

**APPENDIX D**  
**SAMPLE MII CONFIRMATION CHECKLIST**

## SAMPLE MII CONFIRMATION CHECKLIST

1. General Information:
  - a. The MII Action Statement.
  - b. The name(s) of the person(s) providing the information.
  - c. The date(s) of confirmation.
  - d. The name of the CT member who documented, evaluated, and determined acceptability.
  - e. Identification if the information is initial or amended submittal.
2. Description of the action (and any sub-actions).
3. Description of the MII Performance Indicators (from the MII).
4. Identification of confirmation expectation criteria to meet the action (proposed by the Action Statement Responsible Manager and concurred by the CT).
5. Listing of the information provided and data supporting substantiation of the Performance Indicator being met (to be provided by the Action Statement Responsible Manager.).
6. Information verified (complete listing of documents and correspondence reviewed).
7. Confirmation observations (summaries, including any referenced documents, meetings, discussions, etc., used to determine acceptance to criteria used to perform the confirmation).
8. Identification of potential issues (identify any actions taken, if applicable).
9. Summary of confirmation results indicating acceptability of the information relied on to meet MII objectives and commitment.
10. Reconfirmation summary (if applicable, statements on reassessment based on new information, rework, or earlier in-process reviews or conditions).
11. Completion sign-off (signatures of Confirmation Team, Action Statement Responsible Manager and Action Plan Responsible Manager).

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Enclosure 6

**Management Alignment Process  
for the Management Improvement Initiatives  
Office of Civilian Radioactive Waste Management Program**

**October 15, 2002**



*U.S. Department of Energy  
Office of Civilian Radioactive Waste Management  
Washington, DC*

# OCRWM Management Improvement Initiatives Management Alignment Process

## *Purpose and Objectives*

The *Management Alignment Process* (MAP) guides the Office of Civilian Radioactive Waste Management's (OCRWM's) approach to implementing and institutionalizing the changes identified in the *Management Improvement Initiatives* (MII) document (PLN-CRW-AD-000009). It describes the alignment mechanisms and activities that are being implemented to orient management and staff and provide a common basis for moving the OCRWM Program forward. The MAP serves as a guide for both Federal and contractor management to ensure that changes are created, communicated, accepted, implemented, and enforced consistently throughout the Program.

The MII identified a set of documents to facilitate implementation including the *OCRWM Program Manual* (DOE/RW-0555) and a *Communication Process* that accompanies this MAP. Program alignment is a process that will be completed incrementally and iteratively. The *Program Manual*, for example, is being issued in three phases to define and communicate the "what," "how," and "who" of the alignment described in the MII. In order to maximize the effectiveness of this alignment and the efficiency with which it is carried out, a variety of mechanisms and activities is needed. This MAP describes the mechanisms and activities that comprise the alignment process.

## *Alignment Mechanisms*

The catalysts for this alignment of the OCRWM Program are the appointment of a new Program Director, Dr. Margaret Chu, and the successful site recommendation that concluded the Program's site characterization phase. The fundamental organizing objective is now submittal of a license application to the Nuclear Regulatory Commission (NRC) by December 2004. These events coupled with the overarching need to clarify and strengthen roles, responsibilities, authority, and accountability (R2A2) within the OCRWM Program set the stage for creating a hierarchy of alignment mechanisms (Figure 1):

- Senior Management Team – comprises senior OCRWM, Yucca Mountain Project (YMP), and Management and Operating (M&O) contractor managers who create the vision and establish high-level goals for the Program.

The Senior Management Team has met at critical junctures in the MII alignment process, beginning with the development and release of the MII in July 2002. In late August, the team met to formulate this MAP and to finalize the *Phase 1 Program Manual*. Subsequent meetings will oversee the development and completion of the *Phase 2 Letter Report* and *Phase 3 Final Program Manual*, culminating in a mid-November offsite management retreat to clarify R2A2s within DOE and the M&O. As shown in the MII, senior managers have taken direct responsibility for each of the five improvement areas.

- MII Red Team – involves key managers, senior staff, and external nuclear industry specialists to review requirements, identify major functional areas, and help define the organizational construct needed to attain the vision and meet the goals.

The Red Team began meeting in mid-August to review draft documents, including the *Phase 1 Program Manual*, and to strategize the implementation of the MII alignment. Later meetings guided the evolution of the Program Manual and execution of major MII activities such as the review of the *Quality Assurance Requirements and Description (QARD)* (DOE/RW-0333) and instituting a safety conscious work environment (SCWE). Meetings of the Red Team provide a focal point for adapting and adjusting the implementation of the MII alignment as it proceeds.

- MII Implementation Teams – create the means to facilitate and communicate the MII rollout and organizational realignment activities. These teams include management team “change agents” and “champions;” specialists to support and document MII implementation; a Communications Team to develop communication products and facilitate feedback; the Training Organization to coordinate formal training; a Confirmation Team to evaluate and confirm closure of MII Action Statements; the Office of Quality Assurance (OQA) to review completion of MII Action Statements, and Independent Evaluation Teams to evaluate performance.

These teams have formed rapidly and effectively to define scopes and schedules for the lower-tier activities needed to complete the MII Action Statements. Information and documents are shared and integrated among these teams to ensure that concepts and strategies formulated higher in the organization rapidly come to fruition. Closure and confirmation of actions is tracked and plans formed to evaluate the effectiveness of the MII alignment.

- Line Managers and Supervisors – assigned appropriate R2A2s to instill a sense of ownership and accountability through line management and into the staff.

Because the MII is intended to reach a logical conclusion in a more effective and efficient organization, it begins with the Senior Management Team and completes with line management and the staff. Line managers are responsible for fulfilling their assigned responsibilities, including implementation of QA requirements.

In sequence, each of these mechanisms reflects an orderly flow-down of R2A2 and expectations throughout the organization. Specific mechanisms have also been included to establish traceability and transparency in the processes; documentation and confirmation of activity completion; and evaluations with indicators of subsequent performance.

### *Alignment Activities*

A variety of realignment activities have been implemented to permeate the OCRWM organization and ensure that the alignment is effectively and efficiently managed (Figure 2). These activities include products, such as the *Program Manual*, and events, such as all-hands

meetings and training sessions. Activities like the preparation and issuance of policy statements define and communicate management expectations and the creation of performance indicators and incentives attaches rewards and consequences to meeting these expectations. Communication activities, such as meetings and web pages, transmit expectations and status updates throughout the OCWRM organization:

- Plans and Policies – identify expectations and chart a course for the organizational realignment. Includes the *Program Manual*, DOE and M&O management policy statements, this MAP, and the *Communication Process*. The following policies have been established and communicated:
  - POL-RW-2002-001 – Safety-Conscious Work Environment Policy (4/30/02)
  - POL-RW-2002-003 – Quality Assurance Program Responsibilities (9/6/02)
  - POL-RW-2002-004 – Management Expectations (9/6/02)
- Operational Requirements – develop the organizational realignment and organizational structure and assign R2A2s. Review and revise operational requirements, including the QARD and implementing procedures, for clarity and consistency with regulatory, technical, and programmatic requirements. Also includes other activities associated with operational requirements such as the consolidation of a single Corrective Action Program (CAP) and review of design change approval thresholds.

A team of nuclear industry specialists has been assembled to review the QARD for consistency with regulatory requirements and guidance and to identify those sections that would derive the greatest benefit from revision. In parallel, a task team has been convened to review the DOE and M&O procedures sets and define new procedural hierarchies. The Program Manual Phase 2 Letter Report assigns responsibility and accountability for the administration of a single OCWRM-wide CAP to the Director, Office of Quality Assurance (OQA).

- Performance Indicators – gauge the effectiveness of each of the five MII improvement areas.

In order to accurately assess the effectiveness of the MII alignment, a joint DOE-M&O team has been established to develop indicator criteria. Using readily available information, these indicators measure effectiveness, not just activity, to provide useful information for managers. These indicators promote self-identification of issues and action before significant problems develop.

- Performance Incentives – institute expectations for organizations through contract modifications and to individuals through performance appraisal criteria. Provide incentives to accomplish management improvement initiatives.

