U.S. Department of Energy, Office of River Protection

# OFFICE OF RIVER PROTECTION (ORP)

# ACTION TRACKING AND REPORTING SYSTEM COMPARATIVE EVALUATION ASSESSMENT

**September 2007**

**Action Tracking System Self-Assessment**

A-07-MGR-INTERNAL-001

**Team Lead:** Shirley Olinger

**Final**

U.S. DEPARTMENT OF ENERGY (DOE)
Office of River Protection (ORP)
Office of the Manager

| | |
|---|---|
| ASSESSMENT: | Action Tracking and Reporting System Comparative Evaluation |
| REPORT: | A-07-MGR-INTERNAL-001 |
| FACILITY: | 2440 Stevens Building |
| LOCATION: | Richland, Washington |
| DATES: | April 3, 2007, to August 10, 2007 |
| ASSESSORS: | Shirley J. Olinger, Kelly Brazil, Lori Derryberry, Becky Gano, Arlene Hanson, Sarah Licht, Stella Mendoza, Annez Perez, Cathy Poynor, Kim Reynolds, Dave Borders, and Chad Ungerecht |
| APPROVED BY: | Shirley Olinger |

**Final**

# EXECUTIVE SUMMARY

The U.S. Department of Energy (DOE), Office of River Protection (ORP) conducted an internal self-assessment of its action tracking and reporting system (Consolidated Action Reporting Systems or CARS) capabilities with other Hanford action tracking systems to determine:

- Whether CARS is the most effective action tracking and reporting system available to ORP.
- Whether the integration of correspondence control action items into CARS is an effective and simplified process.
- Whether the Hanford Electronic Suspense Tracking and Routing System (E-STARS or ESTARS) is a more effective system for action tracking.
- **http://www.lockheedmartin.com/data/assets/7923.pdf**

The ORP CARS and ESTARS capabilities were evaluated against the following criteria and effectiveness objectives:

- Approved DOE directives**,** DOE O 414.1C, "Quality Assurance," Assessment/ Criterion 9, Management Assessment: Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.
- User-friendliness of the system, including: 1) ease of system navigation; 2) applicability of data fields; and 3) ability to include all relevant action data and progress status.
- Clarity of system reports.
- Report writer flexibility.
- System security.
- Administration capabilities.
- Online "help" features and help-desk access.
- Word search effectiveness.
- Dependability of system.
- Ability to attach documents to action items.
- Interaction of action tracking system with other action systems, including: correspondence control, DOE Headquarters systems, and other Hanford tracking systems.

**Observations and Conclusions**

The assessment identified the following Finding and Observations:

1. **Finding A-07-MGR-INTERNAL-001-F01:** ORP does not have an approved procedure or desk instruction for organization action tracking or issues management. However, an "assessment" action tracking procedure is available (Environment, Safety and Quality [ESQ] Desk Instruction 1.2, "Assessment Tracking and Reporting," April 2004).

2. **Observation A-07-MGR-INTERNAL-001-O01:** The assessors compared CARS to ESTARS, Richland Issues Tracking System (RITS), and the Operational Awareness (OA) databases for the Richland Operations Office and ORP, and found CARS provides the most effective capability for ORP action tracking.

3. **Observation A-07-MGR-INTERNAL-001-O02:** The majority of DOE ORP employees and Support Service contractors utilize CARS on a weekly basis, and are generally satisfied with the system and reporting capabilities.

4. **Observation A-07-MGR-INTERNAL-001-O03:** Not all DOE ORP workers have received formal CARS training.

5. **Observation A-07-MGR-INTERNAL-001-O04:** Hanford correspondence control documents and actions are electronically linked to CARS. Correspondence control items are easily entered into CARS via an email notification process.

6. **Observation A-07-MGR-INTERNAL-001-O05:** ORP should consider using E-STARS for tracking and facilitating correspondence concurrence electronically (electronic concurrence). This enables administrative staff to more effectively track correspondence in concurrence and facilitate approval of office letters and documents.

