# CORRECTIVE ACTION TRACKING SYSTEM (CATS) DATABASE USER MANUAL

## OIA-OCA-0001, Rev. 3

**Effective Date: July 29, 2011**

**Approved by:  John G. Chernowski**

**Lawrence Berkeley National Laboratory**

**RECORD OF REVISION**

| Revision Number | Date Approved | Description of Revision |
|---|---|---|
| 1 | 12/19/08 | Revised to address Phase II enhancements of the CATS database. |
| 2 | 3/31/10 | Revised to enhance guidance for entering corrective actions that involve work requests. |
| 3 | 7/29/11 | Revised to include descriptions of issues and guidance on observations versus finding; to address new enhancements to the CATS database; and descriptions of database users roles and responsibilities. |

# TABLE OF CONTENTS

# 1.0   Introduction

All Lawrence Berkeley National Laboratory (LBNL) personnel are responsible for the identification of issues that may require correction.  All issues and associated corrective actions, regardless of risk level and means of identification, are entered into the LBNL Corrective Action Tracking System (CATS) Database and tracked through resolution. The CATS database is an online tool that enables LBNL employees to document, track, and resolve issues and their associated corrective actions. To use this database, the user must sign in using the appropriate LDAP Login and password.

> The CATS Database may be accessed from:
> 1. The LBNL Homepage A-Z Listing under C, "Corrective Action Tracking System (CATS) Database"
> 2. The Office of Contractor Assurance (OCA) webpage
> 3. The BLIS Portal

This User Manual and the CATS database are to be used in conjunction with the requirements outlined in LBNL/PUB-5519 (1), *Issues Management Program Manual*.

# 2.0   Functionality and System Limitations

## 2.1   Functionality

The database is designed to enable the following:
- Documentation, review, approval, and tracking of issues and associated corrective action(s) by risk level
- CATS and MAXIMO interface that allows Work requests associated with issues to be initiated in the CATS database and created in Maximo
- Automatic generation of issues numbers for each issue and of CATS numbers for each corrective action associated with an issue
- Automatic entry of Enterer, Reviewer and Cognizant Manager names and the ability to add additional Reviewers and an Alternative Cognizant Manager, as appropriate
- Automatic enforcement of completing required fields prior to submitting the entry for review and approval
- Ability to upload documents and URLs
- Ability to calculate the total time an issue or a corrective action has been active or is overdue, and the number of days to close an issue
- Comment field that may be used at any stage of the issue/corrective action(s) entry
- History of activity for issues and corrective actions
- Various  search, sort and reporting capabilities on several fields by specific date(s) and/or date range(s), and key words or combinations of key words
- Export capabilities into Microsoft Excel

## 2.2   System Limitations

Users must have internet access and a valid LDAP username and password in order to access the CATS Database.

## 3.0    General Roles and Responsibilities

Below is a description of the primary roles and responsibilities for the CATS Database.

| ROLE | RESPONSIBILITIES |
|---|---|
| *Cognizant Manager:* The line manager responsible for ensuring that issues management is effectively implemented. This includes ensuring that issues and corrective actions are documented, managed and tracked through resolution. | • Ensures issues and corrective actions are entered in the CATS Database and managed and tracked through resolution<br>• May determine issue significance codes: Significant Adverse Conditions, PAAA NTS-reportable incidents and ORPS incidents<br>• Assigns independent personnel to perform verification of completed corrective actions prior to closing corrective actions, as appropriate<br>• Assists personnel in initiating and updating CATS items |
| *Enterer:* A generic term used to identify the individual who enters the issue and corrective action information into the CATS database. | • Documents issues by entering them into the CATS database<br>• Determines issue risk levels, in conjunction with appropriate line management as necessary<br>• Assists responsible parties in coordinating resolution of assigned issues<br>• Assists personnel in updating CATS items<br>• Tracks issues and corrective actions<br>• Coordinates and requests corrective action due date extensions in conjunction with the Responsible Person, if required<br>• Develops and/or modifies corrective actions.<br>• Identifies the Responsible Person for corrective actions, in conjunction with appropriate line management as necessary<br>• Identifies corrective action due dates, in conjunction with the appropriate Responsible Person<br>• Resolves concerns regarding the issues with the Reviewer and other assigned parties, including denials, as appropriate<br>• Identifies additional reviewers, as applicable |
| *Initiator:* A generic term used to identify the individual who identified or discovered the issue. | • Identifies issues<br><br>Note: The initiator may be the same person as the Enterer and would function as such. |
| *Responsible Person:* A generic term used to identify the individual who will | • Tracks issues and corrective actions, as required<br>• Performs corrective actions by the established due |

| ROLE | RESPONSIBILITIES |
|---|---|
| complete the corrective action or serve as the point of contact for a particular corrective action. | dates or serves as the Point of Contact for a corrective action and ensures corrective actions are completed by the established due dates<br>• Develops and/or modifies corrective actions<br>• Ensures CATS entries are updated when corrective action are completed and/or information is modified<br>• Coordinates and requests corrective action due date extensions in conjunction with the Enterer, if required<br>• Ensures objective evidence of completed corrective actions is available for review |
| *Reviewer:* A generic term used to identify the individual who reviews and/or approves issues and associated corrective action(s) in the CATS Database.  This person may be line management, a Division Safety Coordinator, a Subject Matter Expert or a designated independent party. | • Determines applicability of issues entered by the Enterer to the Issues Management Program<br>• Reviews information for quality, completeness and accuracy<br>• Determines if issues may require reporting to any internal or external agencies<br>• Reviews and approves issues and associated corrective actions and modifications<br>• Identifies additional reviewers, as applicable<br>• Resolves concerns regarding the issues with the Enterer, Responsible Person, and other assigned parties, as appropriate |

## 4.0   Adding Issues and Corrective Actions

This section describes how to document immediately corrected items and new issues and associated corrective actions in the CATS Database.  All mandatory fields that must be completed before submitting the entry for approval and resolution are identified by an **"*"**.

**The CATS Database has auto-save functionality.**  When the user makes changes and exits the system, the information will be saved automatically.  The entry is considered final when the "Route" button is selected.  Fields can be modified before the issue and associated corrective actions are routed.  Once the issue has been routed, all fields, with the exception of the corrective action due date, can be modified.  It is at the discretion of the Enterer to re-route the issue, as necessary, once a change is made to the entry.

### 4.1 Immediately-Corrected Issues

Immediately-corrected items are issues that are fully addressed and corrected on the spot. Documenting immediately-corrected items is a recommended practice. However, the decision to document and track these items in CATS is at the discretion of the Divisions.

To enter an immediately-corrected item, perform the following steps:

4.1.1 Click on the "Immed. Corrected Issues" option on the Menu or click on the "Click here to document Immediately-Corrected Items" link on the Home page. If the Menu bar option is selected, then click on "Add". Selecting the Home page option will take you directly to the entry screen.

4.1.2    Complete the fields as required.



4.1.3    Click on the "Save" button to store entry.

## 4.2    Creating a New Issue

Issues are programmatic, performance or safety-related deficiencies, regulatory or procedural non-compliances that are identified through employee discovery, safety walkarounds, internal or external assessment findings (i.e. self assessments, regulatory or internal audits, DOE assessments) and actual or near miss adverse events. Generally, these issues are considered to be of two types: worker safety and health or adverse condition. Worker safety and health issues pertain to issues that pose risk to the public, environment and employee safety and health. Adverse condition issues are deficiencies that are customarily identified through an assessment. Findings as documented in formal assessments are entered as Issues in the CATS Database. The following are examples of issue descriptions that are entered into the CATS Database:

- Loose and peeling paint around the window seal in the conference room contains lead

- An employee sustained an injury to his thumb while placing boxes on a conveyor

- Five incidents of non-compliance with OSHA requirements were observed during the weekly safety inspections of forklift operations

- A review of 200 Job Hazard Analysis (JHA) forms from eight Divisions indicated that the completion of some JHA forms is less than adequate

- Safety walk-arounds are not being performed as required in the division ISM plans, which includes not performing them per required frequency and not documenting them as required

- Workers did not follow the instructions for Lock-Out/Tag-Out while performing maintenance on the 12 inch high pressure water main

- A subcontractor employee's cleaning tool hit and broke a fire sprinkler head's frangible glass bulb that resulted in damage of equipment