Contract modifications have been issued to provide the M&O authority and responsibility for a separation of QA program functions. All of OCWRM's contractors now have provisions for SCWE included in their contracts, as does the U.S. Geological Survey through their interagency agreement with DOE. In addition, the Performance Evaluation Management

Plan for the M&O contract now includes specific performance incentives. R2A2 and QA responsibilities have been directly communicated into the line organization through the addition of criteria into their annual performance appraisals.

- All-Hands and Staff Meetings – articulate the MII and associated actions to clearly communicate expectations and foster the culture of the realigned organization.

In early September 2002, Dr. Chu held all-hands meetings in Las Vegas and Washington, DC to roll out the *Phase I Program Manual*. Smaller, organizational meetings to discuss the MII in greater detail and encourage direct feedback accompanied these meetings. Subsequently, line managers met with their staffs to discuss the significance of the MII alignment. These types of meetings will continue throughout the MII alignment and thereafter management and staff meetings should embody the principles and expectations of the MII.

- Formal Training Sessions – conduct formal training sessions on crucial aspects of the realigned organization and its culture (e.g., SCWE) and revised procedural requirements, as appropriate.

The OCRWM Program considers SCWE highly important and has required formal training sessions on this topic for all managers, supervisors, and staff. Manager/supervisor training was completed on 10/14/02 and all staff are to be trained by 12/31/02. Additionally, updated training will be held as procedures are reviewed and revised to ensure a QA-compliant organization.

- Communication Products – include a MII web page, videotapes, and posters to communicate the transmittal of vision, goals, expectations, and progress throughout the OCRWM organization and, as appropriate, to external organizations.

Broad and timely distribution of information throughout the OCRWM organization is essential to the success of the MII alignment. OCRWM is relying on its Office of Institutional Affairs and their communication specialists to develop information products and make them available to all affected personnel.

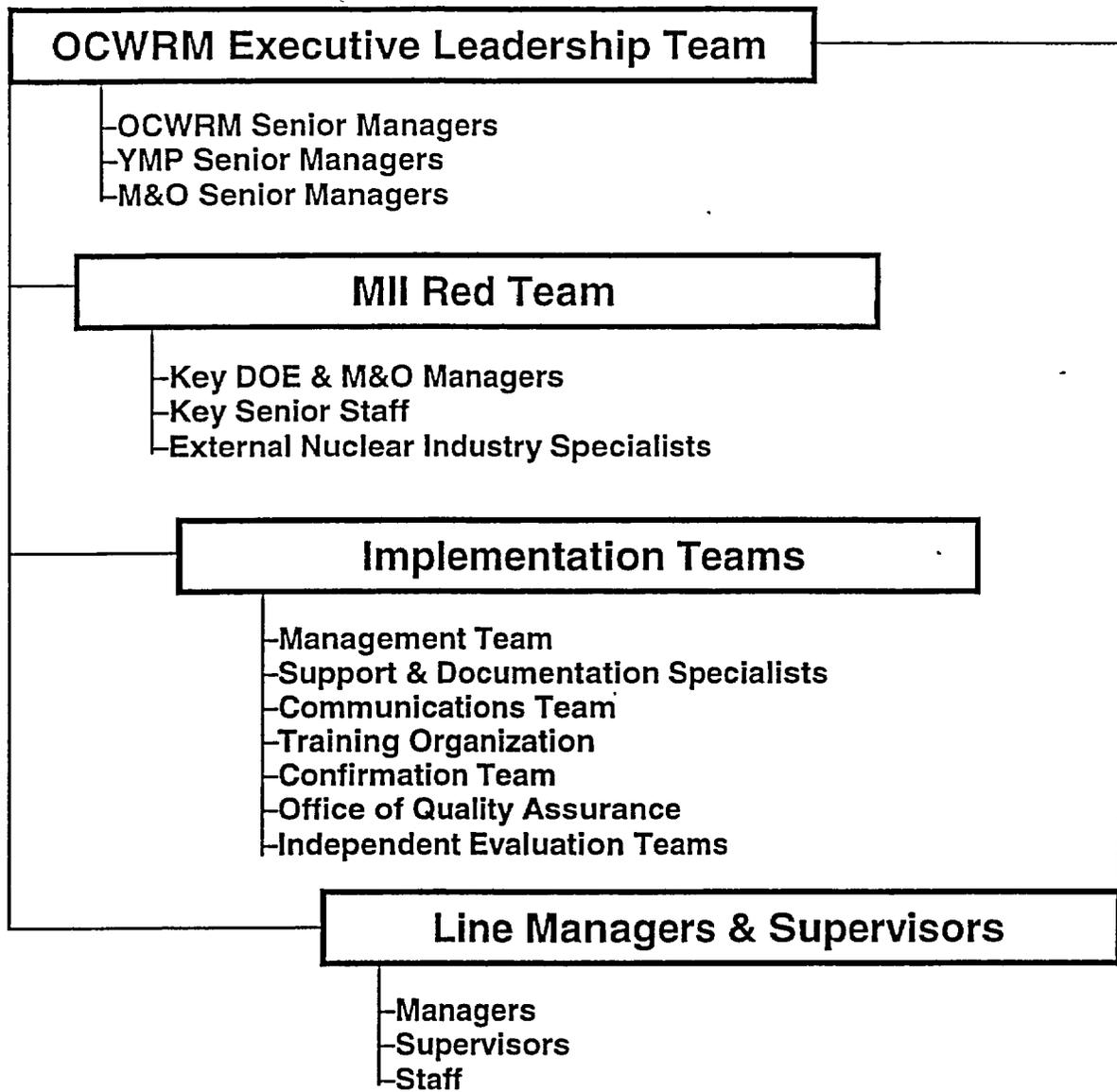
Taken together, these activities define and document an orderly implementation and transition process for the management alignment. Each level of the organization is appropriately involved and accountable for parts of the overall alignment process. Clear and consistent communication comes through the creation of products and their transmittal through the organization. Performance indicators and incentives allow progress to be measured and controlled.

### *Summary*

Implementation of the MII comprises a major alignment of the OCRWM organization and its functional processes to meet the Program mission and attendant requirements. In order to provide for an effective and efficient alignment process, a set of upper level implementing documents were identified in the MII, including the *Program Manual* and this MAP.

The MAP describes suites of mechanisms - teams and specialists - to chart and implement the alignment, and activities - products and events - to document and communicate the alignment. This construct provides an effective means of accomplishing the identified management improvements. The ability to successfully complete this management alignment is essential to establishing the OCRWM Program's regulatory credibility and accomplishing its mission of licensing a repository.

These mechanisms and activities establish traceability in the MII processes and provide clear and consistent communication throughout the OCRWM organization. Performance indicators and confirmation activities provide the means to reach closure on the management alignment and provide a basis for ongoing management attention focused on mission success.