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## LIST OF ACRONYMS

| Acronym | Description |
|---|---|
| CARS | Consolidated Action Reporting System |
| CATS | Corrective Action Tracking System |
| CH2M HILL | CH2M HILL Hanford Group, Inc. |
| DBMS | database management system |
| DOE | U.S. Department of Energy |
| ESQ | Environment, Safety and Quality |
| ESTARS | Electronic Suspense Tracking and Routing System |
| ID | Implementing Directive |
| LMIT | Lockheed Martin Information Technology |
| OA | Operational Awareness |
| ORP | Office of River Protection |
| RIMS | RL Information Management System |
| RITS | Richland Issues Tracking System |
| RL | Richland Operations Office |
| SQL | Structured Query Language |
| SSIMS | Safeguards and Security Issues Management System |
| Team | Assessment Team |
| WTP | Waste Treatment and Immobilization Plant |

# Office of River Protection (ORP)
# Management Systems Self-Assessment

## 1.0 INTRODUCTION

The ability for the U.S. Department of Energy (DOE), Office of River Protection (ORP) to accurately track, monitor, and close organizational actions on or ahead of the scheduled due date is critical to the success of its projects. ORP must have an action tracking and issues management tracking/reporting process and system tool which provide clear and real-time progress on a daily basis.

ORP currently uses the Consolidated Action Reporting System (CARS) as it action assignment, tracking and reporting system tool. This assessment evaluated the effectiveness of CARS (software system and database) against other existing DOE action tracking software systems, including: the Electronic Suspense Tracking and Routing System (ESTARS), the Richland Issues Tracking System (RITS), and the Operational Awareness (OA) Databases for the DOE Richland Operations Office (RL) and ORP. The review focuses on the software capabilities of the action tracking system itself, as opposed to management processes.

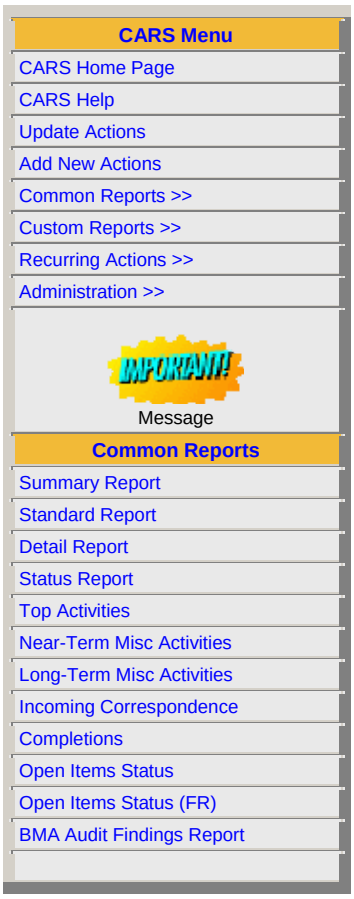
## 2.0 BACKGROUND

### CARS

The purpose of CARS is to provide ORP with a structured and consistent approach for the identification, assignment, tracking, reporting, and closure of action items associated with organizational work actions. ORP uses CARS to track the following action items:

- DOE Headquarters actions
- Actions submitted to the Office of Health, Safety and Security (HSS) Corrective Action Tracking System (CATS)
- Correspondence control actions
- Programmatic and project actions
- Organizational actions
- Oversight actions
- Any other action as defined by an ORP manager or an individual contributor (although all CARS actions are approved by a manager for acceptance)

CARS, funded by DOE and developed by Lockheed Martin Information Technology (LMIT), is a relational database management system (RDBMS or DBMS) built in Microsoft Structured Query Language (SQL) Server Version 8.0, which runs on a Windows 2000 Server platform. CARS uses Adobe Macromedia Cold Fusion 7.0 for its application server and software development framework (face or front-end to the database). Microsoft Internet Explorer 6.0 is the graphical web browser application used for navigation. A CARS entry form is provided in Appendix A. The CARS menu options are provided at http://www7.rl.gov/cars/main.cfm, and are depicted in the following graphic:

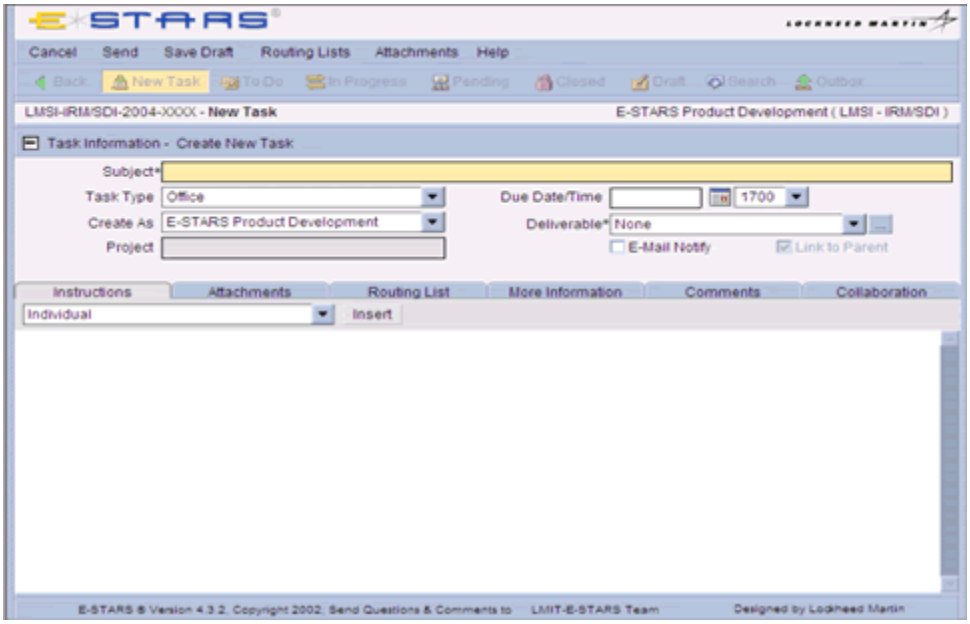



All ORP employees and ORP-dedicated general Support Service contractors have access to CARS and can input information into the system. ORP places correspondence control actions (ESTARS) into CARS. Additionally, ORP actions meeting the criteria of the DOE Headquarters CATS and Safeguards and Security Issues Management System (SSIMS) are also placed in CARS for tracking and visibility.

**ESTARS**

ESTARS is a web-based application workflow management tool that enables government decision-makers to manage and execute complex, multi-agency programs. The software package was developed as a joint effort between DOE and LMIT to foster best practices in resolving corrective actions at the Hanford Site. From originating tasks to detailed routing, delegation, and response activities, ESTARS captures information, coordination, and correspondence as a matter of permanent record.

The ESTARS database and platform is similar to CARS: SQL Server 2000 DBMS sitting on a Macromedia ColdFusion Server MX application server. The ESTARS menu is depicted in the following graphic:




**RITS**

Issues, corrective actions, and the corresponding responsibilities and schedules are maintained in one database at RL and two at DOE Headquarters. Headquarters issues are maintained in CATS except Safeguards and Security issues, which are maintained in SSIMS. RL uses the Richland Issue Tracking System (RITS) to maintain all other corrective actions. RITS is structured on a Microsoft 2003 Access database developed and maintained by RL.

**OA Databases**

ORP and RL Facility Representatives who monitor facility work performance document their findings, observations, and daily walkthroughs in databases called the Operational Awareness (OA) Databases. ORP uses a Microsoft Office 2003 database for managing their OA data. The RL OA database, also originally developed in Access, now resides on a cold fusion web-based application. Microsoft Access is a relational database management system which combines the relational Microsoft Jet Database Engine with a graphical user interface. The ORP OA Database was developed by DOE with support from its general Support Service contractors. The RL cold fusion OA Database was developed by LMIT.

The ORP OA Database specifically documents day-to-day knowledge, monitoring, and informal oversight of Contractor work performance and operations though facility tours/walkthroughs, work observations, document reviews, meeting attendance and participation, and ongoing interaction with contractor workers, support staff, and management.

## 3.0 PURPOSE, SCOPE, AND APPROACH

ORP conducted an internal evaluation of CARS against other Hanford Site action tracking systems. The purpose of the self-assessment was to determine whether:

- CARS is the most effective (user-friendliness, capability, reporting flexibility, and cost of operation) action tracking system available to ORP.
- CARS effectively interfaces with the ESTARS correspondence control system.
- CARS is the preferred ORP action tracking tool for the future.

