

Subject: PPPL Tracking and Trending System	Effective Date: May 7, 2004	Initiated by: Head, Quality Assurance
	Rev. 3 Dated Feb. 2, 2001	Approved: Director

Applicability

This procedure applies to tracking and trending information related to environment, safety, health, and quality issues, as well as monitoring progress of PPPL's performance metrics established as a result of Princeton University's contract with the U.S. Department of Energy.

Introduction

The purpose of the PPPL Tracking and Trending System is to gather and compile environmental, safety, health, and quality data from individual departments and projects and to track and analyze the results of this data. This information is provided to senior management to strengthen awareness of Laboratory environment, safety and health issues, open items, and deficiencies. Management determines if these areas are assigned the necessary priorities and are being resolved in a timely and effective manner or if management intervention is needed. In addition, the Tracking and Trending System also compiles performance metrics data and tracks the progress of PPPL's performance metrics.

The system is comprised of the PPPL Tracking and Trending Report, the open items distribution, tracking databases, and the Trend Analysis Program. The system includes, but is not limited to, internal and external audit findings, management assessment concerns, occurrence report recommendations, ES&H deficiencies, nonconformance reports, and performance metrics. Potential adverse trends detected during analyses of the data may also be reported and tracked using this procedure.

Procedure**A. Generation of the Tracking and Trending Report****Responsibility****Action**

Environment, Safety,
&Health/Infrastructure
Support (ES&H/IS)
Department Office

1. Requests from responsible organizations updated performance metrics required for the Tracking and Trending Report.
2. Compiles the performance metrics and forwards them to the Quality Assurance Division for incorporation into the Tracking and Trending Report.

Environment, Safety and
Health Division

3. Compiles management safety walkthrough (MSW) action items and safety deficiencies and forwards them to the Quality Assurance Division for incorporation into the Tracking and Trending Report.

Quality Assurance
Division

4. Compiles audit items and nonconformances for incorporation into the Tracking and Trending Report.
5. When requested, or as time permits, performs trend analyses and includes the results in the Tracking and Trending Report.
6. Includes other information, as requested, in the Tracking and Trending Report.
7. Generates the Tracking and Trending Report.
8. Distributes the Tracking and Trending Report via e-mail to PPPL Council members, ES&H Executive Board and resource members, DOE Princeton Site Office representatives and others, as requested.

Publishes a copy of the Report on the Quality Assurance Division's WEB page.

Department/Project
Heads

9. Review the Tracking and Trending Report to maintain awareness of open items, trends, backlogs, performance metrics, and other priorities within their organizational responsibility. Provide guidance or intervention if necessary.
10. Disseminate pertinent information to appropriate subordinate personnel.

Head, ES&H/IS
Department

11. Discusses key issues from the Tracking and Trending Report, such as trends and backlogs, at the Laboratory Management Review meetings.

B. Tracking of Open ItemsQuality Assurance
Division

1. On a monthly basis, notifies responsible individuals, their immediate supervisors and the appropriate Department Heads of overdue audit findings and outstanding NCRs and requests status update.

NOTE: The Engineering and Technical Infrastructure Department Head is also notified of NCRs not dispositioned within 20 days.

On a quarterly basis, notifies responsible individuals of all open audit findings and requests status update.

On a quarterly basis, notifies the PPPL Deputy Director of all open audit findings that are older than one year.

ES&H Division

2. On a monthly basis, notifies responsible individuals and their immediate supervisors of open safety deficiencies and MSW action items and requests status update.

Responsible Individuals

3. Review the Open Items distributions. Provide written notification of completion or requests, with justification, extension of due date.

Quality Assurance
Division

4. If item from Step 3 is an audit finding, processes the information per QA-002.

5. Updates Audit and NCR databases to reflect changes received.

ES&H Division

6. Updates the Safety Deficiency database to reflect changes received.