- Demarcation/signage for designated assembly areas is less than adequate

Observations

Observations are practices or conditions that are not technically noncompliant with an internal or external regulation or requirement, but could lead to noncompliance if left unaddressed. Generally, observations as noted in internal and external assessments reports are not entered into the CATS Database.
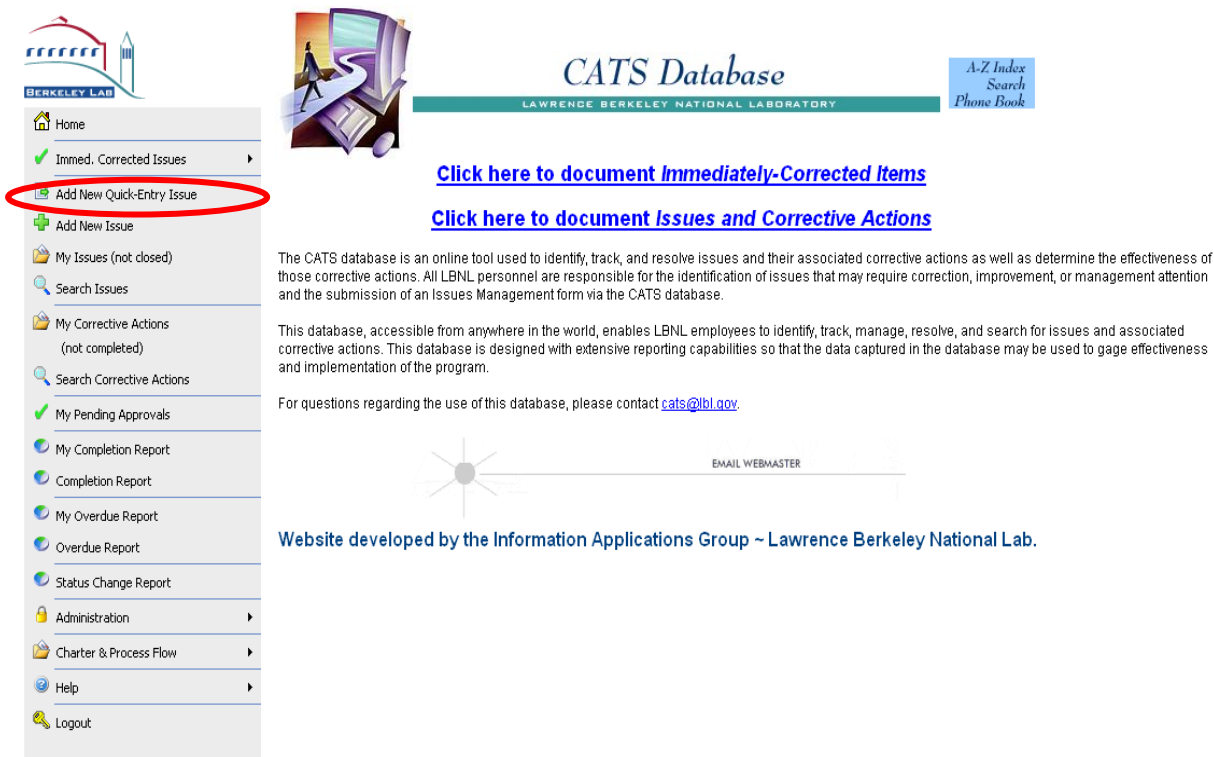
Consult with line management and/or Subject Matter Experts (SMEs) before entering Issues into the CATS database, as necessary.

4.2.1   Add New Quick-Entry Issue.

The "Add New Quick-Entry Issue" option is designed for Users who are unfamiliar with database and/or employees who want to notify his/her Division Safety Coordinator of a problem that needs to be address.  Once this entry is completed, the respective Division Safety Coordinator (or a designee) will receive a notification from the CATS Database to complete and route the entry for approval and resolution.

To enter a quick-entry issue, perform the following steps:

4.2.2   Click on the "Add New Quick-Entry Issue" option on the Menu.

4.2.3    Complete the required fields.



4.2.4    Click on the "route" button to route the issue.

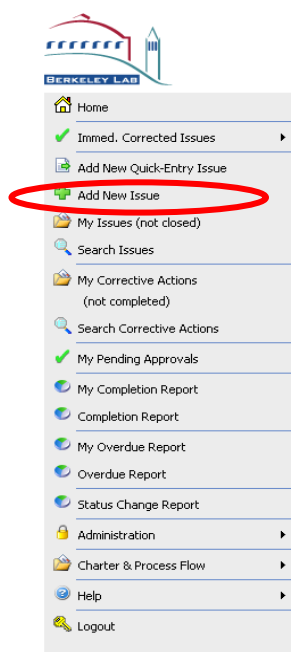Note: Once the entry is routed, the User will receive the following message screen.



4.2.5   Add New Issue.

4.2.6   To document a new issue, click on the "Add New Issue" option on the Menu or click on the "Click here to document Issues and Corrective Actions" link on the Home page.



4.2.7   Select the Issue Type from the drop down menu.

*Adverse Condition* are those issues that may be operational (e.g. financial, human resources, facilities) or safety-related deficiencies, which are identified through a formal assessment (such as Department of Energy (DOE) or self-assessments and regulatory or internal audits) and actual or near miss adverse events.

*Best Practices* are those issues that are related to suggested process improvements or a division or management initiative.

*Ethics (A placeholder: not recommended for use at this time.)*

*Worker Safety and Health* are those issues that are safety and health-related issues, which are typically identified through safety walkarounds, employee discovery, and actual or near miss adverse events.

**Note:**  The entry screen for the three primary Issues Types (Adverse Condition, Best Practice and Worker Safety & Health are the same, with the exception of the following:

1. "Criteria Not Met" field is included in the screen for the Adverse Condition Issue Type.
2. The "Discovery Date" is not included in the screen for the Best Practices Issue Type.
3. Reviewers are automatically added to an entry based on the Issue Type:
   a) *Adverse Condition:* The PAAA 10CFR851 Coordinator is automatically added as a Reviewer.
   b) *Best Practice:* No individuals are automatically added as Reviewers.
   c) *Worker Safety & Health:* The PAAA 10CFR851 Coordinator and the Division Safety Coordinator are automatically added as a Reviewer.

4.2.8   Check the Superseded? Box, if applicable.

An open or overdue issue can be superseded (replaced) by another open or overdue issue by checking the "Superseded" box and entering the superseding Issue No. and Date Superseded on the issue screen. ***This function (along with the superseded corrective action) is primarily used by the ORPS Coordinator and the Project Management Office.  Most users will not check the "Superseded?" box.***  The Enterer will receive a message box confirming the action.

4.2.9    Enter the "Discovery Date" by typing in the date that the issue was identified /
         uncovered, or by clicking on the calendar symbol and selecting the appropriate
         date on the calendar.

4.2.10   If different from the "Entered By", enter the person's name that identified the
         issue by typing the his/her last name in the "Initiator" field, and selecting the
         appropriate name from the drop down menu.

4.2.11   Select the Division that owns the issue and is responsible for resolving the issue
         from the drop down menu in the "Division" field.

4.2.12   Select the Department that is responsible for managing the issue from the drop
         down menu in the "Department" field.

4.2.13   If applicable, identify the Program/Project that the issue is affiliated with.

**CATS Database**

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*Use this screen to enter a new issue into the CATS database or update an existing one. Fields marked with an asterisk (\*) indicate required fields. When finished, click the Save button at the bottom of the screen.*

Printable Version

Issue No.: 8621   Status: New Entry

Superseded?: ☐

Entered By: Triplett,Theresa A   Entry Date: 06/20/2011   Division: Laboratory Directorate

\* Discovery Date: 06/01/2011

\* Initiator: Gravois,Melanie C        \* Division: LD - Laboratory Directorate        Department: AO - Office of Institutional Assura

\* Issue Type: Adverse Condition        Program/Project: Department Safety Checks

4.2.14  Select the appropriate Assessment Type from the drop down menu in the "Assess. Type" field.

\* Assess. Type: --Select--

--Select--
External Review
Internal Audit - Finance
Internal Audit - Program/Process
Internal Independent Review
Internal Self-Assessment
Safety Walk-around
N/A

\* Issue Description:

Issues may be identified through several assessment mechanisms.  Below is a brief discussion of the types of assessments.

- *External Review* is performed by an external party independent of LBNL, for example a Berkeley Site Office review or regulatory agencies.
- *Internal Audit (Finance or Program/Process)* is performed by Internal Audit Services.
- *Internal Independent Review* is performed by LBNL organization independent of the assessed program management team and staff.
- *Internal Self-Assessment* is performed by senior managers, line managers and staff responsible for the assessed area.
- *Safety Walk-around* is performed by line management and/or a Program Manager to evaluate performance and adherence to established controls.

When an Assessment Type is selected, the "Assess. Title/No." and "Find. Title/No." fields are displaced.  These fields require mandatory completion for the following Assessments (as denoted by the *):

1. External Review
2. Internal Audit – Finance
3. Internal Audit – Program/Process
4. Internal Independent Review

Completion of the two fields is optional for Internal Self-Assessment and Safety Walk-around.

4.2.15  Enter the Assessment Title and/or Number as documented on the cover of (or within) the Assessment Report.

4.2.16  Enter the Finding Title and/or Number as documented in the Assessment Report.

| *Assess. Type: | Internal Independent Review ⌄ | *Assess. Title/No. | 2011 Annual Safety Review | *Find. Title/No. | 0010 |

4.2.17  In the "Issues Description" field, describe the problem to be addressed / fixed in clear & sufficient detail. Document the issue in sufficient detail so that it is clear as to what the problem is and what appropriate corrective action(s) may be developed to eliminate the issue and prevent recurrence.  Examples of Issue Descriptions can be found on page 8 and 9 in this manual.

4.2.18  If applicable, select the Building in which the issue was identified and/or resides from the drop down menu in the "Building" field.

4.2.19  If applicable, select the Room location that correlates to the Building selected from the drop down menu in the "Room" field.

4.2.20  If applicable, identify additional location information, such as "hallway", "back of the room", "top shelf", etc. in the "Location Comments" field.

Click the "Add Locations" button to display the building, room and/or location comments, as applicable.

*Issue Description: During assessment activities, the assessment team observed that a Class 3B laser was in use without having an associated approved Activity Hazard Document.  This is contrary to PUB 3000 Chapter 16 laser requirements.

Building: 071 - Building: 071 ⌄   Room: 0146 ⌄   Location Comments: [          ]   [Add Location]

Selected Location(s)
☐ 071-0146
[Delete Location(s)]

4.2.21  Select the appropriate "Risk Level" in accordance with LBNL/PUB-5519 (1) from the drop down menu. The risk level is assigned to the issue to ensure that appropriate levels of analysis, corrective action development and evaluation of effectiveness are commensurate with LBNL requirements and standards.