### 3.1 Scope

This assessment evaluated four Hanford Site systems available to DOE for action tracking. The DOE CATS and SSIMS were not evaluated as an ORP action tracking tool. The Assessment Team (Team) considered the following criteria for this evaluation:

| Evaluation Criteria |
|---|
| • User-friendliness of the system, including: (1) ease of system navigation; (2) applicability of data fields; and (3) ability to include all relevant action data and progress status |
| • Clarity of system reports |
| • Report writer flexibility |
| • System security |
| • Administration capabilities |
| • Online “help” features and help-desk access |
| • Word search effectiveness |
| • Dependability of system |
| • Ability to attach documents to action items |
| • Interaction of action tracking system with other action systems, including: correspondence control, DOE Headquarters systems, and other Hanford Site tracking systems |
| • Availability on a web application platform |

### 3.2 Evaluation Approach

The Team evaluation included the following actions and components:

- Received a CARS demonstration from the ORP CARS Administrator
- Received an ESTARS demonstration from LMIT
- Interviewed DOE personnel responsible for the RITS
- Interviewed DOE personnel responsible for the ORP and RL OA Databases
- Discussed and debated personal experience and knowledge of the four subject action tracking systems
- Interviewed the CH2M HILL Hanford Group, Inc. (CH2M HILL) Chief Information Officer regarding the use and capabilities of ESTARS
- Interviewed ORP personnel familiar with both CARS and ESTARS capabilities
- Interviewed LMIT correspondence control personnel (twice)
- Received an ESTARS and CARS comparative analysis report from LMIT (Appendix B)
- Reviewed the ESTARS Handbook
- Reviewed the RL corrective action management procedure in the RL Information Management System (RIMS)
- Reviewed the OA Databases implementing procedure

## 4.0 RESULTS AND CONCLUSION

The matrix in Table 1 summarizes the four action tracking systems against the selected evaluation criteria.

**Table 1. Action Tracking Systems Comparative Analysis**

| Action Tracking Systems Comparative Analysis | | | | | |
|---|---|---|---|---|---|
| **Evaluation Criteria** | **CARS** | **E-STARS** | **RITS** | **OA Database** | **RL OA Database** |
| ▪ User-friendliness of the system, including: 1) ease of system navigation; 2) applicability of data fields; and 3) ability to include all relevant action data and progress status | CARS is easy to access; fairly simply to navigate; has straight-forward data fields; and requires minimal training for user input | E-STARS is easy to access; fairly simple to navigate; and provides clear data fields for user input | Access data fields are clear and straight-forward but navigation is not of the highest caliber | Access data fields are clear and straight-forward but navigation is not of the highest caliber | Access data fields are clear and straight-forward. Improved format over ORP OADB. Navigation is quick. |
| ▪ Clarity of system reports | The CARS reports menu allows for Standard and Custom queries; 14 standard reports exist and ad hoc reports are fairly easy to create | E-STARS provides the option to create a reports library Standard reports somewhat limited | Reports are pre-defined by Administrator | Reports are pre-defined by Administrator and several sorts are available | Reports are pre-defined by system and can be run by contractor, project or facility |
| ▪ Report writer flexibility | Ad hoc reports are fairly easy to create | Provides a flexible report writer | Limited report writer capability for Access users Requires Access knowledge and experience | Limited report writer capability for Access users Requires Access knowledge and experience | Report writer capability limited to drop-down options (contractor, facility, etc.) |
| ▪ System security | Users access determines available menu and functionality | Users access determines available menu and functionality | Limited system security; database resides on Server | Limited system security; database resides on Server | Users access determines available menu and functionality |

