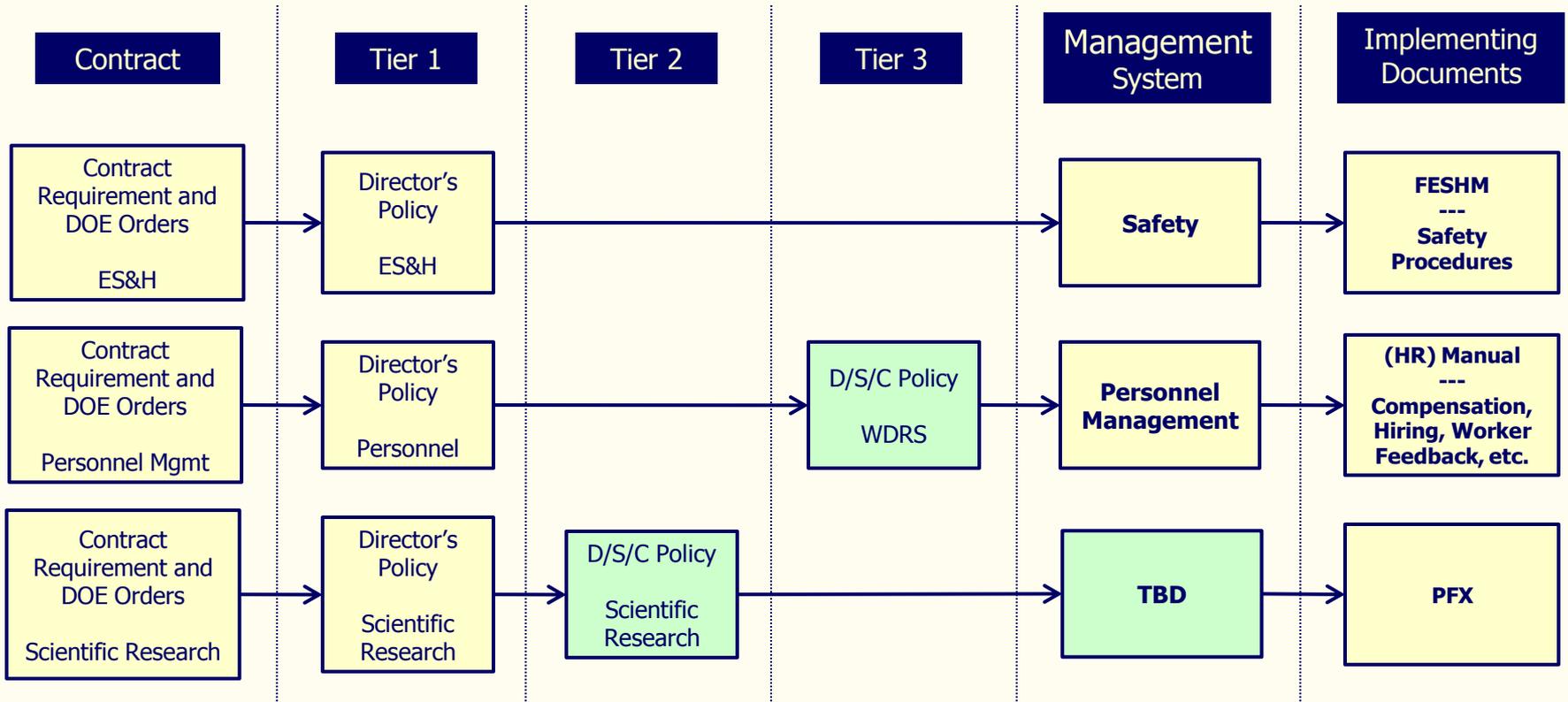
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## H Clause Implementation – Hierarchy