Below are examples of the types of issues that would fall into the various each risk levels:

| Risk Level | Type/Description of Issue |
|---|---|
| High | • Significant Adverse Condition (SAC) event<br>• PAAA NTS-Reportable Incident<br>• ORPS Category 1, R, or 2 Incident<br>• Type A or B Accident<br>• Other significant issues as designated by management |
| Medium | • Adverse Condition identified through Formal Assessment<br>• PAAA Internally-Reportable Incident, as determined by management<br>• ORPS Category 3 Reportable Incident<br>• Other Issues as designated by management |
| Low | • ORPS Category 4 Reportable Incident<br>• Worker Safety & Health Issues that do not fall into High or Medium Risk Levels<br>• Adverse conditions not identified through Formal Assessment<br>• Other issues that do not meet the thresholds identified in the High or Medium risk levels |
| De Minimis | • Issues where the level of risk is too small to be concerned with.<br>• Worker Safety and Health Issues when there is no direct or immediate relationship to the environment, safety, or health and are not included in citations |

If the "De Minimis" risk level is selected, enter a detailed justification as to why the risk level is de minimus.

4.2.22  Select the appropriate "Issue Category" from the drop down menu. The issue category is a general description of how the issue would be classified or the area of the deficiency. A list of the issue categories can be found in *Attachment 1 – CATS Database Entry Fields* on page 44 of this manual.

4.2.23  Select the appropriate "Trend Code" from the drop down menu in accordance with LBNL/PUB-5519 (3), *Data Monitoring and Analysis Program Manual*. The

trend code represents the ***apparent or root cause*** of the issue. A list of the Trend Codes can be found in the Help menu option in the CATS Database.

4.2.24  Enter the policy, procedure or standard reference that was not followed / adhered to in the "Criteria Not Met" field.



4.2.25  If applicable and known, check the "External Reporting or Significant Adverse Condition" box in accordance with LBNL/PUB-5519 (1).

- The PAAA Coordinators will identify issues that are PAAA NTS (10CFR851 and 10CFR835), PAAA Internal (10CFR851 and 10CFR835), and document the OSHA Reference in the "OSHA Reference" field, as applicable.

- The Responsible Division Management, in conjunction with the ORPS Coordinator, will identify the issues that are ORPS Category 1, 2, R, 3 and 4.

- The OCA Manager, in conjunction with Responsible Division Management, will identify the issues that are Significant Adverse Condition.

- The EH&S Division Director will identify the issues that are Type A/B.



When PAAA NTS (10CFR851 or 10CFR 835), Significant Adverse Condition, ORPS Category 1/2/R, or Type A or B Accident is selected, the Risk Level for the issue is automatically identified as "High".

When PAAA Internal (10CFR851 or 10CFR835 is selected, the Risk Level for the issue is automatically identified as "Medium".

4.2.26  Add a Corrective Action by clicking on the "Add" icon.

Corrective Action(s):



Add  Refresh  Hide CA    Add corrective actions to this issue by clicking the Add button

| View | Void | History | Corrective Action No. | Status | Superseded by CA# | Responsible Person | CM | CM Div. | Due Date | Completed Date | Closure Date | Total Time | WO | Inst. | Project ID |
|------|------|---------|------|--------|------|------|------|------|------|------|------|------|------|------|------|
|      |      |         |      |        |      |      |      |      |      |      |      |      |      |      |      |

4.2.27 Upon display of Corrective Action screen, clearly describe the corrective action to be implemented to eliminate the issue and prevent recurrence (as applicable). Corrective Actions should be SMART:

- *S = Specific:* A specific / detail description of what will be implemented to fix the problem or address / resolve the root or apparent cause should be documented.
- *M = Measurable:* The completion of the corrective action should be documented and verifiable.
- *A = Accountable:* Responsibility for implementing the corrective action should be assigned to an individual who has the authority and appropriate resources to implement the action.
- *R = Reasonable:* The corrective action should be feasible (a standard control measure).
- *T = Timely:* The corrective action should be completed in a realistic timeframe to fix the issue and prevent recurrence.

4.2.28 Enter the appropriate "Due Date" for the corrective action by typing in the date, or clicking on the calendar symbol and selecting a realistic date on the calendar.

4.2.29  In the "Responsible Person" field, identify the appropriate person responsible for completing the corrective action item by typing the last name and selecting the appropriate name from the drop down menu. The Cognizant Manager (CM) and Division will be entered automatically based on the Responsible Person.

4.2.30 If the Responsible Person is matrixed to a different organization and the CM is different than the one identified, type in the last name of the appropriate CM and select his/her name from the drop down menu in the "Alternate CM" field.

Corrective Action No.: 8622-1    Status: New Entry
Superseded?: ☐
Entered By: Triplett,Theresa A    Entry Date: 06/20/2011
* Corrective Action: Develop an Activity Hazard Document per PUB 3000, Chapter 16 laser requirements.

* Due Date: 07/29/2011    Completed Date: [     ]
* Responsible Person: Gravois,Melanie C
Cognizant Manager: Chernowski,John G    Division: Laboratory Directorate
Alternate CM: [     ]

4.2.31  If a work request is required to complete this corrective action, click on the "Work Request Req'd?" checkbox to ensure that a work order is assigned.

Corrective Action No.: 8622-1    Status: New Entry
Superseded?: ☐
Entered By: Triplett,Theresa A    Entry Date: 06/20/2011
* Corrective Action: Develop an Activity Hazard Document per PUB 3000, Chapter 16 laser requirements.

* Due Date: 08/26/2011    Completed Date: [     ]
* Responsible Person: Gravois,Melanie C
Cognizant Manager: Chernowski,John G    Division: Laboratory Directorate
Alternate CM: [     ]

Work Request Req'd?: ☑    Institutional WR? ☐    Project ID: [     ]

The **"Work Request Req'd?" box should be checked** when entering corrective actions for safety-related deficiencies and non-conformance issues that involve work to be completed by Facilities.  *These work requests should be initiated in the CATS database and not submitted to the Work Request Center in lieu of or in addition to a CATS entry.*  General maintenance work requests, such as repairing leaky faucets, unclogging toilets or changing light bulbs may be submitted directly to the Work Request Center.

The CATS database interfaces with MAXIMO, the Facilities Division database that manages work requests and initiates work orders.  Work requests initiated in CATS are not generated in MAXIMO until the issue and the corrective action are approved by all Reviewers. To verify that a work order has been generated, sign-in to the CATS Database and look in the Work Order(s) field for a work order number.

**Note:** *The due date for a corrective action with a work request must be at least 60 days from the date of entry.*  User will receive the following message for due dates less than 60 days for the entry date.

⚠ The due date must be at least 60 days from today for Work Request Center requests. Please select another due date or uncheck the Work Request Center box.

Work Request Req'd?: ☑   Institutional WR? ☐   Project ID: [          ]

"Institutional" work requests are related to services, equipment or physical space that is not owned, managed or operated by a Division (such as the cafeteria, sprinkler systems, building utility systems, hallways, pathways, etc.).  Work that is related to services and equipment that is owned by a Division (such as drill presses, fume hoods and scientific equipment) or space that is shared by two or more Divisions is not considered "Institutional" and should be funded by the Division(s) that owns the affected services, equipment and space.

Work requests associated with corrective actions that are checked as "Institutional WR?" will be reviewed by the institutional CATS Committee to determine whether institutional funding will be used to fund the work.  The CATS Committee Charter can be accessed by clicking on the "Charter and Process Flow" option on the CATS Database home page.

4.2.32  If the work request is considered to be institutional work, click on the "Institutional WR?" checkbox.

If the work request is not covered by Institutional or maintenance funding, then the enterer must provide the appropriate project identification (ID) number to fund the work.  Maintenance funding covers day to day work that is required to sustain property in a condition suitable for it to be used for its designated purposes, including preventive, predictive, and corrective maintenance.  Failure to provide an appropriate project ID number may result in delays or in the work not getting completed.

4.2.33  If the work request is not Institutional, skip the "Institutional WR?" checkbox, and type in the appropriate project ID number in the Project ID field.

4.2.34  If the work request is not covered under maintenance funding, type in the appropriate project ID number in the Project ID field.

4.2.35  If additional corrective actions associated with the same issue are required, GO TO Step 4.2.26 to add a new corrective action.

4.2.36 If objective evidence is necessary to describe or demonstrate the issue, or to provide evidence of corrective action completion as part of the closure file, then upload the objective evidence. *Note: Enterers are required to upload objective evidence of completion for any issue that has been identified as PAAA NTS 10CFR835 reportable. The Enterer will receive a message box alerting him / her to upload the objective evidence.*

4.2.37 Click the "Browse" button to search for the document(s) to be uploaded, select the document to be uploaded, and click the "Upload File" button **AND/OR**

4.2.38 Enter the URL address and click the "Add URL" button.

4.2.39 Repeat if multiple documents and/or URLs are to be added.

4.2.40  In the "Comments" field, enter comments pertaining to the issue/corrective requirements, objective evidence and/or status in clear, concise statements, as applicable.

Upload Objective Evidence: [          ] [Browse...]   [Upload file]   Url: [          ]   [Add URL]

| Delete | File Name / Url | Uploaded By | Uploaded Date |
|--------|-----------------|-------------|---------------|
| No objective evidence has been uploaded. | | | |

Comments: [                                                              ]

Reviewers evaluate the issue and corrective action(S) information for quality, completeness and accuracy.  In addition they assess the reasonableness of due dates and extension requests.

For Worker Safety and Health issue type, the Division Safety Coordinator, the PAAA 10CFR 851 Coordinator, and applicable Subject Matter Experts (based on issue category selection and key words) are automatically identified in the Reviewer listing.  Additional reviewers may be added manually.