**Figure 1 – MII Alignment Mechanisms**

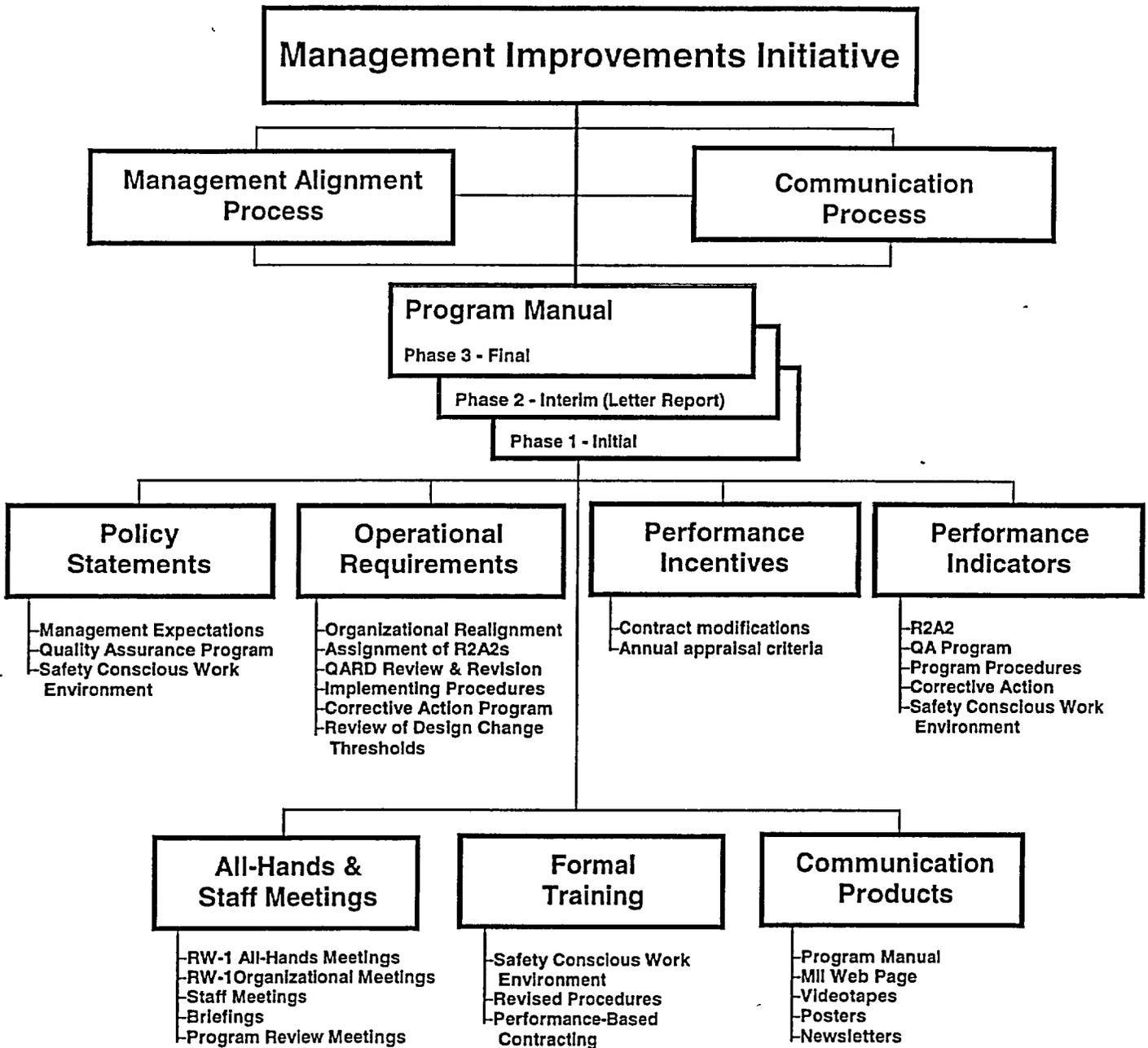
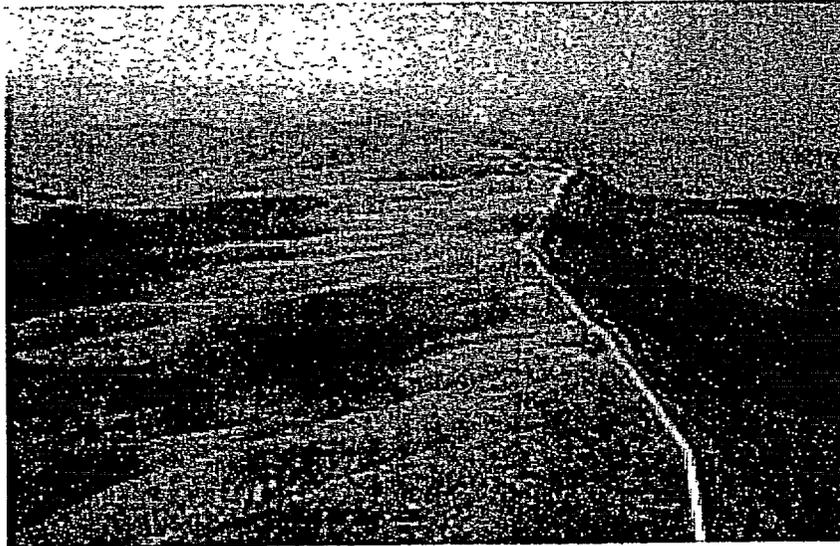


Figure 2 – MII Alignment Activities

Enclosure 7

DOE/RW-0555

Office of  
Civilian Radioactive Waste Management  
**Program Manual**  
*Phase I*



*August 2002*

U.S. Department of Energy  
Office of Civilian Radioactive Waste Management  
Washington, DC



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## LIST OF ACRONYMS

CD	—	Critical Decision
CDR	—	Conceptual Design Report
CO	—	Contracting Officer
COR	—	Contracting Officer's Representative
COTR	—	Contracting Officer's Technical Representative
DOE	—	U.S. Department of Energy
EH	—	U.S. Department of Energy, Office of Environment, Safety and Health
EM	—	U.S. Department of Energy, Office of Environmental Management
ESAAB	—	Energy Systems Acquisition Advisory Board
ES&H	—	Environment, Safety, and Health
HQ	—	Headquarters
LSN	—	Licensing Support Network
M&O	—	Management and Operating
NE	—	U.S. Department of Energy, Office of Nuclear Energy
NEPA	—	National Environmental Policy Act
NNSA	—	National Nuclear Security Administration
NRC	—	U.S. Nuclear Regulatory Commission
NTS	—	Nevada Test Site
NWTRB	—	Nuclear Waste Technical Review Board
OCRWM	—	Office of Civilian Radioactive Waste Management
OMB	—	Office of Management and Budget
QA	—	Quality Assurance
QARD	—	Quality Assurance Requirements and Description
RCRA	—	Resource Conservation and Recovery Act
SAE	—	Secretarial Acquisition Executive
SCWE	—	Safety-Conscious Work Environment
TSLCC	—	Total System Life Cycle Cost
USGS	—	U.S. Geological Survey
YMP	—	Yucca Mountain Project

# INTRODUCTION

This Program Manual communicates the management expectations and organizational approach for the U.S. Department of Energy (DOE) Office of Civilian Radioactive Waste Management (OCRWM) Program.

This Program Manual is one of the required action items outlined in the Management Improvement Initiatives (PLN-CRW-AD-000009) submitted by OCRWM to the Nuclear Regulatory Commission (NRC) in July 2002. The primary purpose of the Program Manual is to delineate a realignment of the OCRWM organization and clearly define the roles, responsibilities, authority, and accountability for program functions supporting the licensing process for Yucca Mountain. The Program Manual is being issued in three phases so that the desired outcomes can be achieved in an orderly and effective manner.

- **Phase 1** defines and communicates the OCRWM management approach and expectations, with an emphasis on *what* needs to be achieved within the OCRWM Program. It establishes the high-level functional responsibilities for the OCRWM organization, including the basic roles and responsibilities of Headquarters (HQ), the Project Office for the Yucca Mountain Project (YMP), and the Management and Operating (M&O) contractor for the project. Development of Phase 1 was completed in August 2002.
- **Phase 2** will provide further definition of the OCRWM organizational structure and the roles, responsibilities, authority, and accountability of the organizational elements that the OCRWM Program comprises. It will communicate *how* the organization will realign to perform identified roles and responsibilities, including implementing guidelines for the functional areas and defined interfaces for HQ, YMP, and the M&O contractor. In addition, Phase 2 will provide more information on selected functional areas that will be subject to management focus and attention. These focus areas include the national transportation program, repository design, systems analysis and integration, baseline and configuration management, and program monitoring and control. Phase 2 is planned for September 2002.
- **Phase 3** will complete the full implementation of the organizational realignment described in the Management Improvement Initiatives. It will identify the ownership and accountability for each functional area of the program; provide detailed information on the roles, responsibilities, authority, and accountability of organizational components; and address the responsibilities and interfaces associated with each element in the M&O contract. Phase 3 is planned for October 2002.

The ultimate objective of the Program Manual is to clearly communicate the organizational structure, interfaces, and roles and responsibilities of OCRWM Program participants in meeting program and mission requirements. Management expectations outlined in the Program Manual

focus on the responsibilities for quality management in all aspects of our work, improved integration across the various program elements, and the establishment of clearly defined responsibilities and accountabilities of line managers for achieving program goals. The Program Manual emphasizes the distinction between HQ, YMP, and M&O contractor functions. As such, it stresses the traditional role of HQ to provide leadership and oversight, establish program goals and expectations, and measure performance of program execution, but moves away from day-to-day involvement by HQ in the YMP and M&O contractor activities. The YMP is responsible for communicating requirements and providing technical direction to the M&O contractor, and for overseeing contractor performance in implementing the OCRWM requirements. The M&O contractor receives technical direction from the YMP and is responsible and directly accountable for managing the scope of work to meet the defined performance objectives.