**Table 1. Action Tracking Systems Comparative Analysis**

| Action Tracking Systems Comparative Analysis | | | | | |
|---|---|---|---|---|---|
| **Evaluation Criteria** | **CARS** | **E-STARS** | **RITS** | **OA Database** | **RL OA Database** |
| ▪ Administration capabilities | DOE ORP provides Administrator functions Administrator provides access security, profiles, and help | LMIT provides Administrator functions Administrator provides access security, profiles, and help | DOE provides Administrator functions Administrator provides access security, profiles, and help | ORP provides Administrator functions Administrator provides access security, profiles, and help | LMIT provides Administrator functions Administrator provides access security, profiles, and help |
| ▪ Online "help" features and help-desk access | Online help fair; but ORP Administrator is available for personal help services in 2440 Stevens | Good on-line help features are available; personal help support is limited to CTS queue | None – system is not online | None – system is not online | LMIT Administrator is available for personal help services |
| ▪ Word search effectiveness | CARS has an online help index – search capability is fair | E-STARS has good online search capabilities | Good search capabilities available | Good search capabilities available | Good search capabilities available |
| ▪ Dependability of system | System is dependable; have not experienced down-time of system | System is dependable; have not experienced down-time of system | System is dependable | System is dependable | System is dependable; have not experienced down-time of system |
| ▪ Ability to attach documents to action items | All MS media and Adobe files can be attached to action item | All MS media and Adobe files can be attached to action item | All MS media and Adobe files can be attached to action item | All MS media and Adobe files can be attached to action item | All MS media and Adobe files can be attached to action item |

**Table 1. Action Tracking Systems Comparative Analysis**

| Action Tracking Systems Comparative Analysis | | | | | |
|---|---|---|---|---|---|
| **Evaluation Criteria** | **CARS** | **E-STARS** | **RITS** | **OA Database** | **RL OA Database** |
| ▪ Interaction of action tracking system with other action systems, including: correspondence control, DOE Headquarters systems, and other Hanford tracking systems | CARS interfaces well with all other SQL and MS applications E-STARS sends correspondence notification and CARS link to ORP user | E-STARS interfaces well with all other SQL and MS applications Interface between E-STARS action tracking and correspondence is seamless | Interaction with other systems is limited because Access is a database and not a web application | Interaction with other systems is limited because Access is a database and not a web application | Web application interfaces well with all other SQL and MS applications |
| ▪ Available on a web application platform | Yes | Yes | No – recommend upgrade to SQL | No – recommend upgrade to SQL | Yes |
| ▪ Maintenance cost | Minimal (less than $1k maintenance fees are paid by DOE for CARS); upgrades are paid on a task order basis | ORP users pay a monthly E-STARS cost of $13 (already paid by ORP HLAN users) | Requires maintenance of system by ORP employees not dedicated to database management | Requires maintenance of system by ORP employees not dedicated to database management | Minimal (less than $1k maintenance fees are paid by DOE for OA); upgrades are paid on a task order basis |
| ▪ Migration/Training Cost | Minimal; CARS Administrator provides training | Extensive training required for ORP users | Access training required – not web based (Server based) | Access training required – not web based (Server based) | Minimal; OA Administrator provides training |

**Grading Key:**

**Outstanding** **Good** **Medium** **Less Than Adequate**

**Final**

The assessment resulted in the following Finding and Observations:

**4.1 Finding A-07-MGR-INTERNAL-001-F01:** ORP does not currently have an approved procedure or desk instruction for organization action tracking or issues management. However, an "assessment" action tracking procedure is available (Environment, Safety and Quality [ESQ] Desk Instruction 1.2, "Assessment Tracking and Reporting," April 2004).

Requirement

ORP M 226.1A, "Implementing of DOE Oversight Policy," states:

a. "Assurance systems" encompass all aspects of the processes and activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers, complete corrective actions, and share in lessons learned effectively across all aspects of operation.

b. Use the results of DOE line and independent oversight and contractor assurance systems to make informed decisions about corrective actions and the acceptability of risks and to improve the effectiveness and efficiency of programs and site operations.

Discussion

ORP has implemented ORP M 450.4, "Integrated Safety Management System Description," ORP M 414.1C, "Quality Assurance Program Description", and ORP M 226.1, "Assurance System Description." All of these systems place a strong emphasis on issues and corrective action management. However, an implementing procedure for the ORP action tracking and reporting system is not in place.

Consequently, ORP M 412.1, "Consolidated Action Reporting Systems (CARS)," is currently in review for finalization and issuance. This manual describes the CARS used by ORP. This directive is primarily applicable to ORP offices for ORP organizational and correspondence action items of direct interest to the ORP Manager and managers directly reporting to the ORP Manager.