For Adverse Condition issue type, the PAAA 10CFR 851 Coordinator is automatically identified in the Reviewer listing.  Additional Reviewers are manually entered by the Enterer (the person who enters the data into CATS).

4.2.41  If additional Reviewers are needed, select the additional Reviewers by typing in the last name and selecting the appropriate name from the drop down menu.

4.2.42  Click the "Add Reviewer" button.

Review/Approval: [                    ] [Add Reviewer]

| Delete | Reviewer | Status | Review Date | Comments |
|--------|----------|--------|-------------|----------|
| | Reyes,Elizabeth Ann | | | |
| | Wells,Willard H | | | |

[Route]  [Void]

4.2.43  Once all of the applicable fields have been completed and all applicable Reviewers have been identified, click the "Route" button to send to the Reviewers for approval.

The Database restricts the routing of an issue to the Enterer and Administrators only. Entries that are not "Routed" remain in "*New Entry*" status until they are approved.  Entries that are

"Routed" to Reviewers are in "***Pending Approval***" status until they are approved.  Entries that have been "Approved" are in the ***"Open"*** status until they are completed / closed.

## 5.0   Extension Requests

### 5.1   Requesting an Extension

Extension Requests are used for extenuating circumstances and are not used for corrective actions that have not been completed due to lack of resources, accountability, and appropriate planning.

Extension Requests are only available for approved and "Open" status corrective actions and can be made by the Enterer or Responsible Person. Extension Requests must be made at least two weeks in advance of the current due date in order to be considered for approval.

Reviewers of Extension Requests are the same as those who reviewed the original issue and corrective action(s).  Extension Requests for corrective actions associated with high and medium risk level issues are reviewed by the Office of Contract Assurance.  Once an initial extension has been granted for a corrective action, any subsequent extensions will require the approval of the Chief Operating Officer (COO) or Deputy COO.  A justification for extending the original due date is required and must meet the criteria as prescribed in LBNL/PUB 5519 (1).

5.1.1   If an extension request is needed, click on "My Corrective Actions" or "Search Corrective Actions" to perform a corrective action search with the applicable corrective action number.
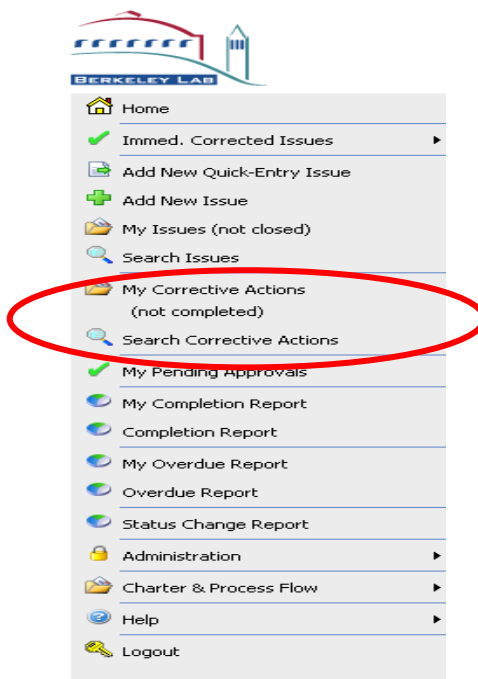
5.1.2    From the list of corrective actions, click on the corresponding "View" to open the applicable corrective action.

5.1.3    Identify the person requesting the extension by typing in the last name and selecting the appropriate name from the drop down menu in the "Extension Requested By" field.

5.1.4    Enter the new due date in the "Extension Due Date" field for the corrective action by typing in the date, or clicking on the calendar symbol and selecting the appropriate date on the calendar.

5.1.5    In the "Justification" field, type in the justification for the extension request.

| Extension Requested By: | Toth,Csaba | | Extension Due Date: | 03/24/2009 |
| * Justification: | LOASIS is in the midst of developing its Safety Analysis Document and Accelerator Safety Envelope, expected to be completed on 2/27/09. Until these items are completed, lower level formal work authorizations, such as the Activity Hazard Document will not be developed. | | | |

| Review/Approval: | | | Add Reviewer |

| Delete | Reviewer | Status | Review Date | Comments |
| --- | --- | --- | --- | --- |
| ✗ | Barat,Kenneth L | Pending Approval | | |
| ✗ | Chernowski,John G | Pending Approval | | |
| ✗ | Gravois,Melanie C | Pending Approval | | |
| ✗ | Lidia,Steven M | Pending Approval | | |

5.1.6    If additional reviews are needed, click the "Add Reviewer" button, and identify the additional Reviewers by typing in the last name and selecting the appropriate name from the drop down menu.

5.1.7    Click the "Route" button to route to the original Reviewer(s) for approval of the extension request.

5.1.8    Reviewer, upon email notification that an extension request has been made, review the request.

5.2    Approving an Extension Request

5.2.1    Reviewer can approve the request by clicking on the "Approve" button, **OR**

5.2.2    Reviewer can deny the request by typing in the reasons for denial in the "Comments" field and clicking the "Deny" button.

5.2.3    Enterers should resolve any issues/concerns with the Reviewer.

| Delete | Reviewer | Status | Review Date | Comments |
|---|---|---|---|---|
| 🗑 | Barat,Kenneth L | Pending Approval | | |
| 🗑 | Chernowski,John G | Pending Approval | | |
| 🗑 | Gravois,Melanie C | Pending Approval | | |
| 🗑 | Lidia,Steven M | Pending Approval | | |

\* Comments: [                    ]

[ Approve ]  [ Deny ]


## 6.0   Completing and Closing Issues and Corrective Actions

6.1   Entering a completion date for a corrective action

The Responsible Person ensures that all appropriate actions have been completed and reviews of the objective evidence are performed prior to documenting corrective action completion. Review of the objective evidence includes verifying that the objective evidence of closure is complete, accurate and satisfies the corrective action(s) identified.

6.1.1   Once the objective evidence is verified, the Responsible Person retrieves the applicable corrective action by selecting the "My Corrective Actions" option or "Search Corrective Actions" option on the Menu.

6.1.2    From the list of corrective actions, click on the corresponding "View" to open the applicable corrective action.

6.1.3    Enter the "Completed Date" for the corrective action by typing in the actual completion date, or clicking on the calendar symbol and selecting the appropriate date on the calendar. Once the completion date is entered, the status of that corrective action changes to "Completed".



## 6.2    Closing an Issue

Issues and associated corrective actions will be closed collectively as of the date that the last associated corrective action was completed.  Once all corrective actions associated with an issue are completed, the issue and associated corrective action(s) have a "Closed" status.

Corrective actions associated with a Work Request will be closed automatically when Maximo is updated to reflect completion of the work. The Work Request and Maximo database entries are considered objective evidence for verification of completion for these corrective actions.

## 7.0   Voiding Issues and Corrective Actions

Issues and corrective actions can be voided in the New Entry, Pending Approval or Open status. When an Issue is voided, all associated corrective actions are voided as well. When there is one issue and one corrective action, voiding a corrective action will void the Issue as well.

### 7.1    Voiding an Issue

To void an issue, perform the following steps:

7.1.1   Retrieve the Issue using the "My Corrective Actions" or "Search Issues" menu option.

7.1.2    In the entry screen, click on the "Void" button.



The User will receive a prompt to explain why the issue is being voided.

7.1.3    Enter a justification for voiding the Issue.



7.1.4    Once the justification has been entered, click on the "Refresh" button. The "Status" field will change to "Voided".

7.2     Voiding Corrective Actions

To void a corrective action, perform the following steps:

7.2.1   Retrieve the corrective action using the "My Corrective Actions" or "Search Corrective Actions" menu option.

7.2.2   In the correction action section on the entry screen, click on the "Void" button next to the applicable corrective action.
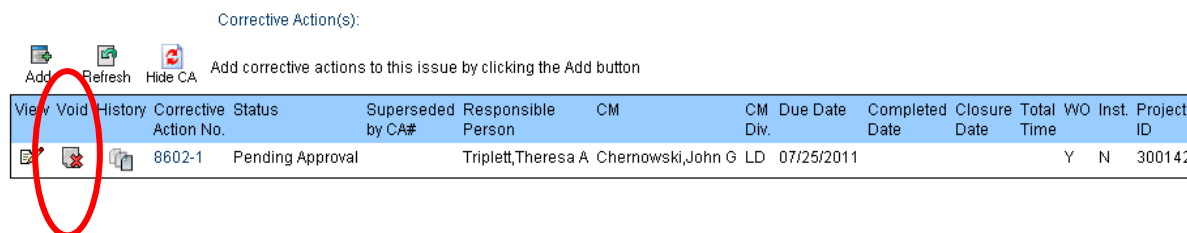


The User will receive a prompt to explain why the corrective action is being voided.