The approach outlined in the Program Manual will lead to improved program performance by identifying specific responsibilities and accountabilities for each aspect of the program, streamlining and optimizing program resources, minimizing duplication of effort, and clearly delineating the ways in which government and contractor participants interact to ensure that program goals and objectives are met.

The issuance of this Program Manual is particularly important as the OCRWM Program transitions from site recommendation to the next phase of the program—development and submittal of the license application. Acceptance of the license application by NRC is a prerequisite to construction authorization and eventual licensing and operation of the Yucca Mountain repository for safe, permanent disposal of spent nuclear fuel and high-level radioactive waste. The pre-license application and licensing phases of the program require the efficient execution and integration of activities to meet rigorous safety, technical, management, and schedule requirements.

The Program Manual is a key upper tier document that will delineate management alignment and program execution. The Program Manual establishes an overall framework for program operation and communicates management principles and expectations for work planning, performance, and control that are critical to our success in meeting mission objectives for the next phase of our program.

In structuring this Program Manual, the intent was to produce a document that would be useful and serve as a readily available resource to understand the organizational roles and responsibilities in the context of our program mission. The Manual is organized into the following sections:

- Our new way of doing business
- OCRWM Program mission
- Management principles
- Management expectations
- Individuals authorized to direct the contractor
- Flowdown of program direction
- Principal role of HQ, the YMP, and the M&O contractor
- Roles and responsibilities for specific functional areas of the program.

This is an exciting, yet challenging, time for the OCRWM Program. To succeed in licensing Yucca Mountain as the Nation's first permanent repository for high-level waste and spent nuclear fuel, we must transform our organization and adopt new ways of doing business. We must continue to work as a team, with a clear understanding of our respective roles and responsibilities, and clear accountability for each function we perform. As program participants read and understand the management expectations and approach presented in this Manual, we will achieve an important first step in realigning our organization to successfully complete the licensing phase of this important national program.

## OUR NEW WAY OF DOING BUSINESS

The following pages of this Program Manual present a new way of doing business. The changes outlined in the Manual are critical to our mission success. Each participant in the program, from Federal and contractor organizations, must work according to our new Program Manual so that we, as a team, can achieve a successful license application, on schedule, and begin to receive and emplace high-level waste and spent nuclear fuel at the Yucca Mountain facility by 2010.

All of us, under the leadership of our management team, are expected to move forward in implementing this new way of doing business, embracing change, challenging the status quo, and contributing to the benefits and positive outcomes that will result.

This Program Manual emphasizes three fundamental changes in the way we do business:

■ ***Direction to the M&O contractor will be provided through a single, authorized source.***

DOE will coordinate HQ and Project Office functions and provide direction to the M&O contractor only through the designated Contracting Officer (CO) or the Contracting Officer's Representative (COR). This will eliminate multiple sources of direction for the project.

■ ***Roles and responsibilities of Federal and contractor participants will be realigned to improve accountability and program performance.***

We will realign the OCRWM organization to clarify the roles and responsibilities of Federal and contractor participants. In this realignment, we will embrace the concepts of performance-based contracting, where the government establishes requirements and allows the contractor to perform work necessary to meet those requirements:

- **HQ** sets policy and expectations, monitors key performance indicators, and has decision authority for critical outcomes including quality, safety, regulatory acceptance, and fiscal responsibility.
- **YMP** has responsibility for providing requirements and technical direction and overseeing the M&O contractor to monitor performance. YMP decision authority is focused on the definition of requirements and oversight of contractor performance to achieve critical outcomes.
- **The M&O contractor** manages and performs the work scope and monitors work to ensure requirements are met. Performance measures developed in accordance with contract requirements will be used to monitor the contractor's work.

■ ***Program participants will have ownership and accountability for program success.***

Authority and accountability will be commensurate with assigned roles and responsibilities. Program participants will know what is expected and be held accountable for meeting those expectations.

## OCRWM PROGRAM MISSION

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Our mission is to manage and dispose of the Nation's spent nuclear fuel and high-level radioactive waste. We will provide leadership in developing and implementing strategies that assure public and worker health and safety, protect the environment, merit public confidence, and are economically viable.

## MANAGEMENT PRINCIPLES

- Clearly define requirements, goals, and expectations for program performance
- Maintain safe and efficient work practices
- Perform quality work that meets requirements
- Establish clear lines of authority, responsibility, and accountability
- Manage a streamlined, efficient organization focused on mission requirements
- Achieve results through effective communication and teamwork
- Monitor and recognize performance

# MANAGEMENT EXPECTATIONS

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- ***Program participants share a commitment for program success.*** They actively participate as members of the program Team in meeting requirements, solving problems, and achieving continuous improvement to meet program objectives.
- ***Program participants understand their roles and responsibilities and operate accordingly.*** Headquarters sets expectations, develops policy, and monitors progress. The YMP translates HQ expectations and policies into requirements and communicates these to the M&O contractor. The YMP oversees M&O contractor performance. The M&O contractor implements requirements, monitors performance, and takes corrective actions to ensure requirements are met.
- ***Safety and quality assurance are integral to the way we do business.*** Safety and quality are line management responsibilities that are shared by all program participants. The OCRWM Director has overall responsibility for safety and quality and directs HQ and YMP organizations in overseeing and monitoring work to ensure safety and quality are achieved. The M&O contractor is responsible for implementing quality management and safety in each aspect of project operations.
- ***Managers have ownership and accountability for their assigned areas.*** They know what they are managing and understand their assigned areas. They have the authority, responsibility, and resources to carry out their assignments and are held accountable for achieving results.
- ***Direction to the M&O contractor is provided through the authorized Contracting Officer or Contracting Officer's Representative and will fully embrace the concepts of performance-based contracting.*** Clear lines of authority and responsibility for defining and communicating contractor requirements will improve program coordination and allow focus on approved work that is needed to meet program objectives. Line management will recommend technical directions to the contractor through the Contracting Officer's Representative. We will employ the principles of performance-based contracting, establishing clear requirements and performance metrics for the contractor and allowing the contractor to perform the work needed to meet these requirements without detailed, day-to-day involvement of the government in contractor work activities.
- ***Issues and disputes are identified, elevated as needed, and resolved in a timely manner.*** We, as a team, strive to identify and resolve issues through the appropriate process, and if necessary, escalate disputes and issues to progressively higher levels of management until the issue is resolved. Any employee should feel free to raise an issue with management and expect prompt, objective attention without fear of reprisal.
- ***Program participants comply with established policies and procedures for work processes.*** DOE and the M&O contractor will develop separate sets of effective and efficient procedures that implement applicable requirements; are commensurate with the complexity, safety, and quality significance of the task; and fully support the licensing activities. Personnel will be trained in the use of these procedures and compliance will be monitored as a normal course of business.
- ***Management leads by example.*** Managers assigned to the OCRWM Program stand by the principles and meet the expectations set forth in this Manual. Successful performance is acknowledged and failure to perform bears consequences.
- ***Management decisions are honored.*** Program participants bring diverse experience and expertise to the Program, and contribute great value to the decision process through their input and perspectives. However, once final decisions have been made, program participants honor those decisions and follow the course of action required by those decisions.

