



Utilities & Maintenance Department

Conditions Adverse to Quality (CAQ)

Process

Our Vision:

Produce unsurpassed results for Notre Dame by advancing our legacy of safe, reliable, and sustainable utility and maintenance service through leadership, innovation, teamwork and trusting relationships that respect and embrace our Catholic values

Introduction:

The concept of Conditions Adverse to Quality (CAQ) has its origin in the power industry and relates to quality assurance and the desire to establish and implement a process that detects and prevents quality issues.

Achieving and maintaining quality performance is a cultural choice that emphasizes problem prevention, problem correction and continuous improvement. Every component and employee of the organization is covered by the scope of this program.

In keeping with the vision of the Utilities & Maintenance Department a CAQ process is being created so that departmental employees can bring forward any situations or conditions that they observe and believe to be in conflict with our vision. Employees have many options whereby they can seek support, guidance or explanations for issues that may arise as a part of their employment.

The CAQ is not intended to replace any existing channels for communication, rather it is an additional channel for feedback and inquiry. Our cultural belief is that feedback and inquiry is a positive aspect of any work environment and an employee should use any channel they see fit. That said, the CAQ process is offered as a supplementary process, which seeks to provide administrative review, action and response to any issues identified that are in conflict with the department's stated vision.

The goal of the CAQ process is to improve our collective results by ensuring that our department is a safe, secure, efficient, effective and enjoyable place to work while serving the University's mission to the greatest extent possible.

Process:

The CAQ process seeks not only to provide a means of reporting issues, but to also formalize transparency and feedback, when appropriate, to the greater department or parts thereof. Our goal is to bring to light issues that impact our ability to achieve our vision and therefore improve our results, work environment and culture. Inquiries that involve potential disciplinary actions or issues of a confidential nature will be treated as

directed by University policy and therefore may not be able to be shared departmentally. If such issues arise, the Office of Human Resources or other parties as appropriate will be engaged.

The CAQ process provides various ways in which employees may report issues. Employees can feel free to choose whatever means of sharing CAQ's as best suits their situation or personal comfort.

The CAQ process can either be used in conjunction with reporting an issue to your supervisor or as a direct self-reporting. Employees and supervisors who do discuss an issue may decide as an end result to collectively submit a CAQ. To this end supervisors may encourage employees to submit CAQ's that are appropriate for the process when they become apparent in their conversations.

Employees can feel free to submit CAQ's either anonymously or including their name. They can be submitted by individuals or groups.

Submitted CAQ's will be reviewed by a small team including the Senior Director of Utilities & Maintenance that will be responsible for managing the responses in an ethical and appropriate manner. CAQ team members will be based on the issue and expertise necessary to effectively respond to a submission. To the fullest extent possible the CAQ team will seek to handle professionally and with transparency all submissions.

It is important to note that employees may always, if they choose, contact a HR Consultant, the Office of Institutional Equity or the Integrity Hotline as other means of reporting or resolving issues or concerns if they feel more comfortable doing so. The CAQ process is offered as another channel by which employees can communicate issues and receive feedback.

As with any process the CAQ process can and will be refined and revised as use and experience teaches us how to be apply it more effectively. A generic process diagram is included for reference at the end of this document.

Reporting Guidelines:

In order to fully benefit from CAQ submissions they should be business and operations focused and have an objective approach and tone. It is important that the CAQ clearly identifies the issue with sufficient detail and facts to allow the CAQ team to investigate, evaluate and understand the issue.

CAQ Form:

To help to facilitate the CAQ process a standard form will be available for employees to use, the form will be available in hard copy and electronically.

Response and Tracking:

To the degree possible CAQ responses will be shared appropriately and in a timely manner with as many employees as possible in order to maintain and foster the transparency of the process. Responses may take various forms based on what is most suitable in a particular situation.

The CAQ team will track all submissions and responses as a means of assessing engagement and process utilization, efficacy and effectiveness.

Process Diagram:

The following diagram portrays a generic process for addressing CAQ's