7.2.3   Enter a justification for voiding the corrective action.
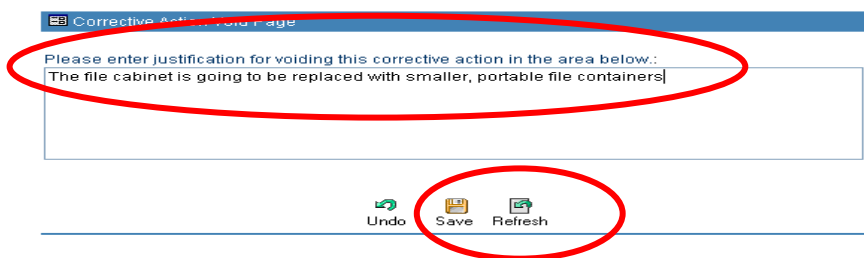


7.2.4   Once the justification has been entered, click on the "Save" button, then the "Refresh" button.  "Status" field for the corrective action will change to "Voided".
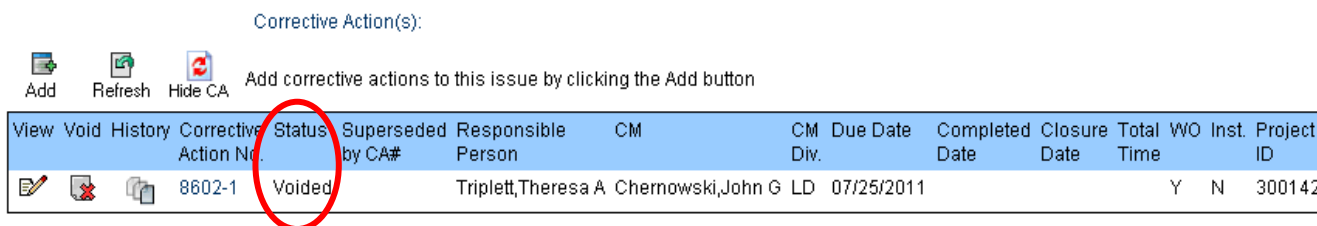


7.2.5   Any issues with a voided entry should be discussed with the responsible parties (Enterer, Reviewer and Responsible Person), as appropriate.

## 8.0 Status of Issues and Corrective Actions

### 8.1 My Issues

An Enterer may view and edit issues and associated corrective actions he / she has entered by "My Issues (not closed)" menu option.
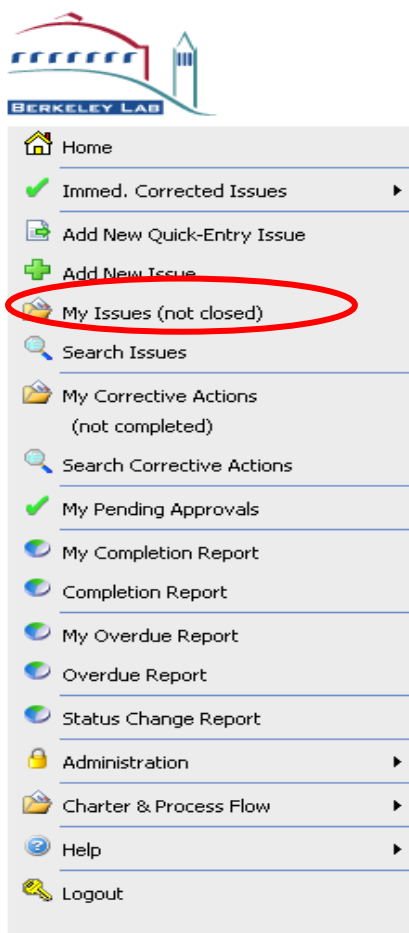


8.1.1 If the Issue is in a "New Entry" status, click the "Save" button to save the Issue and associated corrective action(s) in order to come back to it and add additional data prior to routing **OR**

8.1.2 Click the "Route" button to save **and** route the issue and associated corrective actions to the Reviewers.

8.2    My Pending Approval

Reviewers may access issues and corrective actions awaiting their review and approval by clicking on the link provided in the automatic email notification **OR** by selecting the "My Pending Approvals" menu option.  Any modification to an issue and/or associated corrective action information is re-routed to the original Reviewers to ensure that the same level of review is performed as on the original issue and/or corrective action.
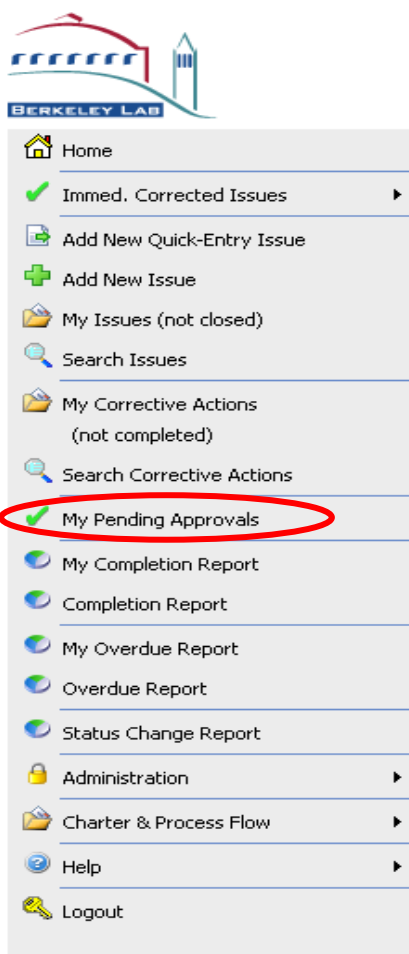


8.2.1   Upon receipt of the email notification, click on the link within the email or sign-in to the CATS Database and click on "My Pending Approvals" on the menu page to access the entry.

8.2.2   Review the issue to ensure that it is valid and clearly defined and all associated information is accurate and correct.

8.2.3   Review the associated corrective action(s) for applicability, accuracy, completeness and correctness.

8.2.4   Review the associated corrective actions(s) due dates for timeliness.

8.2.5   If applicable, select the appropriate Significance Code(s) in accordance with LBNL/PUB-5519 (1).

8.2.6   If additional reviews are needed, click the "Add Reviewer" button, and identify the additional Reviewers by typing in the first or last name and/or selecting the appropriate name.

8.2.7   To approve an issue and associated corrective action(s), select the "Approve" button.

8.2.8   To deny an issue and associated corrective action(s), type in the reasons for denial in the comments field and select the "Deny" button.

8.2.9   Resolve any issues with the Enterer.

8.2.10  *Enterer:* upon email notification that an issue or associated corrective action was denied, resolve the Reviewer's comments within 5 business days.

8.2.11  *Enterer:*, upon resolution of the issues identified by the Reviewer(s), re-route the entry to all of the original Reviewer(s) by clicking the "Route" button.

8.2.12  *Reviewer(s):* repeat steps 8.2.1 – 8.2.7.

## 9.0   Issue and Corrective Action Searches

To search for any information pertaining to an issue and associated corrective actions, click on the "Search Issues" or "Search Corrective Actions" option on the Menu.
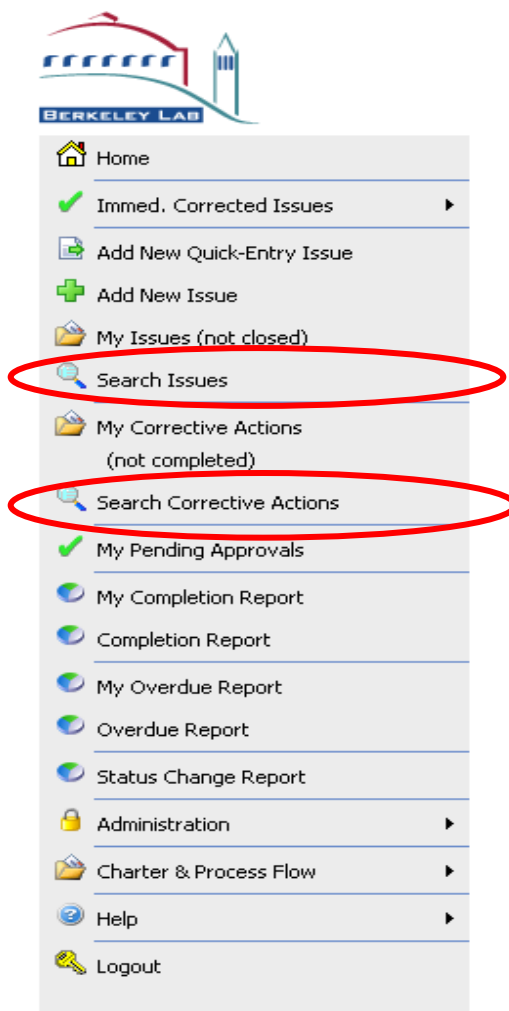


### 9.1   Searching Issues ("Search Issues" Option)

This search focuses on information specific to an issue, using selected fields.  In addition, a User can use this search option to find out other information, such as all of the issues own by a Division, all issues by Issue Category and all issues by risk level.  Any field or combination thereof may be selected for this search. Multiple choices may be made in drop-down boxes by holding the "Ctrl" button down and selecting the options desired.

9.1.1   Select / complete the pertinent fields and click the "Submit" button to produce a report with the desired information.