## **INDIVIDUALS AUTHORIZED TO DIRECT THE CONTRACTOR**

*In order to implement the management approach outlined in this Manual, authorities for direction of contractor activities will be strictly limited and controlled. All direction to the contractor must flow through an authorized source as indicated below:*

### **Contracting Officer (CO)**

- Only individual authorized to negotiate terms or make agreements or commitments with the contractor which modify terms and conditions of the contract (e.g., contract amount, period of performance, scope of work)

### **Contracting Officer's Representative (COR)**

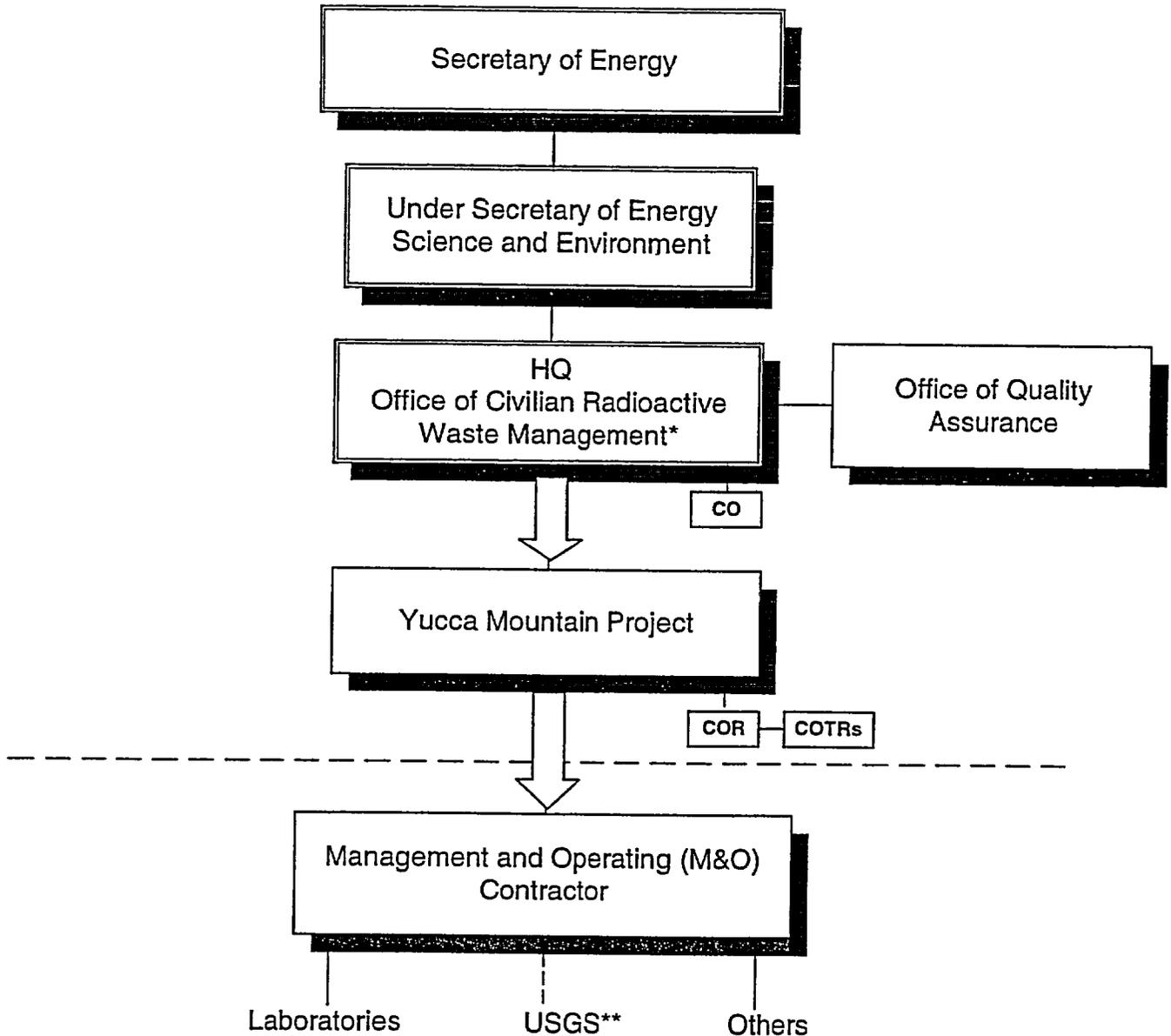
- The YMP Project Manager will serve as the sole COR for YMP activities
- Acts as an authorized representative of the CO for functions that do not involve a change in scope, price, terms, or conditions of the contract. COR duties include:
  - Monitoring and reviewing the fulfillment of contract requirements and performance measurement objectives and evaluating contractor performance
  - Reviewing, and where required by the contract, approving reports, drawings, specifications, and information delivered by the contractor
  - Accepting/rejecting final contract deliverables [note: only the CO is authorized to grant relief, accept non-conforming work, or waive any requirement of the contract]
  - Providing technical direction to the contractor that redirects the contract effort, shifts work emphasis within a work area or Work Authorization Directive, requires pursuit of certain lines of inquiry, fills in details, or otherwise serves to accomplish the contractual Statement of Work

### **Contracting Officer's Technical Representative (COTR)**

- Is formally designated by the CO to assist the Project Manager in executing COR responsibilities
- Is not authorized to provide technical direction or redirection to the contractor beyond the authorized scope (this may only be issued by the CO)
- Assists the CO and COR in ensuring both the government and contractor comply with contractual technical obligations
- Monitors assigned elements of the contract scope of work
- Reports variances and performance evaluations to the CO and COR

# FLOWDOWN OF PROGRAM DIRECTION

The direct line for project execution flows from the OCRWM Director at HQ to the DOE Project Manager at the YMP to the Project Manager for the M&O contractor.



**NOTE:**

\*The National Transportation Program is not shown in this figure, but will be more fully addressed in Phase 2.

\*\*The M&O contractor coordinates and integrates work performed by the USGS, but does not administer the USGS agreement.

# PRINCIPAL ROLE OF HQ, PROJECT OFFICE, AND M&O CONTRACTOR

OCRWM Program participants have unique and complementary roles. They are summarized below.

## HQ

- Provides direction, resources, and priorities to the YMP for the successful completion of quality work in a safe and environmentally acceptable manner
- Establishes policy and expectations for program performance
- Ensures compliance with HQ policies and procedures
- Provides analysis, options, and information to shape policy and strategy; allocates resources; and serves as primary spokesperson for the program
- Integrates program activities and monitors program performance
- Resolves issues elevated by program participants

## YMP

- Establishes and communicates requirements based on HQ policy and expectations
- Provides technical direction to the M&O contractor
- Ensures project operations meet quality requirements and are carried out in a safe and environmentally acceptable manner
- Ensures compliance with YMP policies and procedures
- Provides oversight of the M&O contractor
- Monitors contractor performance
- Elevates issues requiring HQ attention

## M&O Contractor

- Manages and performs scope of work, monitors performance, and takes appropriate corrective actions to ensure requirements are met
- Ensures compliance with M&O contractor procedures
- Elevates issues requiring YMP attention

## ROLES AND RESPONSIBILITIES FOR FUNCTIONAL AREAS

This section outlines the roles and responsibilities of HQ, the YMP, and the M&O contractor for the following functional areas associated with the OCRWM Program.

1. Program Planning, Organization, and Management
2. Licensing and Regulatory Interactions
3. Performance Assessment and Performance Confirmation
4. Repository Design
5. Requirements Management and Configuration Management
6. Quality Assurance
7. Waste Acceptance
8. Transportation
9. Site Operations
10. Environment, Safety, and Health (ES&H)
11. Safety Conscious Work Environment (SCWE)
12. Systems Analysis and Integration
13. Procurement and Contract Management
14. Budget and Financial Management
15. Program Monitoring and Control
16. Information Management
17. External Communication and Stakeholder Involvement Programs
18. Nuclear Waste Technical Review Board (NWTRB) Interactions
19. International Programs

# 1. Program Planning, Organization, and Management

*Covers the functions associated with program planning, organization, and management. Includes organizational structure, strategic and program planning, development of policies and procedures, and resource management.*