**4.2 Observation A-07-MGR-INTERNAL-001-O01:** The assessors compared CARS to ESTARS, RITS, and the OA Databases for RL and ORP, and found CARS provides the most effective capability for ORP action tracking based on the selection criteria.

Requirement

ORP compared four existing Hanford Site action tracking systems to determine the most effective database and application for the organization. A detailed comparison of the four systems against the evaluation criteria is provided in Table 1. The specific system requirements, as determined by the Team, who also daily manage the organizational actions, include:

- A system with straight-forward and simplified navigational processes to allow for quick and easy data entry.
- Flexible report writing capability that allows for a diverse set of queries and formats.
- A dependable web-based application with a robust database.
- A secured system that allows for administered access rights and desired control features, such as requiring management to approve all changes to due dates before they are revised in the database.
- A system where data fields can be easily modified and revised as necessary.
- A system that requires minimal training for users.
- One system that can account for all ORP action items.

Discussion

The Team, which includes the action tracking coordinators for each ORP organization, met several times from April 2007 to August 2007. The purpose of these meetings was to discuss, review, and determine the most viable Hanford Site system for action assignment, tracking, and reporting purposes. The Team was provided several system demonstrations from LMIT, RL Federal staff, and the CARS Administrator. Interviews were also conducted by the Team with Federal and contractor employees to research ESTARS, RITS, and the OA Databases capability and functionality.

Upon completion of the Team's research, several observations were documented and voted on by the group as follows:

- Action items are easier to facilitate in CARS than the other systems. It is noted that the Team is comprised of individuals who have worked with CARS routinely during the last several years. A team of independent reviewers may arrive at a different conclusion.
- CARS provides a more robust menu of standard and ad hoc reports than ESTARS.
- ESTARS and CARS are both dependable and secure systems.
- ESTARS and CARS both interface well and allow for document attachment (Microsoft and Adobe files).
- ESTARS and CARS software systems are similar: both were developed by the same company, are SQL databases, reside on a Windows 2000 Server platform, and utilize Adobe Macromedia Cold Fusion 7.0 for its application server and software development framework.
- Significant training is required within the ORP organization to migrate to another action tracking system.
- CH2M HILL uses ESTARS for action tracking purposes. RL does not use ESTARS for integrated action tracking purposes.

**4.3 Observation A-07-MGR-INTERNAL-001-O02:** The majority of ORP employees and Support Service contractors utilize CARS on a weekly basis, and appear to be generally satisfied with the system and reporting capabilities.

Requirement

All ORP Federal employees and Support Service contractors are provided access to CARS by the Administrator. The level of security access is granted by the Administrator based upon need: input of action items for the user versus the coordination of action tracking for the subject organization.

Since CARS is the integrated action tracking system for ORP (includes all ORP actions), an individual may input personal actions, team actions, or project actions. Correspondence control actions are input into CARS via an email alert from ESTARS (electronic link). Findings, Observations, and corrective actions are input into CARS by the assessor. DOE Headquarters actions are input into CARS by the Manager's Office.

ORP managers approve all CARS items, assignments, and due dates in the system. Due dates are not revised in the system unless the change is authorized by the Manager, with notification to the CARS Organizational Coordinator.

Discussion

Although a formal survey was not conducted, the Team spoke with several CARS users during this evaluation process. The Team found that most ORP CARS users are generally satisfied with the system. However, some of the identified CARS complaints noted are:

- Certain individuals have not received formal CARS training
- Not certain how to execute ad hoc reports
- Would like the ability to assign actions to more than one person; consequently; CARS was modified to provide multiple personnel assignments to an action

**4.4 Observation A-07-MGR-INTERNAL-001-O03:** Not all ORP workers have received formal CARS training.

Requirement

Please see the action tracking requirements as listed under **Observation A-07-MGR-INTERNAL-001-O02**.

Discussion

An action plan is included to complete this corrective action.

**4.5 Observation A-07-MGR-INTERNAL-001-O04:** Hanford Site correspondence control documents and actions are electronically linked to CARS. Correspondence control items are easily entered into CARS via an email notification process.