9.1.2  Select the "View" icon for the desired issue or corrective action to see the pertinent information.

Clear all Sorting   Refresh   Export to Excel   [View Details]

Page 1 of 2   Page # 1

| View | Void | History | Issue No. | Division | Department | Issue Type | Issue Cat. | Risk Level | Initiator | Entered By | Entry Date | Status | Program/Project | Total Days Early/Late | Total Time | No. of CAs | No. of CAs Completed | No. of CAs Completed on Time |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | 8253 | LD | | Worker Safety & Health | Slips, Trips, Falls | Low | Stein,David | Stein,David | 10/05/2010 | Closed | | 9 | 28 | 1 | 1 | 1 |
| | | | 8481 | LD | | Worker Safety & Health | Slips, Trips, Falls | Medium | Stein,David | Stein,David | 01/20/2011 | Closed | | 65 | 5 | 1 | 1 | 1 |
| | | | 8484 | LD | | Worker Safety & Health | Seismic | Medium | Stein,David | Stein,David | 01/21/2011 | Closed | | 8 | 5 | 1 | 1 | 1 |
| | | | 8485 | LD | | Worker Safety & Health | Labeling/Signage | Low | Stein,David | Stein,David | 01/21/2011 | Closed | | -22 | 49 | 1 | 1 | |
| | | | 8486 | LD | | Worker Safety & Health | Slips, Trips, Falls | Low | Stein,David | Stein,David | 01/24/2011 | Closed | | -8 | 29 | 1 | 1 | 1 |
| | | | 8487 | LD | | Worker Safety & Health | Slips, Trips, Falls | Low | Stein,David | Stein,David | 01/24/2011 | Voided | | -130 | 151 | 1 | | |
| | | | 8572 | LD | | Worker Safety & Health | Slips, Trips, Falls | Low | Stein,David | Stein,David | 03/15/2011 | Closed | | 57 | 3 | 1 | 1 | 1 |
| | | | 8592 | LD | | Worker Safety & Health | Slips, Trips, Falls | Low | Stein,David | Vils,Paloma | 03/22/2011 | Open | | -33 | 94 | 1 | | |
| | | | 8593 | LD | | Worker Safety & Health | Seismic | Medium | Stein,David | Stein,David | 03/24/2011 | Pending Approval | | -24 | 92 | 1 | | |
| | | | 8597 | LD | | Worker Safety & Health | Electrical | High | Gravois,Melanie C | Gravois,Melanie C | 05/13/2011 | Pending Approval | | -51 | 42 | 1 | | |
| | | | 8601 | LD | | Worker Safety & Health | | | Triplett,Theresa A | Triplett,Theresa A | 05/23/2011 | New Entry | | | 32 | 1 | | |
| | | | 8602 | LD | AO | Worker Safety & Health | Seismic | Low | Triplett,Theresa A | Triplett,Theresa A | 05/23/2011 | Voided | | 31 | 32 | 1 | | |

9.1.3    Export this data that is presented as a result of the search by clicking on "Export to Excel" button.

9.2    Searching Corrective Actions ("Search Corrective Actions" Option)

This search focuses on information specific to a corrective action, using selected fields. In addition, a User can use this search option to find out other information, such as all of the corrective actions own by a Division and/or Responsible Person, corrective actions by Issue Type, correction actions with work orders and corrective actions by risk level.  Any field or combination thereof may be selected for this search. Multiple choices may be made in drop-down boxes by holding the "Ctrl" button down and selecting the options desired.

9.2.1    Select / complete the pertinent fields and/or type in keywords in a text field, and then click the "Submit" button to produce a report with the desired information.

9.2.2 Select the "View" icon for the desired issue or corrective action to see the pertinent information.



9.2.3 Export this data that is presented as a result of the search by clicking on "Export to Excel" button.

9.3     Issue and Corrective Action History

9.3.1   To view the historical activity for a particular issue or corrective action click the "History" icon in the Corrective Action section on the entry page or on the Search Result page.



**OR**

## 10.0  User Reports

There are a number of reports available via the CATS Database to use to manage the implementation / completion of corrective actions by Division and/or Responsible Person. The information from the reports can be used as metrics or as a data source to develop metrics. Below is a description and example of each.
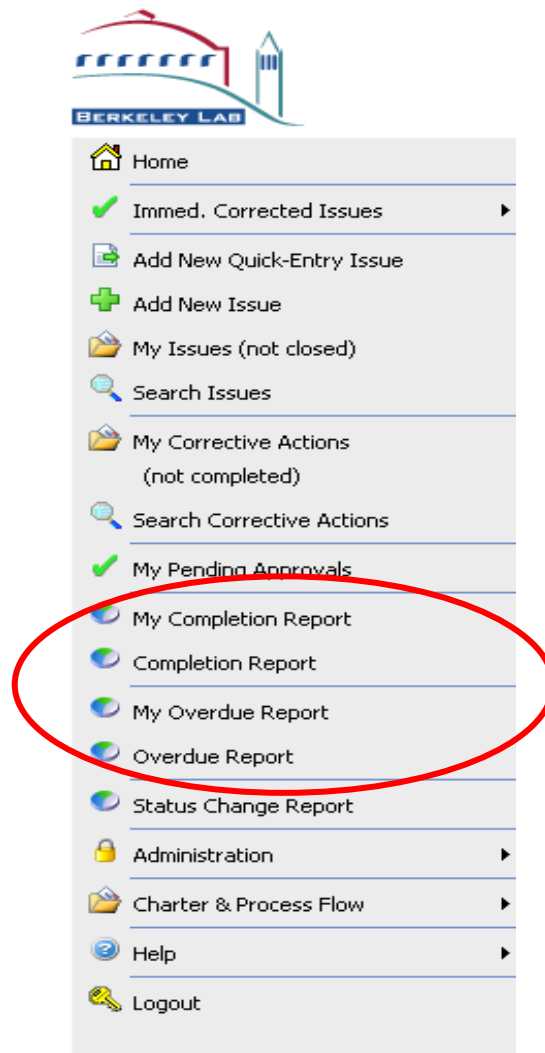
## 10.1   My Completion Report

This report is a Pie Chart that shows the completion of corrective actions by a User as the "Responsible Person". Click on the colored sections to view the corrective actions that make up the percentages.
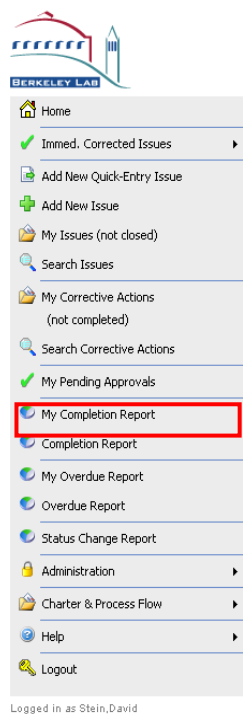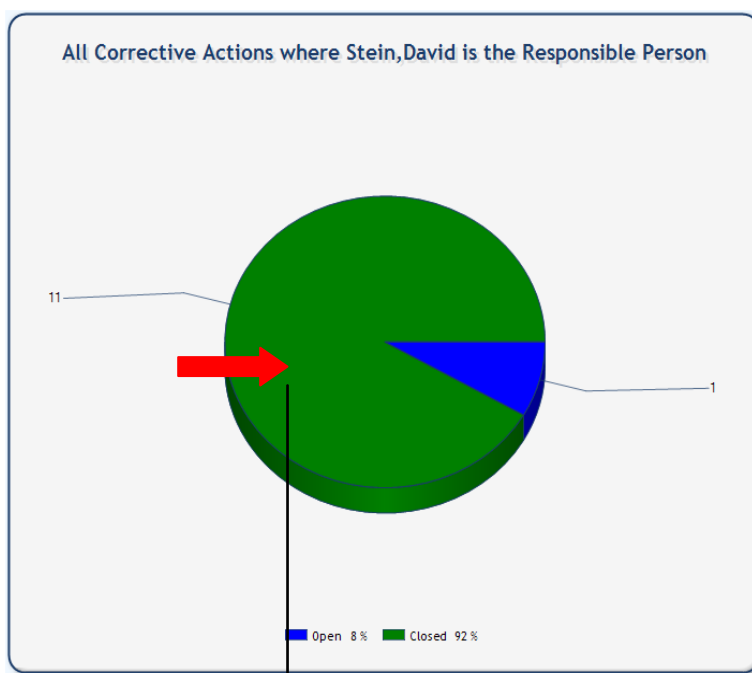


| View | Void | History | Division ▲/▼ | Issue # ▲/▼ | Issue Description ▲/▼ | Risk Level ▲/▼ | Issue Category ▲/▼ | CA # ▲/▼ | Corrective Action ▲/▼ |
|---|---|---|---|---|---|---|---|---|---|
| 📝 | 🗑 | 📋 | LD | 5408 | The North access to B90C poses potential slip, trip or fall hazard to doorway lip and separation of staircase from building. | Low | Slips, Trips, Falls | 5408-1 | Remove and or replace metal stripping the base of the doorway. |
| 📝 | 🗑 | 📋 | LD | 5408 | The North access to B90C poses potential slip, trip or fall hazard to doorway lip and separation of staircase from building. | Low | Slips, Trips, Falls | 5408-2 | Eliminate gap between staircase and building structure. |
| 📝 | 🗑 | 📋 | LD | 5494 | Metal traction bars on front steps are coming loose and could pose a tripping hazard. | Low | Slips, Trips, Falls | 5494-1 | Replace metal traction bars on the front steps of 90C with non-slip weather proof grip tape. Recomend replacing the bars on the back steps as well. |
| 📝 | 🗑 | 📋 | LD | 6199 | Notice sign on the electrical box is damaged. | Low | Labeling/Signage | 6199-1 | Replace label on the box with a new one. |
| 📝 | 🗑 | 📋 | LD | 6929 | Missing outlet cover. | Low | Electrical | 6929-1 | Add new outlet cover to hallway socket on lower western facing wall.. |
| 📝 | 🗑 | 📋 | LD | 7487 | Speaker for receiving lab-wide addresses fell off the wall and broke. | Medium | Work Requests | 7487-1 | Replace broken speaker. Reconnect to internal wiring. |
| 📝 | 🗑 | 📋 | LD | 7821 | At the mid way point between flights of stairs leading to the pit, there is a terraced sidewalk with three steps. At two steps, a yellow bar marks the step, but at the middle one which is not very well lit, there is none. On | Medium | Slips, Trips, Falls | 7821-1 | Paint a yellow line to mark the middle step. |

## 10.2   Completion Report

This report is a Pie Chart that shows the status of corrective actions implementation by Division and responsible parties. Click on the colored sections to view the corrective actions that make up the percentages.