	Headquarters	Yucca Mountain Project	M&O Contractor
Organization	<ul style="list-style-type: none"> <li>Establish the OCRWM organizational structure including the organizational roles, responsibilities, authority, and accountability for key program functions.</li> <li>Implement the OCRWM organization at the HQ level.</li> </ul>	<ul style="list-style-type: none"> <li>Establish, document, and communicate roles, responsibilities, authority, and accountability of DOE personnel that report to the Yucca Mountain Project Manager.</li> <li>Implement the OCRWM organization at the project level.</li> </ul>	<ul style="list-style-type: none"> <li>Establish, document, and communicate roles, responsibilities, authority, and accountability of contractor personnel.</li> </ul>
Strategic and Program Planning	<ul style="list-style-type: none"> <li>Confirm mission and establish strategic objectives.</li> <li>Establish upper tier milestones.</li> <li>Integrate and compile strategic and program plans.</li> <li>Establish performance objectives and performance metrics.</li> </ul>	<ul style="list-style-type: none"> <li>Confirm project mission and establish strategic objectives to support program mission.</li> <li>Develop the project plans to accomplish program objectives and milestones.</li> <li>Communicate performance objectives and performance metrics.</li> </ul>	<ul style="list-style-type: none"> <li>Support development of strategic and program plans.</li> <li>Plan, schedule, and prioritize work and implement plan to meet performance objectives and performance metrics.</li> </ul>
Policies and Procedures	<ul style="list-style-type: none"> <li>Establish requirements and policies for OCRWM program.</li> <li>Interface on policy issues with top management, outside agencies, and stakeholders.</li> <li>Develop and implement HQ project procedures.</li> <li>Resolve policy issues elevated by program participants.</li> </ul>	<ul style="list-style-type: none"> <li>Support HQ policy development.</li> <li>Communicate requirements and policies to contractor.</li> <li>Develop and implement YMP project procedures.</li> <li>Elevate issues requiring management attention.</li> </ul>	<ul style="list-style-type: none"> <li>Develop and implement contractor project procedures to meet policy and program requirements.</li> <li>Elevate issues requiring management attention.</li> </ul>
Resource Planning	<ul style="list-style-type: none"> <li>Allocate DOE personnel resources for OCRWM program.</li> <li>Issue staffing guidance for HQ and Project Office staff.</li> <li>Establish policy for training of DOE and contractor personnel on OCRWM program.</li> <li>Implement training for HQ personnel.</li> </ul>	<ul style="list-style-type: none"> <li>Allocate DOE personnel resources within Project Office.</li> <li>Implement DOE personnel guidance.</li> <li>Define and communicate training requirements.</li> <li>Implement training for YMP personnel.</li> </ul>	<ul style="list-style-type: none"> <li>Manage resources and execute contract within approved baselines.</li> <li>Implement training program for contractor personnel.</li> </ul>

## 2. Licensing and Regulatory Interactions

*Includes activities involved with licensing the Yucca Mountain Repository. This involves development and submittal of the license application to the Nuclear Regulatory Commission (NRC), supporting NRC review and submitting subsequent amendment requests, communications with the NRC, and coordination of program participation in licensing hearings and other interactions with NRC required to facilitate timely submittal and approval of the license application. This area also includes regulatory compliance activities associated with NRC assessments of DOE activities.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>License Application Development and Licensing Support</b>	<ul style="list-style-type: none"> <li>• Develop policy and approve overall strategy and plan, including schedule, for license application, Licensing Support Network (LSN), support for NRC review, and subsequent license amendment for operation.</li> <li>• Conduct independent milestone reviews of license application development and subsequent licensing support activities.</li> <li>• Act as primary point of contact with DOE General Counsel (GC-1) on licensing related matters.</li> <li>• Submit license application and subsequent amendment requests to NRC.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide technical direction and review and approve contractor strategy and plan for preparation of license application and LSN.</li> <li>• Review and approve contractor responses to licensing issues.</li> <li>• Monitor contractor performance against approved plans and direct corrective actions when necessary.</li> <li>• Define and implement process for DOE acceptance of contractor prepared license application.</li> <li>• Coordinate and interface with General Counsel staff in the preparation of licensing-related information.</li> </ul>	<ul style="list-style-type: none"> <li>• Prepare strategy, plan, and schedule for preparation of license application.</li> <li>• Manage and perform work scope to meet LSN requirements.</li> <li>• Prepare responses to licensing issues.</li> <li>• Prepare license application and supporting information.</li> <li>• Integrate license application input from the national labs and U.S. Geological Survey (USGS).</li> </ul>
<b>Communication Regarding License Application and Licensing Support</b>	<ul style="list-style-type: none"> <li>• Communicate with NRC and other agencies at top management levels on matters related to obtaining a repository license.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish protocol for communications with regulatory agencies and licensing hearing boards.</li> <li>• Conduct day-to-day interactions (verbal and written) with NRC (and other agency) management and staff.</li> <li>• Coordinate with HQ on licensing policy-related issues.</li> <li>• Conduct meetings with the NRC and approve and submit commitments and correspondence to NRC.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide technical expertise and input for interactions with NRC, other regulatory agencies, licensing boards, and external oversight groups.</li> <li>• Coordinate with YMP on licensing policy-related issues.</li> </ul>

### 3. Performance Assessment and Performance Confirmation

*Covers activities associated with conducting total system performance assessment per regulatory requirements on DOE approved repository design concept. Also involves conducting necessary testing and analysis as input to performance assessment and performance confirmation.*

	<b>Headquarters</b>	<b>Yucca Mountain Project</b>	<b>M&amp;O Contractor</b>
<b>Performance Analysis for License Application and Subsequent Amendments</b>	<ul style="list-style-type: none"> <li>• Direct independent advisory reviews by scientific experts and direct actions to address findings.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop strategy and provide technical direction for the conduct of performance assessment and performance confirmation activities.</li> <li>• Approve performance confirmation program elements.</li> <li>• Oversee contractor preparation of performance assessment and performance confirmation activities and approve total system performance assessment acceptance criteria.</li> <li>• Review and accept contractor prepared performance assessment.</li> <li>• Defend technical and regulatory adequacy of performance confirmation and performance assessment results and criteria in licensing proceedings.</li> <li>• Present the technical bases for performance confirmation and performance assessment to external oversight groups (e.g., Nuclear Waste Technical Review Board).</li> </ul>	<ul style="list-style-type: none"> <li>• Develop and implement performance confirmation program.</li> <li>• Conduct tests and analyses for performance confirmation and performance assessment that meet or exceed regulatory requirements.</li> <li>• Develop total system performance assessment acceptance criteria as license application input.</li> <li>• Support the defense of technical and regulatory adequacy of performance confirmation and performance assessment results and criteria in licensing proceedings.</li> <li>• Support presentation of technical bases for performance confirmation and performance assessment to external oversight groups.</li> </ul>

## 4. Repository Design

*Covers activities associated with repository design.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Design Definition and Control</b>	<ul style="list-style-type: none"> <li>• Approve Critical Decision (CD)-1 package (preliminary baseline).</li> <li>• Present CD-1 package to Energy Systems Acquisition Advisory Board (ESAAB) for Secretarial Acquisition Executive (SAE) approval.</li> </ul>	<ul style="list-style-type: none"> <li>• Define requirements for CD-1 package and prepare Project Execution Plan.</li> <li>• Review and approve CD-1 package.</li> <li>• Approve and maintain Level-2 technical baseline.</li> <li>• Communicate to HQ on potential design-related changes and issues that have policy or system implications.</li> </ul>	<ul style="list-style-type: none"> <li>• Prepare Conceptual Design Report (CDR) and support preparation of Project Execution Plan and other CD-1 documents as directed.</li> <li>• Design repository (systems and subsystems) to meet DOE, regulatory, and technical requirements. Execute design activities on a day-to-day basis.</li> <li>• Document technical baseline associated with the design.</li> <li>• Control changes to design in contractor configuration management system.</li> <li>• Communicate to YMP on potential design-related changes and issues that have policy or system implications.</li> </ul>
<b>Design Integration</b>	<ul style="list-style-type: none"> <li>• Monitor design requirements for DOE and utility spent nuclear fuel and high-level waste.</li> </ul>	<ul style="list-style-type: none"> <li>• Interface with national spent nuclear fuel programs and provide input to contractor.</li> </ul>	<ul style="list-style-type: none"> <li>• Integrate M&amp;O, laboratory, USGS, and subcontractor design products and scientific evaluations.</li> <li>• Accommodate inputs from national spent nuclear fuel program.</li> <li>• Integrate waste acceptance and transportation requirements into design, safety analysis, and operations.</li> </ul>
<b>Design Evaluation</b>	<ul style="list-style-type: none"> <li>• Perform program assessment of risks, integration, and technical and costs issues.</li> </ul>	<ul style="list-style-type: none"> <li>• Perform project assessment of risks, integration, and technical and cost issues.</li> <li>• Participate with contractor on value engineering studies and design reviews.</li> </ul>	<ul style="list-style-type: none"> <li>• Perform design authority responsibilities.</li> <li>• Perform design reviews (e.g., conceptual, preliminary, final).</li> <li>• Conduct value engineering studies.</li> </ul>



