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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title:

READINESS REVIEW

Procedure No.:

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Revision:

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Date:

11/12/91

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Concurrence

Date:

10/24/91

Approval

Date:

10/29/91

1.0 PURPOSE

This procedure establishes the responsibilities and methods for conducting readiness reviews.

2.0 SCOPE

This procedure applies to reviews conducted by the Office of Civilian Radioactive Waste Management (OCRWM) to verify that specified prerequisites and programmatic requirements have been satisfied prior to the start or continuation of a design phase, process, or other PROGRAM activity.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

3.1.1 Quality Assurance Requirements Document (QARD), DOE/RW-0214.

3.1.2 Quality Assurance Program Description Document (QAPD), DOE/RW-0215.

3.2 DEFINITIONS

3.2.1 Responsible Director - The OCRWM Associate, Office, or Division Director responsible for a specific readiness review.

3.2.2 The definitions of other quality assurance related terms are found in the Glossary contained in reference 3.1.1.

4.0 RESPONSIBILITIES

4.1 ASSOCIATE, OFFICE, AND DIVISION DIRECTORS, OCRWM

The Associate, Office, and Division Directors, OCRWM are responsible for:

4.1.1 Determining if and when a readiness review should be performed;



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4.1.2 Acting as the Responsible Director for readiness reviews within their areas of responsibility; and

4.1.3 Providing lists of individuals qualified to participate on Readiness Review Teams, when requested.

4.2 ASSOCIATE DIRECTOR, OFFICE OF SYSTEMS AND COMPLIANCE (OSC)

In addition to responsibilities identified in Subsection 4.1, the Associate Director, OSC is responsible for preparation and maintenance of this procedure.

4.3 RESPONSIBLE DIRECTOR

In addition to responsibilities identified in Subsection 4.1, the Responsible Director is responsible for:

4.3.1 Determining the scope of the readiness review;

4.3.2 Appointing the chairman of the Readiness Review Team;

4.3.3 Approving the Readiness Review Plan;

4.3.4 Approving and issuing the Readiness Review Report; and

4.3.5 Authorizing the start or continuation of work following completion of the readiness review.

4.4 READINESS REVIEW CHAIRPERSON (RRC)

The RRC is responsible for:

4.4.1 Establishing qualifications and selecting Readiness Review Team members;

4.4.2 Preparing and signing the Readiness Review Plan;

4.4.3 Approving the Attribute List prior to conduct of the review;

4.4.4 Directing team members during the conduct of the review;

4.4.5 Coordinating the preparation of, and signing the Readiness Review Report;

4.4.6 Tracking open items and documenting closure; and

4.4.7 Submitting quality assurance (QA) records to the appropriate records center.



4.5 READINESS REVIEW TEAM (RRT)

The RRT is responsible for:

- 4.5.1 Developing the Readiness Review Attribute List;
- 4.5.2 Completing assigned sections of the Attribute List and preparing Open Item Reports during the readiness review; and
- 4.5.3 Providing input and recommendations for the Readiness Review Report.

4.6 DIRECTOR, OFFICE OF QUALITY ASSURANCE (OQA)

The Director, OQA is responsible for:

- 4.6.1 Performing surveillance of readiness review activities to ensure compliance with this procedure; and
- 4.6.2 Providing resources and assistance in the performance of readiness reviews, as requested.

5.0 GENERAL

5.1 GUIDELINES FOR READINESS REVIEWS

Guidelines for the performance of readiness reviews should include: location of the review (site or office); details of the design phase, process or other PROGRAM activity to be reviewed; lists of documents required to support the review (such as technical documents or procedures); items requiring special attention such as potential problem areas, items that impact schedule, or items requiring specialized technical expertise; results of applicable management assessments, peer reviews, design reviews, technical document reviews, and readiness reviews; appropriate acceptance criteria to be used during the readiness review; and identification of personnel assigned to assist the reviewers.