## 10.3   My Overdue Report

This report is a Pie Chart that shows the status of overdue corrective actions by a User as the Responsible Person, as well as corrective actions that are coming due within 30, 60, 90 days, overdue and greater than 90 days. Click on the colored sections to view the corrective actions that make up the percentages.
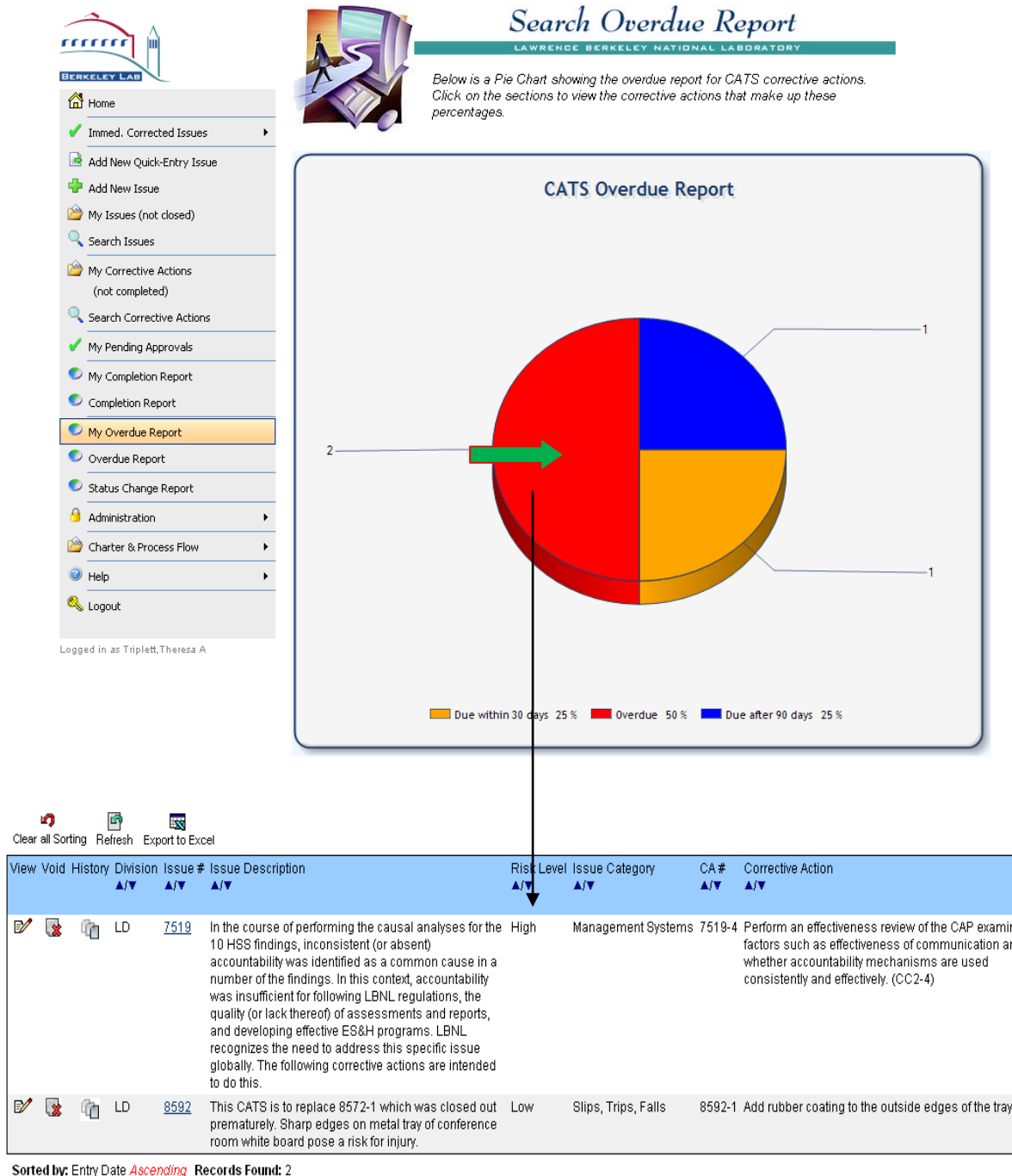
### 10.4   Overdue Report

This report is a Pie Chart showing the status of overdue corrective actions by Division, Department and/or Responsible Person, as well as corrective action due within 30, 60, 90 days and greater than 90 days. Click on the sections to view the corrective actions that make up these percentages.

## 11.0  Troubleshooting

| PROBLEM | POTENTIAL CAUSE | RESOLUTION |
|---|---|---|
| **Software is not launching or is timed out** | • LBNL Network is down or timed out<br><br>• User computer is not working or lacks memory | • Wait a few moments and try again<br>• Exit the program and restart it |
| **User is unable to enter data in a field.** | • All required fields may not be completed<br><br>• If the field is grayed out, the user does not have access or the issue is closed and therefore read-only | • Enter data in required field<br><br>• Verify that the user has permissions to update the record |
| **Links are not working** | LBNL Network is down or timed out | • Wait a few moments and try again<br>• Exit the program and restart it |
| **Cannot open attached documents** | LBNL Network is down or timed out | Wait a few moments and try again |
| **Cannot preview document** | LBNL Network is down or timed out | Wait a few moments and try again |
| **Cannot print document** | • LBNL Network is down or timed out<br><br>• Connections between user computer and printer are not working properly | • Wait a few moments and try again<br>• Check connection between computer and printer |

For troubleshooting issues not listed above, contact cats@lbl.gov.

## 12.0  User and Maintenance Support

The CATS Database is managed by the LBNL Office of Contractor Assurance (OCA) and maintained by the LBNL IT Division. Users may contact OCA for guidance on how to complete the fields in the database or request guidance on database protocol via the email address noted below.  Users may contact IT with problems they have regarding database operability. The Help option on the CATS Database Menu page is contains additional resources.

## ATTACHMENT 1 – CATS Database Entry Fields

Attachment 1 identifies the data entry fields, the responsible party / entity for entering the data, and a description of the field.  Input formats may contain alphanumeric, numeric and date fields that can accommodate from five hundred to four thousand characters. In addition, photographs and document files may be uploaded to the database.