## 6. Quality Assurance

*Covers the full range of quality assurance (QA) and quality management functions on the OCRWM program. This includes development of QA requirements and plans and implementation of QA activities such as audits, assessments, inspections, surveillance, nonconformance control, corrective action, and continuous improvement programs.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Quality Assurance Program</b>	<ul style="list-style-type: none"> <li>• Has overall responsibility for establishment and successful execution of OCRWM QA program.</li> <li>• Establish an independent QA organization that reports to the Director.</li> <li>• Establish and maintain QA requirements in a Quality Assurance Requirements and Description (QARD) document.</li> <li>• Perform independent surveillances and compliance audits to ensure QARD requirements are implemented.</li> <li>• Perform independent performance-based surveillances and audits.</li> <li>• Ensure EM and NE waste acceptance quality assurance requirements are implemented and verified.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure implementation of OCRWM QARD requirements.</li> <li>• Provide direction for M&amp;O contractor QA work activities.</li> <li>• Support OCRWM QA program by conducting reviews, verification, and checking.</li> <li>• Monitor to ensure surveillance and audit findings are addressed and dispositioned.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop, implement, and manage a QA program that meets QARD requirements.</li> <li>• Establish an independent QA organization that reports to the M&amp;O contractor President and General Manager.</li> <li>• Ensure QA requirements are implemented in project activities.</li> <li>• Perform quality engineering to ensure QA requirements are being incorporated into work products.</li> <li>• Perform surveillances, audits, assessments, independent oversight, and quality control inspections to ensure compliance with contractor QA program with respect to procedure requirements, design drawings, and specifications.</li> </ul>
<b>Corrective Action Program</b>	<ul style="list-style-type: none"> <li>• Administer Corrective Action Program.</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor to ensure corrective actions are implemented on a timely basis and trends indicate effectiveness of the program.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify conditions adverse to quality and implement corrective actions.</li> <li>• Identify, trend, and correct conditions adverse to quality.</li> <li>• Verify effectiveness of corrective actions.</li> <li>• Perform self-assessments to improve work practices.</li> </ul>

## 7. Waste Acceptance

*Encompasses all activities required to maintain existing Standard Contracts and data collection related to waste acceptance. Also includes activities supporting the legal and physical transfer of spent fuel and high-level radioactive waste to the Federal Government and definition of waste acceptance requirements for DOE program offices such as the Office of Environmental Management (EM) and Office of Nuclear Energy (NE).*

	<b>Headquarters</b>	<b>Yucca Mountain Project</b>	<b>M&amp;O Contractor</b>
<b>Waste Criteria</b>	<ul style="list-style-type: none"> <li>• Establish waste acceptance requirements for project (repository and transportation).</li> </ul>	<ul style="list-style-type: none"> <li>• Support HQ waste acceptance requirements development.</li> <li>• Oversee contractor activities to meet waste acceptance requirements.</li> </ul>	<ul style="list-style-type: none"> <li>• Manage and perform waste acceptance program activities.</li> <li>• Provide input to Project Office and HQ regarding waste acceptance requirements for waste generators and providers.</li> </ul>
<b>Waste Acceptance Interface</b>	<ul style="list-style-type: none"> <li>• Manage and administer utility contracts (financial, logistics, scheduling, litigation).</li> <li>• Act as sole program interface with utility contract holders.</li> <li>• Act as sole program interface with EM, NE, and the National Nuclear Security Administration (NNSA) regarding DOE waste materials.</li> </ul>	<ul style="list-style-type: none"> <li>• Support HQ interactions with utility contract holders, EM, NE, and NNSA regarding spent nuclear fuel and high-level waste materials.</li> </ul>	<ul style="list-style-type: none"> <li>• Support DOE interactions with utility contract holders, EM, NE, and NNSA regarding spent nuclear fuel and high-level waste materials.</li> </ul>

## 8. Transportation

*Addresses all activities associated with transportation systems, components, and functions.*

	Headquarters	Yucca Mountain Project	M&O Contractor
National and State-level Transportation Programs	<ul style="list-style-type: none"> <li>• Establish strategy, define requirements, and develop integrated policies and plans for transportation program.</li> <li>• Authorize budget for transportation program.</li> <li>• Oversee implementation of HQ policy and requirements for transportation program.</li> <li>• Establish Nevada transportation policy/requirements.</li> <li>• Manage national transportation service contracts.</li> <li>• Monitor contractor performance of activities supporting national transportation program.</li> <li>• Manage 180(c) activities (training for transportation emergency response)</li> <li>• Manage regulatory interface for transportation activities.</li> <li>• Is responsible for National Environmental Policy Act (NEPA) activities related to transportation.</li> </ul>	<ul style="list-style-type: none"> <li>• Support HQ policy development and implementing processes.</li> <li>• Prepare and submit transportation budget request for Nevada transportation program to DOE National Transportation Program Manager.</li> <li>• Manage Nevada transportation program that reports to DOE National Transportation Program Manager.</li> <li>• Monitor contractor performance of activities supporting Nevada transportation program.</li> </ul>	<ul style="list-style-type: none"> <li>• Support national transportation program and Nevada transportation program as directed.</li> </ul>

## 9. Site Operations

*Covers support to field testing activities, utilities, property management and maintenance, on-site transportation, on-site construction and engineering design, and waste management (e.g., Resource Conservation Recovery Act (RCRA), sanitary, sewer) activities.*

	<b>Headquarters</b>	<b>Yucca Mountain Project</b>	<b>M&amp;O Contractor</b>
<b>Facility and Site Operations</b>	<ul style="list-style-type: none"> <li>• Establish expectations for facility and site operations.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish site operations requirements and metrics.</li> <li>• Review and approve contractor work scope as necessary to ensure site operations meet program requirements.</li> <li>• Monitor execution of contractor work performance against approved work plans and contract requirements.</li> <li>• Ensure site operations comply with applicable Federal, state, and local requirements.</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct facility and site operations activities (including facility/site operations and maintenance; facility design and construction; and infrastructure support) in accordance with contract requirements.</li> <li>• Interface with Nevada Test Site for infrastructure services.</li> <li>• Manage the on-site transportation program for hazardous waste.</li> <li>• Implement facility, property, vehicle, capital asset, and labor management requirements.</li> <li>• Implement effective work planning and control processes to ensure work is properly planned and executed in accordance with safety and quality requirements as well as applicable Federal, state, and local requirements.</li> </ul>

## 10. Environment, Safety, and Health (ES&H)

*Includes all program activities required to ensure environmental protection and health and safety of workers and the public. Includes development of National Environmental Policy Act (NEPA) documentation, environmental monitoring, safety analysis, and Integrated Safety Management program requirements.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Environmental and Regulatory Compliance</b>	<ul style="list-style-type: none"> <li>• Has overall responsibility for establishment and successful execution of OCRWM ES&amp;H programs.</li> <li>• Perform independent oversight and audits to ensure ES&amp;H requirements are implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure implementation of ES&amp;H requirements for all project activities.</li> <li>• Obtain applicable environmental permits for the project.</li> <li>• Maintain agreements with Federal and state agencies.</li> <li>• Approve NEPA documentation, oversee NEPA activities at the project, and provide primary liaison to DOE/HQ Office of Environment, Safety, and Health.</li> </ul>	<ul style="list-style-type: none"> <li>• Implement ES&amp;H requirements in project operations.</li> <li>• Perform activities necessary to satisfy environmental compliance requirements and support YMP in obtaining environmental permits and agreements.</li> <li>• Support YMP in ensuring project activities are within environmental baseline.</li> </ul>
<b>Safety and Health</b>	<ul style="list-style-type: none"> <li>• Establish policy, expectations, and performance metrics for an Integrated Safety Management System (ISMS).</li> <li>• Monitor effectiveness of ISMS for OCRWM program.</li> <li>• Stop work if a clear and present safety danger exists.</li> </ul>	<ul style="list-style-type: none"> <li>• Verify effectiveness of ISMS through verification reviews and self-assessments to ensure metrics are in the acceptable range and are either stable or improving.</li> <li>• Perform all duties associated with the Authority Having Jurisdiction (AHJ) (e.g., electrical safety and fire protection).</li> <li>• Maintain operational oversight of the contractor's activities and report potential or existing dangers to DOE line management.</li> <li>• Stop work if a clear and present safety danger or a risk for a catastrophic release to the environment exists and promptly notify the OCRWM Director and issue other required notifications.</li> </ul>	<ul style="list-style-type: none"> <li>• Implement an ISMS.</li> <li>• Develop, implement, and maintain programs for industrial safety and health protection, radiological protection, and emergency management.</li> <li>• Establish, implement, and maintain a hazard identification and control program.</li> <li>• Stop work if a clear and present safety danger or a risk for a catastrophic release to the environment exists and promptly notify YMP Manager and other required notifications.</li> </ul>