Requirement

It is essential that action items from all ORP correspondence be reviewed, screened, and assigned to the responsible person/organization for completion. ORP places responsibility on ORP employees (RIMS Records Management and Correspondence procedure, and ORP M 251.1, "ORP Implementing Directives (ORPID) System Manual") to make and preserve records containing adequate and proper documentation of ORP organizations, missions, functions, policies, procedures, decisions, contractor management and direction activities, and essential transactions designed to protect the legal and financial rights of the government and of persons directly affected by DOE's activities. By creating and maintaining records appropriately, ORP documents activities, preserves historically valuable information, and leaves distinguishable record of work.

Discussion

All ORP correspondence control actions are input into CARS for tracking and closure. The following explains the process already in place:

| Activity | Responsibility |
|---|---|
| Formal Correspondence is received or sent by ORP. | ORP author or addressee |
| Correspondence Control receives all ORP correspondence and takes the following actions:<br>• Scans the document into a pdf file<br>• Reviews the document for action<br>• Assigns the action to the responsible person using the pre-established topical assignment matrix prepared by ORP<br>• Sends via email the scanned document and due date to the organizational administrative assistant for action. | LMIT Correspondence Control |
| Administrative assistant receives the email notification and document. Opens the action in ESTARS which automatically sends to CARS. The ESTARS action is closed once the item is transferred to CARS. When the link is activated, the action description, assigned person, and due date information is automatically placed into CARS. Administrative Assistant modifies the responsible person as necessary. CARS automatically assigns an identification number to the action. | ORP Administrative Assistant |

| Activity | Responsibility |
|---|---|
| The action is statused in CARS on a weekly basis. | Responsible person or the Administrative Assistant |
| Report prepared each week for organizational review of all action items. | Administrative Assistant |
| Upon manager acceptance/approval, the action is identified as closed and completed in CARS. | Responsible person or the Administrative Assistant |

**4.6 Observation A-07-MGR-INTERNAL-001-O05:** ORP should consider using ESTARS for tracking and facilitating correspondence concurrence electronically (electronic concurrence). This enables administrative staff to more effectively track correspondence in concurrence and facilitate approval of office letters and documents.

Requirement

There is no specific requirement for this Observation, but rather a productivity improvement suggestion.

Discussion

ESTARS enables electronic concurrence and tracking of correspondence through the review process. The advantages of electronic concurrence include:

- Administrative staff can view electronically the status and location of the document
- Reduces lost documents
- Concurrence is provided electronically
- Reduces paper and paperwork (cost savings)
- Increases office productivity

## 5.0 ACTION PLANNING

In response to the enclosed Finding and Observations, the following action plan is developed to achieve continuous improvements in ORP action tracking:

| Finding/Observation | Action | Assignee | Due Date |
|---|---|---|---|
| Finding A-07-MGR-INTERNAL-001-F01 | The CARS procedure is updated and activated. Procedure submitted to the Directives Management Coordinator for distribution and concurrence. | Taylor | 09/07/07 |

| Finding/Observation | Action | Assignee | Due Date |
|---|---|---|---|
| Observation A-07-MGR-INTERNAL-001-O01 | Provide this report and an overview to ORP senior management for a final action tracking decision. Also provide a copy to RL for review and comment. Give RL a CARS demonstration as requested. | Assessment Team | Complete (RL has not yet requested a CARS demo) |
| Observation A-07-MGR-INTERNAL-001-O02 | Schedule and provide multiple CARS training sessions to ORP staff (assumes senior management accepts the CARS decision from the Assessment Team). | Borders/ Ungerecht | 11/30/07 |
| Observation A-07-MGR-INTERNAL-001-O03 | | | |
| Observation A-07-MGR-INTERNAL-001-O04 | Electronic link from ESTARS to CARS complete. No further action required. | Borders/ Ungerecht | Complete |
| Observation A-07-MGR-INTERNAL-001-O05 | Provide this report to RL for review and comment. Show RL CARS capability as requested. | Borders/ Ungerecht | Complete |

## 6.0 REFERENCES

DOE Order 414.1C, *Quality Assurance*, June 2005

ESQ Desk Instruction 1.2, "Assessment Tracking and Reporting," April 30, 2007

Hanford ESTARS Handbook

ORP M 226.1, Revision 0, *Assurance System Description*, August 2006

ORP M 251.1, Revision 3, *ORP Implementing Directives (ORPID) System Manual*, July 3, 2007