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
| *(Extension ) Justification | Any User | The reasons justifying the extension request are required to be entered. Up to 4000 alpha-numeric characters may be manually entered. |
| *Comments | Any user | This field may be modified at any time during the life of a corrective action. General comments may be added in this field. |
| Extension Due Date | Any User | Select or type in the new extended due date. |
| Extension Requested by | Any User | Identify the individual requesting the extension. |
| Upload Objective Evidence | Any User | Upon completion of a corrective action, objective evidence of completion may be added.  Files of any type or URLs may be added. |
| Closure Date | Database | The database automatically closes issues and associated corrective actions collectively and will reflect the date that the last corrective action was completed.<br><br>Corrective actions associated with a "Worker Safety" issue that required a Work Request will be closed automatically when Maximo is updated to reflect completion of the work. |
| CM Division | Database | The database automatically identifies the Division of the CM. |
| Cognizant Manager | Database | The database automatically identifies the Cognizant Manager of the Responsible Person. |
| Corrective Action Number | Database | The database automatically assigns each corrective action a sequential number when the Enterer (the individual who enters the information into the database) saves the entry.  The first four numbers of the corrective action number is the same as the issue number. |
| Entered By | Database | The database automatically identifies who entered the information into the database based on the initial login date of the person entering the issue. This person is referred to as the |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
|  |  | Enterer. |
| Enterer's Division | Database | The database automatically identifies the Division to which the Enterer belongs based on the initial login of the person entering the issue. |
| Entry Date | Database | The database automatically identifies the date the entry was made into the database. |
| Issue Number | Database | The database automatically generates a sequential number when the Enterer (the individual who enters the information into the database) saves the entry. The format is a series of four numeric characters, generated in sequential order. |
| Status | Database | The database automatically identifies the status of an issue and associated corrective actions. |
| Initiator | Database / Enterer | Automatically identified by the database with the name of the person who entered the information. May be manually changed by the Enterer to reflect the person who actually identified the issue. |
| *(De Minimis) Justification | Enterer | Enter the reason(s) why a de minimis risk level is acceptable for the issue. This is an alpha numeric field that is manually populated by the User that can hold up to 4,000 characters. |
| *Assessment Type | Enterer | Select the type of assessment that was performed during which the issue was discovered. One of the following values may be selected:<br>• Self-Assessment<br>• Internal Independent Review<br>• External Review<br>• Safety Walk-around<br>• N/A |
| *Corrective Action | Enterer | Enter the specific corrective action that will be implemented to mitigate or remove the cause of the issue and prevent recurrence. Up to 4000 alpha-numeric characters may be manually entered. |
| *Criteria Not Met | Enterer | This is not applicable to Worker Safety and Health Issues. |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
|  |  | Enter the Requirement #, Title, Section, Subsection, or paragraph that was violated. Up to 4000 alpha-numeric characters may be manually entered. |
| *Due Date | Enterer | In conjunction with the SME and the responsible person and/or cognizant management, identify the most realistic due date to complete the corrective action. The due date is selected from a "calendar" or numeric characters may be manually entered in the format: (mo/day/full year) XX/XX/XXXX. |
| *Issue Category | Enterer | A general description of how an issue would be classified. One of the following values may be selected:<br>• AHD<br>• Asbestos<br>• Beryllium<br>• Accounting<br>• Biological<br>• Bus Services<br>• Cafeteria Services<br>• Chemical<br>• Chemical Hygiene<br>• Chemical Inventory<br>• Confined Space<br>• Construction Safety<br>• Contractor Safety<br>• Cranes and Hoists<br>• Cryogenics<br>• Custodial Services<br>• Cyber<br>• E-Commerce<br>• Electrical<br>• Emergency Eyewash/Safety Showers<br>• Emergency Preparedness<br>• Emergency Response<br>• Engineering<br>• Environmental<br>• Ergonomics<br>• Ethics<br>• Excess Property<br>• Fall Protection<br>• Financial Management<br>• Fire<br>• Fleet |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
| | | <ul><li>Garbage Services</li><li>Gases</li><li>General HR</li><li>HEPA Filter Testing</li><li>Health & Wellness</li><li>Housekeeping</li><li>Industrial Hygiene</li><li>Injury/Illness</li><li>Inspection</li><li>Inventory</li><li>IT</li><li>JHA</li><li>LOTO</li><li>Labeling/Signage</li><li>Ladder/Lift Safety</li><li>Lasers</li><li>Lead</li><li>Maintenance</li><li>Management Systems</li><li>PPE</li><li>Pest Management</li><li>Planning & Architecture</li><li>Powered Industrial Trucks</li><li>Preventive Maintenance</li><li>Project Management – Planning Design/Construction</li><li>Project Management – Scheduled Work</li><li>Radiological</li><li>Respiratory Protection</li><li>Roof Access</li><li>Seismic</li><li>Sensitive Items</li><li>Shipping/Receiving</li><li>Shops Safety</li><li>Site Access</li><li>Slips, Trips, Falls</li><li>Subcontracting</li><li>Traffic Safety</li><li>Training</li><li>Transportation</li><li>Ventilation</li><li>Warehousing</li><li>Waste Management</li></ul> |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
| | | • Welding<br>• Work Requests<br>Select the most appropriate category that the issue fits into. |
| *Issue Description | Enterer | Manually enter a complete and accurate description of the issue so that it is evident what the corrective action must address in order to resolve the issue. Up to 4000 alpha-numeric characters may be manually entered. |
| *Issue Type | Enterer | Select the most appropriate type of issue. One of the following values may be selected:<br>• Adverse Condition<br>• Best Practice<br>• Worker Safety & Health |
| *Responsible Person | Enterer | In conjunction with the SME or appropriate line or cognizant management, identify the person who will be responsible for performing the corrective action or overseeing its completion. This is a drop-down field where the Enterer can select the appropriate individual. |
| *Risk level | Enterer | The severity (significance) of the issue per PUB 5519 (1). Select the appropriate risk level for the issue. One of following values may be selected:<br>• High<br>• Medium<br>• Low<br>• De minimis |
| *Trend Code | Enterer | In conjunction with the SME or appropriate line or Cognizant management, select the trend code that is represents the most appropriate cause of the issue. One of the following values may be manually selected:<br>A. Policies/Procedures/Instructions Not Used<br>B. Policies/Procedures/Instructions Used Incorrectly<br>C. Policies/Procedures/Instructions NI<br>D. Communication NI/LTA<br>E. Equipment Design NI/LTA<br>F. Maintenance NI/LTA<br>G. Training NI/LTA<br>H. Work Planning NI/LTA<br>I. Work Processes/Packages NI/LTA<br>J. Material/Equipment Deficiency<br>K. Vendor Deficiency |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
| | | L.  Data NI/LTA<br>M.  Technical Proficiency Deficiency<br>N.  Process/Task Design Deficiency<br>O.  Immediately Corrected |
| Add Location | Enterer | Select additional rooms in which the issue was discovered. |
| Alternate CM | Enterer | If a Responsible Person is matrixed, identify the CM the Responsible Person immediately reports to in his/her matrixed capacity. |
| Assessment # | Enterer | This is a dynamic field, which becomes visible to the Enterer if the Assessment Type of "Internal Independent Review" or "External Review" is selected by the User.  This is an alpha numeric field that is manually populated by the Enterer that can hold up to 30 characters. |
| Building | Enterer | Select the Building in which the issue was discovered. One value may be selected from a dropdown menu. |
| Discovery Date | Enterer | Type or select the date the issue was discovered. The Discovery Date is entered in numeric characters in the format: (mo/day/full year) XX/XX/XXXX. |
| Division | Enterer | Select the Division that owns the issue and is responsible for resolving the issue. One of  the following entities may be manually selected:<br>• Accelerator & Fusion Research<br>• Advanced Light Source<br>• Office of Chief Finance Officer<br>• Chemical Sciences<br>• Computational Research Division<br>• Environmental Energy Tech<br>• Engineering<br>• Environment, Health & Safety<br>• Earth Sciences<br>• Facilities<br>• Genomics Division<br>• Human Resources<br>• Information Technology Div<br>• Laboratory Directorate<br>• Life Sciences<br>• Materials Sciences<br>• NERSC |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
|  |  | • Nuclear Sciences<br>• Operations Division<br>• Public Affairs<br>• Physical Biosciences<br>• Physics |
| Finding # | Enterer | This is a dynamic field, which becomes visible to the Enterer if the Assessment Type of "Internal Independent Review" or "External Review" is selected. This is an alpha numeric field that is manually populated by the Enterer that can hold up to 30 characters. |
| Institutional WR | Enterer | This is a dynamic field that becomes visible to the Enterer only if the Work Request checkbox is checked.  If a work request is considered institutional, the checkbox must be manually checked. |
| Program/Project | Enterer | Manually entered in alpha-numeric characters to denote a particular program or project within a Division that is associated with the issue. |
| Project ID | Enterer | This is a dynamic field that becomes visible to the Enterer only if the Institutional checkbox is not checked. The appropriate project ID to be billed for the work must be manually entered. Do not include dashes or spaces. |
| Room | Enterer | Select the room in which the issue was discovered. One value may be selected. The selection of rooms identified in the dropdown menu is based on the Building chosen. |
| Selected Locations | Enterer | This is a dynamic field, which becomes visible to the Enterer if there is more than one room identified for the selected Building and the "Add Location" button is selected. As many locations (or rooms) may be added that are equal or less to the number of rooms identified for a selected building. |
| Work Request Required | Enterer | If a work request is required, the checkbox must be manually checked. |
| External Reporting/ Significant Adverse Condition | Enterer/ PAAA Coordinator | In conjunction with the SME or cognizant or line management, select the appropriate significance code(s) for the issue. As many as are applicable of the eight values may be selected by clicking the appropriate checkbox(es):<br>• PAAA NTS (10CFR851) |

| Entry Field | Responsible Party | Description of Information to be Entered |
|---|---|---|
| | | <ul><li>PAAA NTS (10CFR835)</li><li>PAAA Internal (10CFR851)</li><li>PAAA Internal (10CFR835)</li><li>ORPS Cat 1/2</li><li>ORPS Cat 3/4</li><li>Type A/B Accident</li><li>Significant Adverse Condition</li></ul> |
| *Review/Approval | Enterer/ Reviewer/ Database | Identify the name of the person(s) who will review the issue and associated corrective actions.<br><br>The database automatically assigns certain reviewers based on the Issue Type, key word, or external reporting/significant adverse condition option(s) selected. |
| Facilities Contact | Maximo | This field is back populated by Maximo into CATS and is not modifiable from the CATS interface. |
| Notes | Maximo | This field is back populated by Maximo into CATS and is not modifiable from the CATS interface. |
| Work Order No. | Maximo | This field is back populated by Maximo into CATS and is not modifiable from the CATS interface. |
| Work Order Status | Maximo | This field is back populated by Maximo into CATS and is not modifiable from the CATS interface. |
| Completed Date | Responsible Person/ Maximo | For corrective actions with no Work Request:<br>Upon verifying the objective evidence of completion of the corrective action, enter or select the date of verification and completion.<br>For corrective actions with associated Work Requests:<br>Upon completion of the field work and entry into Maximo, Maximo will back populate this field into CATS. |
| Review Comments | Reviewer | If an issue and/or associated corrective actions are denied, the reason(s) for the denial must be identified in this field. |

* = Required fields

## ATTACHMENT 2 - Email Notifications

Email notifications are automatically generated from the CATS Database and sent to recipients based on accountability / responsibility for and approval of corrective action development and implementation. Below is a listing of the email notifications.

| Condition | Enterer | Reviewer | Responsible Person | Cognizant Manager | Division Safety Coordinator | Division Deputy |
|---|---|---|---|---|---|---|
| **Due Date Notifications (Before Due Date)** | | | | | | |
| *30 days before due date* | | | X | X | | |
| *15 days before due date* | | | X | X | | |
| **Due Date Notifications (After Due Date)** | | | | | | |
| *15 days after due date* | | | X | X | | |
| *30 days after due date* | | | X | X | | X |
| *45 days after due date* | | | X | X | | X |
| *60 days after due date* | | | X | X | | X |
| *75 days after due date* | | | X | X | | X |
| *90 days after due date* | | | X | X | | X |
| *120 days after due date* | | | X | X | | X |
| **Issues** | | | | | | |
| *When an issue is routed* | | X | | | | |
| *When an issue is denied* | X | | | | | |
| *When an issue is voided* | X | | | | X | |
| *When an issue is open after approvals* | X | | X | X | | |
| **Corrective Actions** | | | | | | |
| *When a corrective action is completed* | X | X | | | | |

| Condition | Enterer | Reviewer | Responsible Person | Cognizant Manager | Division Safety Coordinator | Division Deputy |
|---|---|---|---|---|---|---|
| *When a corrective action is voided* | X | | X | X | X | |
| *When a corrective action is changed* | X | | | | | |
| **Extension Request** | | | | | | |
| *When an extension request is approved* | (Extension Requestor) X | | X | | | |
| *When an extension request is denied* | (Extension Requestor) X | X | | | | |
| **Other Changes** | | | | | | |
| *When the Responsible Person is changed* | X | | (New Responsible Person) X | | | |
| *When the Responsible Person is no longer at LBNL* | X | | | | | |
| *When Work Request Center request more information* | X | X | | | | |