5.2 READINESS REVIEW TEAM

- 5.2.1 Readiness Review Team members may be OCRWM or contract personnel. Normally, the Readiness Review Chairperson will be an OCRWM representative.
- 5.2.2 Team members shall be qualified by education and experience in the disciplines undergoing readiness review. Team members shall be trained on the requirements of the OCRWM QARD, QAPD, and this procedure.



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6.0 PROCEDURE

6.1 INITIATING READINESS REVIEW

- 6.1.1 Determination of the need for a readiness review shall be made by the Associate, Office, or Division Director having functional responsibility for the design phase, process, or other PROGRAM activity to which the review is related. This individual shall act as the Responsible Director, document the need for the readiness review, and identify the specific point at which the readiness review will be performed.
- 6.1.2 Division Directors, Branch Chiefs and other line managers shall notify the Responsible Director when a design phase, process or other PROGRAM activity has progressed to the point where a readiness review is required.
- 6.1.3 Upon notification that a readiness review is required, the Responsible Director shall define the scope of the review, establish guidelines in accordance with Subsection 5.1 for performing the review, and appoint the Readiness Review Chairperson (RRC).
- 6.1.4 Based upon the scope of the readiness review, the RRC shall establish the qualification requirements for RRT members in accordance with Subsection 5.2 and request that Associate and Office Directors provide a list of qualified personnel. The RRC shall select team members from the lists provided.
- 6.1.5 The RRC shall prepare the Readiness Review Plan using the guidelines provided by the Responsible Director. The Plan shall include the following, as appropriate:
- a) Introduction and overview;
 - b) Scope and areas to be covered;
 - c) Objectives to be determined;
 - d) Reference procedures to be used;
 - e) Readiness review guidelines;
 - f) Readiness review assumptions;
 - g) Readiness review schedule, indicating significant milestones and due dates for reports;
 - h) Identification of RRT members; and
 - i) Signature of the RRC.



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6.1.6 The RRC shall forward the plan to the Responsible Director for approval.

6.1.7 Following approval of the plan, the RRT shall develop the Attribute List (Attachment I). The Attribute List identifies the prerequisites to be verified during the readiness review. Examples of readiness review attributes are included in Attachment II. A Readiness Review Tree, a graphical representation of the prerequisites for the activity, may be developed as an aid to ensure that all prerequisites are addressed on the Attribute List.

6.1.8 The RRC shall review and approve the Attribute List.

6.2 READINESS REVIEW

6.2.1 The RRT shall use the approved Attribute List as directed by the RRC to conduct the readiness review and ensure that each identified prerequisite is evaluated. Team members shall initial and date each attribute that they evaluate, identifying attributes as closed when it is verified that the prerequisite has been satisfied, or identifying the Open Item Number for attributes that are not closed.

6.2.2 Team members shall document any attribute remaining open on an Open Item Report (Attachment III). The Open Item Report shall identify:

- a) The Attribute and Open Item numbers;
- b) Descriptions of the prerequisite and the open item;
- c) Required actions, and the responsibility and estimated completion date for each action;
- d) Signature and date of the preparer; and
- e) Identification of any hold points that are established if work is permitted to start or resume prior to closure of the open item.

6.2.3 The RRC may prepare an Open Items List (Attachment IV) for tracking of open items.

6.3 ACTION SUBSEQUENT TO REVIEW

6.3.1 The RRC shall coordinate the preparation of the Readiness Review Report, ensuring that all items on the Attribute List have been closed or have been incorporated on Open Item Reports, as appropriate. The report shall include a list of team members and any recommendations regarding readiness to start or continue



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the activity undergoing review. The RRC shall attach any Open Item Reports, sign and date the Readiness Review Report, and forward the package to the Responsible Director for approval.