ORP M 412.1, draft, *Consolidated Action Reporting Systems (CARS)*, currently in ORP concurrence

ORP M 414.1, Revision 2, *Quality Assurance Program Description*, October 2005

ORP M 450.4, Revision 4, *Integrated Safety Management System Description*, August 2007

RL RIMS procedure, RL Corrective Actions

## 6.1 Other Documents Reviewed

ORP Desk Instruction DI 220.1 Revision 1, "Conduct of Design Oversight," January 13, 2006

ORP M 220.1, Revision 4, *Integrated Assessment Plan*, January 3, 2006

ORP M 411.1-1, Revision 7, *Safety Management Functions, Responsibilities, and Authorities Manual*, May 2007

# APPENDIX A – CARS Entry Form

## Action Add Form

*Status: Open

Ref Id:

*Tracking Area: AMWTP

Priority:

* Description:

Type:

Facility:

*Responsible Organization:

*Responsible Person: <--Type partial name to narrow search in pull-down list below

Responsible Manager: <--Type partial name to narrow search in pull-down list below

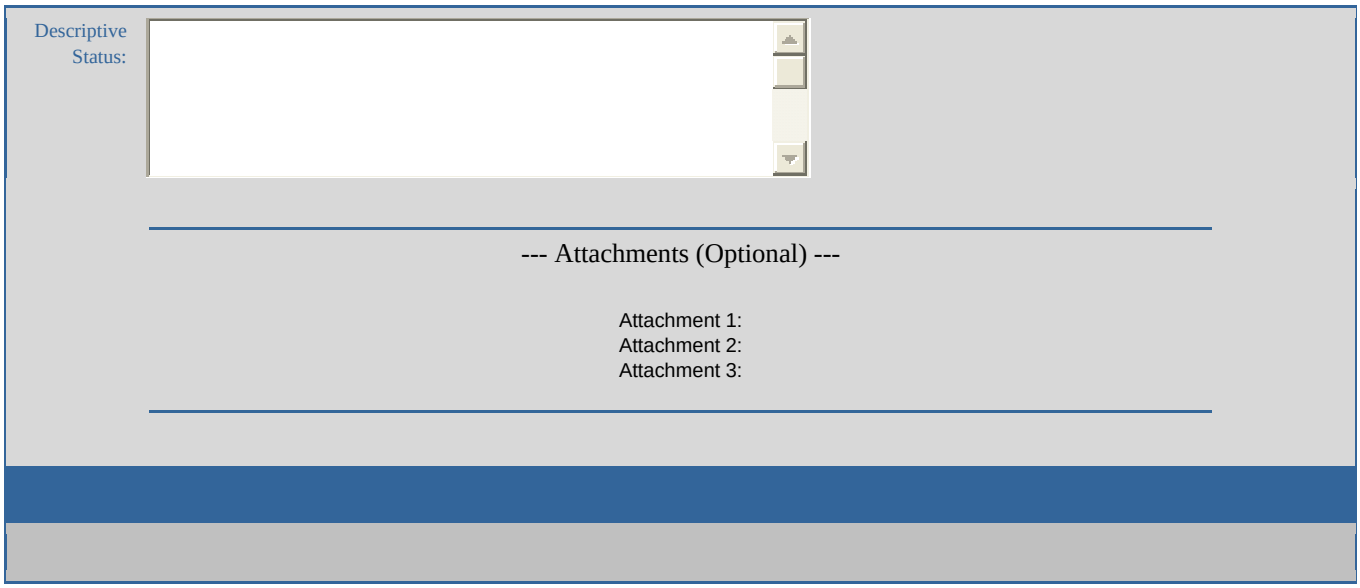
*Due Date: mm/dd/yy

Closed Date: mm/dd/yy

Direct Report Priority:

Comments/ Closure:

Deliverables:


Descriptive Status:
--- Attachments (Optional) ---
Attachment 1:
Attachment 2:
Attachment 3:
Insert

# APPENDIX B – Lockheed Martin Information Technology ESTARS and CARS Comparative Analysis Report