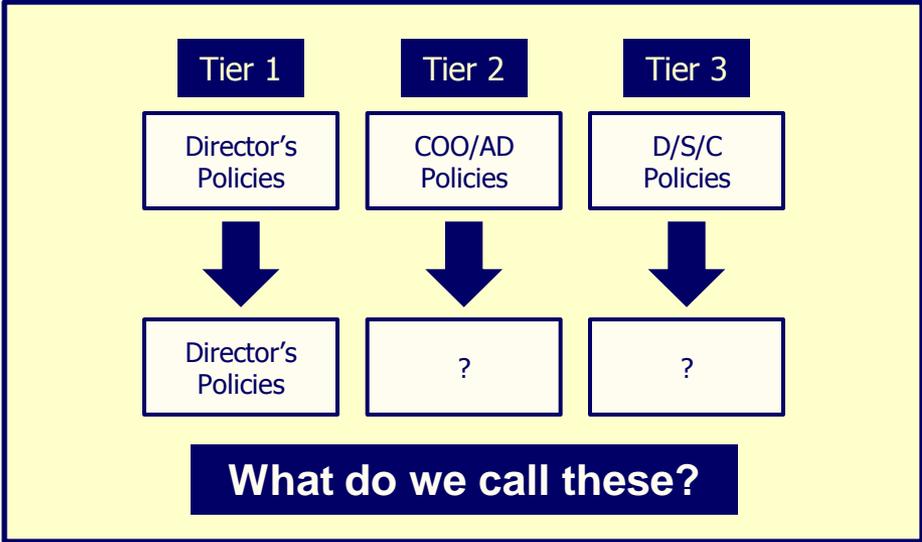
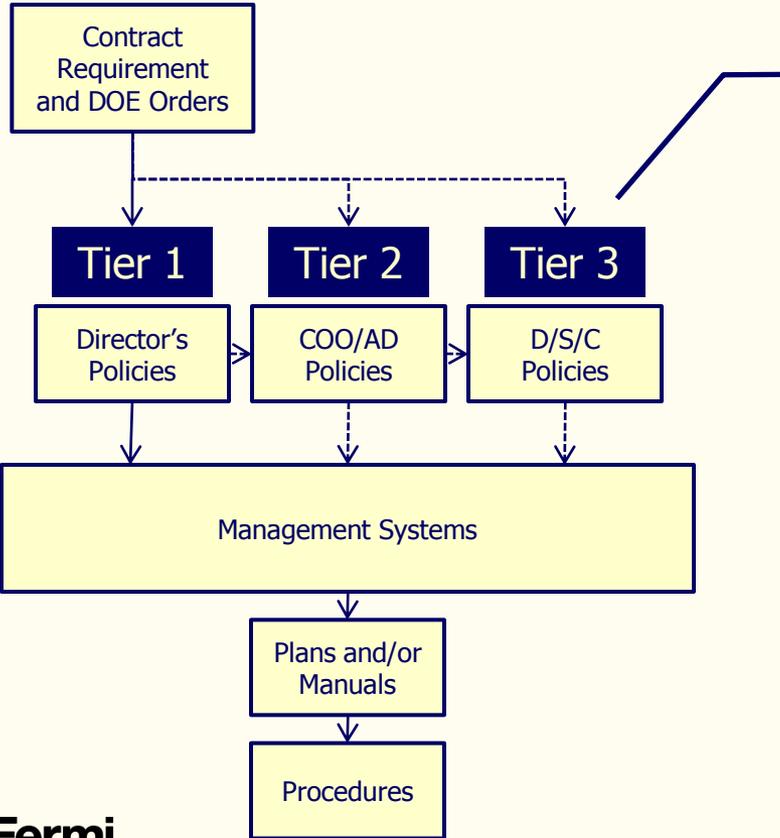
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## H Clause Implementation – Hierarchy Examples



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## H Clause Implementation – Labels



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## *H Clause Implementation – Management System Definitions*

- ◆ **Management System:** Framework of processes and procedures used to ensure that an organization can fulfill the tasks required to achieve its objectives.
  - ◆ Example : ES&H system, Owner at Fermilab – ES&H Director.