- 6.3.2** When the Responsible Director has reviewed and approved the Readiness Review Report, the report and attached Open Item Reports shall be distributed to affected organizations.
- 6.3.3** The RRC shall track open items and document closure on the Open Item Reports as appropriate. The RRC shall notify the Responsible Director when all actions required prior to the start or continuation of work have been completed.
- 6.3.4** Following the notification described in Paragraph 6.3.3, the Responsible Director may authorize the start or continuation of the design phase, process, or PROGRAM activity. The RRC shall continue to track remaining open items, documenting closure on the Open Item Report when actions are completed. Work shall not proceed beyond any hold point established on the Open Item Report until the closure of the item is approved by the RRC.
- 6.3.5** The RRC shall assemble the quality assurance records generated as a result of this procedure for submittal to the appropriate records center in accordance with Section 7.0.

7.0 RECORDS

The Readiness Review Plan, Attribute List, Open Item Reports, Readiness Review Report, and the Responsible Director's authorization to start or continue work are QA records that shall be collected and maintained in accordance with QAAP 17.1, *QA Records Management* or QMP-17-01, *Records Management: Record Source Implementation*.

8.0 ATTACHMENTS

- 8.1** Attachment I - Readiness Review Attribute List
- 8.2** Attachment II - Examples of Readiness Review Attributes
- 8.3** Attachment III - Readiness Review Open Item Report
- 8.4** Attachment IV - Readiness Review Open Items List
- 8.5** Attachment V - QAAP 2.6 Flowchart

ATTACHMENT I (Example)

READINESS REVIEW ATTRIBUTE LIST

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QA

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

READINESS REVIEW ATTRIBUTE LIST

READINESS REVIEW:

ATTRIBUTE NUMBER	DESCRIPTION OF PREREQUISITE	CLOSED	OPEN ITEM NUMBER	EVALUATED BY (INITIALS)

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ATTACHMENT II

EXAMPLES OF READINESS REVIEW ATTRIBUTES

1. Do management plans exist?
2. Do activity plans exist?
3. Are staffing requirements adequately addressed?
4. Are there means to answer questions from the public?
5. Has OCRWM approved the plans?
6. Has training been provided?
7. Has policy been established by OCRWM?
8. Are contracts in place?
9. Are scopes of work for subcontractors clear, concise, and up-to-date?
10. Have technical specifications been developed and approved?
11. Have quality assurance programmatic requirements been defined for the activities under review?
12. Have QA requirements been passed on to contractors?
13. Have quality levels, inspection points, hold points and QA reviews been established, reviewed and approved?
14. Have organizational and physical interfaces been defined and documented?
15. Are documents in place to assure that regulatory requirements have been addressed including local, state, or federal permits?
16. Has the proper level of authority been delegated to the activity?
17. Are logical interfaces between network activities established?
18. Are implementing procedures in place, adequate, and approved?
19. Has equipment been approved by OCRWM?
20. Have facilities been acquired and are they operational?
21. Are funds available to do the work?
22. Has handling of data, information, and records been addressed?
23. Have safety and health measures been identified?
24. Have security requirements, including computer access, been addressed?
25. Has Acquisition Executive approval been received for applicable key decisions required by DOE Project Management System?
26. Do schedules exist and are they adequate?



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ATTACHMENT III

READINESS REVIEW OPEN ITEM REPORT

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READINESS REVIEW OPEN ITEM REPORT			
READINESS REVIEW	ATTRIBUTE NO.	OPEN ITEM NUMBER	
DESCRIPTION OF PREREQUISITE			
DESCRIPTION OF OPEN ITEM			
ACTIONS REQUIRED TO CLOSE	RESPONSIBILITY	ESTIMATED COMPLETION DATE	
HOLD POINT REQUIRED? YES ___ NO ___			
PREPARED BY			
Name _____		Date _____	
ASSIGNMENT OF HOLD POINTS:			
ACTIONS COMPLETED DATE:		VERIFIED BY:	
CLOSURE APPROVED BY			
Readiness Review Chairperson _____		Date _____	

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ATTACHMENT V

QAAP 2.6 FLOWCHART

