



U.S. Department of Energy
OFFICE OF RIVER PROTECTION

P.O. Box 450, MSIN H6-60
Richland, Washington 99352

JUN 02 2006

06-ESQ-055

Dr. J. G. Hwang, President
Advanced Technologies
and Laboratories International, Inc.
P.O. Box 250
Richland, Washington 99352

Dear Dr. Hwang:

CONTRACT NO. DE-AC27-05RV14548 – ASSESSMENT REPORT A-06-ESQ-222S-001,
ASSESSMENT OF THE ADVANCED TECHNOLOGIES LABORATORIES
INTERNATIONAL, INC. (ATL) EMPLOYEE CONCERNS PROGRAM (ECP)

This letter transmits the results of the U.S. Department of Energy (DOE), Office of River Protection (ORP) assessment of the ATL ECP. The assessment was completed on May 10, 2006.

The Team evaluated compliance with the Contractor Requirement Document to DOE Order 442.1A, "Department of Energy Employee Concerns Program," reviewed all recently completed ECP investigations, verified that ATL employees were aware of the ECP, and reviewed the completed self-assessment of ATL ECP. Based on this review, the ORP Assessment Team concluded the ATL ECP complied with applicable DOE standards, and was effective in providing 222-S Laboratory workers with an alternative method for raising concerns. The Team made several recommendations to improve the process, and these are discussed in the Attachment.

If you have any questions, please contact me, or your staff may call Robert C. Barr, Director, Office of Environmental Safety and Quality, (509) 376-7851.

Sincerely,

Roy J. Schepens, Manager
Office of River Protection

ESQ:PPC

Attachment

cc w/attach:
ATL Correspondence

Attachment
06-ESQ-055
A-06-ESQ-222S-001

U.S. Department of Energy
Office of River Protection
Assessment Report

Title: Assessment of Advanced Technologies Laboratories International, Inc. Employee Concerns Program

Report Number: A-06-ESQ- 222S-001

Facility: 222-S Laboratory

Location: Hanford Site

Date Completed: May 10, 2006

Assessors: Carrie M. Fetto and Kenneth G. Till

Approved by: Patrick P. Carier, Manager, Employee Concerns Program

Contractor: Advanced Technologies Laboratories International, Inc.

Guide: DOE CRD O 442.1A, Revision 1

Executive Summary

This assessment evaluated the Advanced Technologies Laboratories International, Inc. (ATL) implementation of its Employee Concerns Program (ECP). This assessment found ATL has implemented and operated an ECP that meets the applicable requirements since taking over 222-S Laboratory operations in May 2005. The Team made several suggestions to improve the process, which are discussed below.

Purpose and Scope

The purpose was to determine if ATL implemented and operated an ECP in accordance with the U.S. Department of Energy (DOE), Office of River Protection (ORP)/ATL 222-S Laboratory Contract DE-RP27-04RV14548 Contracts Requirements Document (CRD) DOE O 442.1A, "Department of Energy Employee Concerns Program," Revision 1, CRD requirements. The Team performed the following:

- Reviewed ATL's Administrative Procedure ATL-312, Section 2.03, Revision 1 "Employee Concerns Program;"
- Interviewed ATL's ECP Coordinator;
- Reviewed the adequacy of case files and database records with respect to the record of events, depth of investigation, and corrective actions for all ECP cases since contract inception;
- Reviewed how ATL publicizes its ECP to employees;
- Interviewed selected employees to determine their familiarity with ATL's ECP and ORP's ECP; and
- Reviewed ATL's ECP self-assessment report, dated May 10, 2006.

Results

The Team found ATL's policies and procedures met the requirements of CRD DOE O 442.1A, Revision 1. ATL had received two employee concern cases since contract inception. The Team found the investigations and the corrective actions taken were appropriate. Documentation in the case files was adequate, but the Team did need to obtain some clarification from the ATL ECP Coordinator. The Team verified that ATL publicizes its ECP to employees through its web site and posters. ATL ECP also claimed to advise employees with reminders during meetings, and plans to make pamphlets available. The Team interviewed thirteen employees and found all of them familiar with ATL's ECP, knew the points-of-contact, and indicated they would use the program if required. Ten of the thirteen employees said they were aware of the ORP ECP.

ATL agreed to implement the following Team suggested improvements:

- Ensure case files contain sufficient documentation to ensure clarity to the reader. For example: if a case is closed without a formal review, document the reasoning; when closing a case that is a referral from ORP ECP, document that ORP ECP agrees the case should be closed; after a case is closed, provide a closure letter to the concerned individual (as required by ATL's policy) and include a copy in the file;
- Include "Indeterminate" as an option for resolution in the database, along with Substantiated, Partially Substantiated, and Not Substantiated;
- Assure corrective actions are tracked and clearly linked to the associated ECP case;
- Define information that is required to be retained in the database versus what information is kept in a paper file;
- When advertising the ECP to employees (website, posters, etc.), inform ATL employees that they have the option of utilizing the ORP ECP; and
- Train back-up ECP Coordinator as soon as possible.

ATL finished its first ECP self-assessment prior to issuance of this report. The Team reviewed ATL's self-assessment report, and found it supported the results of our assessment.

Conclusion

The ATL ECP is being implemented in compliance with DOE ORP/ATL 222-S Laboratory Contract DE-RP27-04RV14548 CRD order requirements of DOE O 442.1A, Revision 1.

Exit Meeting with ATL Management

An Exit Meeting was conducted on April 20, 2006, with Patrick Carrier, Carrie Fetto, and Kenneth Till, of ORP ECP, and Jou Hwang, Tracy Reavis, and Heather Anastos, of ATL in attendance.