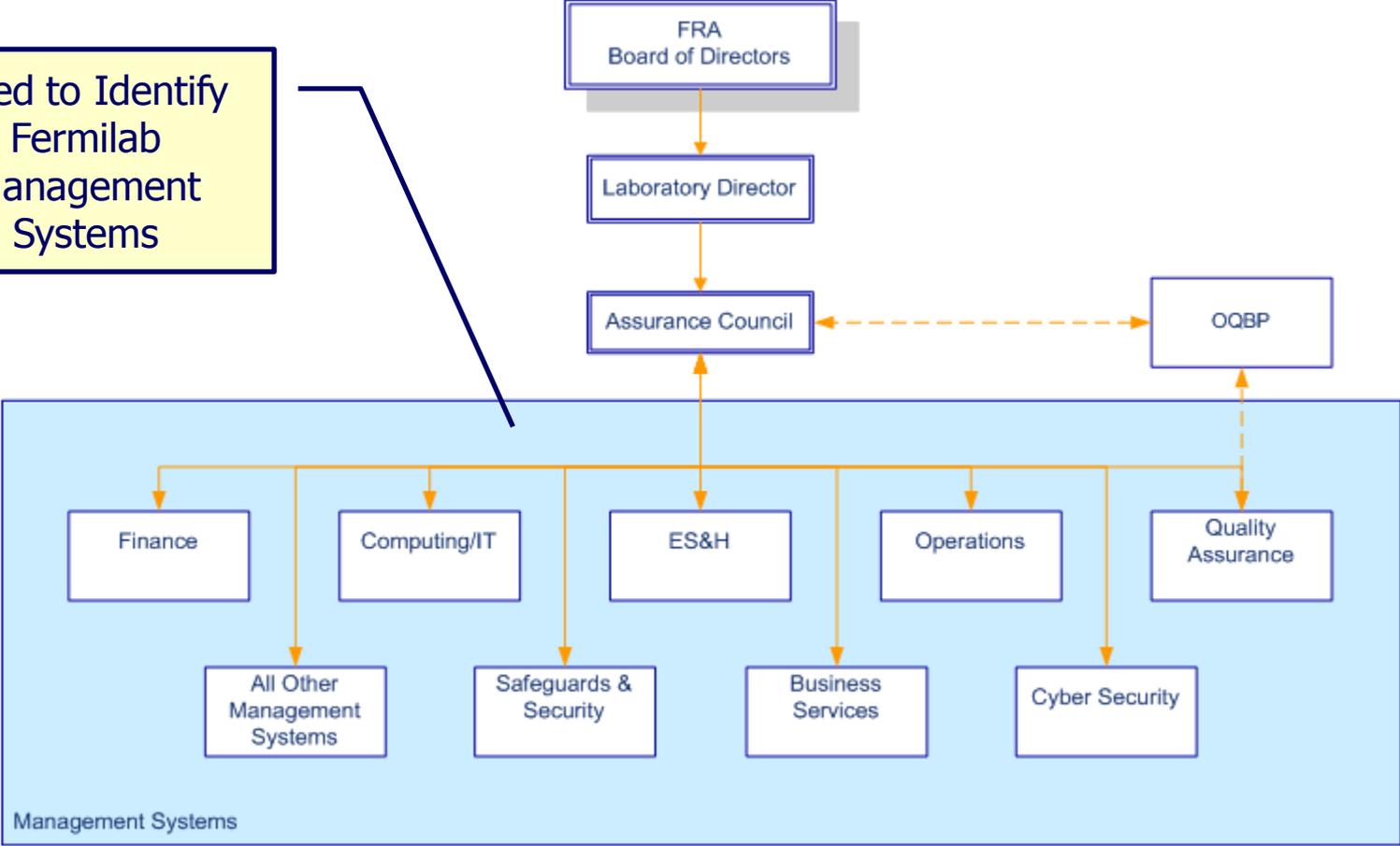


- ◆ A **process** is a structured set of activities designed to produce a specified output for a particular customer.
  - ◆ It implies a strong emphasis on how work is done in contrast to a focus on what is produced.
  - ◆ A process has a structure for action - a beginning, end, and clearly identified inputs and outputs.

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## H Clause Implementation – Naming Management Systems

Need to Identify  
Fermilab  
Management  
Systems



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## *Management Systems - Examples*

<b>Security</b>	<b>Pier Oddone</b>
<b>Safeguards and Security - Physical</b>	<b>Dave Carlson</b>
<b>Site Access</b>	<b>DOE</b>
<b>Cyber Security</b>	<b>Vicky White</b>
<b>Personnel Management</b>	<b>Kay Van Vreede</b>
<b>Compensation &amp; Benefits</b>	
<b>Labor Relations (EEOC - Legal)</b>	
<b>Professional Development</b>	
<b>Workforce Planning (OHAP, R2A2, Hiring, Succession Planning)</b>	

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## Steps to Completion

Step #	Action	Responsible Parties
1	Map contract versus Director's Policy & DOE documents	Ed
2	Fill in the blanks/gaps & map D/S/C Policy, manuals, & procedures where possible	Bob, Jeff, & Ed
3	Agree on definitions (management systems, processes, etc.)	AC
4	D/S/Cs Identify management systems	Ed with D/S/C
5	AC Validate management systems	AC
6	D/S/Cs Map major processes	AC – Assign D/S/C, Ed
7	AC Validate mapping	AC , Assistance of D/S/C and Ed
8	D/S/C Fill in the blanks/gaps under D/S/C control using/listing D/S/C Policy, manuals, & procedures	AC – Assign D/S/C
8a	Recommend solutions for easy to correct issues within OQBP's/COO's control to Bruce, Bob, and Jeff	Ed
8b	Perform agreed upon actions	Ed, OQBP
9	OQ BP Compile results	OQBP
10	Analyze whether what exists is acceptable or needs to be changed; compare current list of assessments to contract requirements/management systems to ensure Fermilab is looking at the correct things to assure compliance.	OQBP recommends to AC
11	Make plans to correct – CAPs with Plans	AC