## 11. Safety-Conscious Work Environment (SCWE)

*Covers activities associated with developing, managing, and maintaining a Safety-Conscious Work Environment (SCWE).*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Safety-Conscious Work Environment</b>	<ul style="list-style-type: none"> <li>• Establish the vision and expectations for a Safety-Conscious Work Environment (SCWE).</li> <li>• Monitor SCWE implementation on OCRWM program.</li> </ul>	<ul style="list-style-type: none"> <li>• Define the requirements for a Safety-Conscious Work Environment for the YMP and monitor the contractor's implementation of SCWE.</li> <li>• Establish and maintain a SCWE for the YMP.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish and maintain a Safety-Conscious Work Environment to meet DOE requirements.</li> </ul>

## 12. Systems Analysis and Integration

*Covers the analysis and integration of cross-cutting issues and requirements that impact overall program performance, cost, or schedule. Includes systems analysis, alternative studies, and budget modeling.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>System Studies</b>	<ul style="list-style-type: none"> <li>• Develop the cross-cutting technical, cost, operational, performance, and schedule system studies and analyses that are needed for assessing impacts on Administration and program priorities.</li> <li>• Establish and approve performance metrics for contractor implementation of the approved list of system studies.</li> <li>• Provide oversight of overall system studies and analyses.</li> </ul>	<ul style="list-style-type: none"> <li>• Support HQ development of system studies and analyses.</li> <li>• Assist in monitoring and oversight of contractor, as it relates to the system study products.</li> <li>• Communicate to HQ on emerging issues that have policy or system implications.</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct cross-cutting technical, cost, operational, performance, and schedule system studies and analyses that are needed for analyzing impacts on Administration and program priorities in accordance with performance metrics.</li> <li>• Communicate to YMP on emerging issues that have policy or system implications.</li> </ul>

### 13. Procurement and Contract Management

*Covers all activities associated with procurement of materials, supplies, and services on the OCRWM program. Includes acquisition planning, procurement, and contract management functions.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Acquisition Planning and Procurement</b>	<ul style="list-style-type: none"> <li>• Set program acquisition strategy.</li> <li>• Manage program acquisition planning.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide input to acquisition plans for project.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide input to acquisition plans for project.</li> </ul>
	<ul style="list-style-type: none"> <li>• Provide acquisition and financial assistance support and guidance for contracts, grants and cooperative agreements; direct payments to state and local governments; small purchases; and government purchase cards.</li> <li>• Approve scope of work and contract terms and conditions for prime contractors.</li> <li>• Establish procurement authority and threshold approval levels for program participants. Procure services and supplies within designated procurement authority. Review and approve procurement actions above Contracting Officer threshold.</li> <li>• Serve as OCRWM Head of Contracting Authority/ Contracting Officer.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop scope of work for prime contractors. Propose changes to existing work scope and/or contract terms and conditions.</li> <li>• Provide Contracting Officer Representative to direct and oversee contractor work.</li> <li>• Develop contract requirements and provide technical direction to contractors.</li> <li>• Assist in monitoring and oversight of contractors.</li> </ul>	<ul style="list-style-type: none"> <li>• Plan and perform work in accordance with contract requirements.</li> <li>• Propose and provide input on DOE proposed contract provision changes.</li> <li>• Procure services and supplies within designated procurement limits and authority.</li> <li>• Evaluate technical direction and guidance against contract requirements and notify Contracting Officer and YMP management of potential changes in work scope.</li> <li>• Report cost, schedules, and progress per reporting requirements.</li> </ul>
<b>M&amp;O Work and Award Fee</b>	<ul style="list-style-type: none"> <li>• Issue work authorization directives for M&amp;O contract.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide input for work authorization directives.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide input and assistance in determining content of work authorization directives.</li> <li>• Execute work authorization plan.</li> </ul>
	<ul style="list-style-type: none"> <li>• Administer M&amp;O award fee and conducts fee negotiation.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide input to award fee determination.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide self-assessment input for consideration in award fee determination.</li> <li>• Conduct fee negotiations and provide input when the basis for award fee changes.</li> </ul>

## 14. Budget and Financial Management

*Addresses budget development, funds management, and other financial management issues. Includes development and review of Total System Life Cycle Cost (TSLCC) estimates; development of Fee Adequacy Reports; processing, review, and verification of utility fee payment data; and development of revenue projections. Incorporates data from systems analysis and integration function to develop budget and cost estimates.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Budget Development and Management</b>	<ul style="list-style-type: none"> <li>• Set programmatic priorities and issue budget formulation guidance early in budget cycle.</li> <li>• Review budget requests.</li> <li>• Conduct independent benchmarking/validation activities.</li> <li>• Develop OCRWM budget.</li> <li>• Defend budget during interactions within DOE, and with the Office of Management and Budget (OMB) and the Congress.</li> <li>• Issue initial budget guidance and approve prioritized work scope, consistent with the budget. Allocate appropriated budget and provide funding guidance.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide direction to contractors to develop work planning input.</li> <li>• Develop recommended budget request consistent with guidance and priorities and submit to HQ.</li> <li>• Review and validate contractor budget input.</li> <li>• Support HQ interactions on budget issues.</li> <li>• Allocate assigned budget.</li> <li>• Review multi-year and annual work plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop work planning input as directed.</li> <li>• Implement a system to manage available funds with fiscal year budgets and estimate-at-completion forecasts.</li> <li>• In consultation with DOE, recommend cost/schedule improvements where appropriate.</li> <li>• Support DOE interactions on budget issues.</li> <li>• Develop, maintain through baseline management, and execute multi-year annual work plans.</li> <li>• Report financial accounting results to DOE.</li> </ul>
<b>Nuclear Waste Fund Management and Fee Adequacy Analysis</b>	<ul style="list-style-type: none"> <li>• Establish investment plan and program policy on Nuclear Waste Fund investments.</li> <li>• Establish requirements (including timing) for updating the Total System Life Cycle Cost (TSLCC) and fee adequacy analysis.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide technical direction to contractor on fee adequacy analysis.</li> </ul>	<ul style="list-style-type: none"> <li>• Acquire financial data and simulate investment process for Nuclear Waste Fund to support fee adequacy analysis.</li> <li>• Provide major updates to the TSLCC, based on program Critical Decisions, and more frequent updates through the trend process in support of what-if studies and fee adequacy analysis.</li> </ul>

## 15. Program Monitoring and Control

*Covers activities associated with the process controls applied to: 1) Level-0, 1, 2, and 3 cost baselines; 2) Level 0, 1, 2, and 3 schedule baselines; 3) Level 1, 2, and 3 requirements (see functional area 5), and 4) Level 2 and 3 technical baselines (see functional area 4).*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Performance Objectives</b>	<ul style="list-style-type: none"> <li>• Establish OCRWM Program performance objectives and performance metrics.</li> <li>• Ensure compliance with policies and procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Communicate and monitor contractor performance objectives and performance metrics.</li> <li>• Monitor to ensure compliance with policies and procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct activities to meet performance objectives and performance metrics.</li> <li>• Monitor to ensure compliance with policies and procedures.</li> </ul>
<b>Baseline Control</b>	<ul style="list-style-type: none"> <li>• Develop and communicate policy requiring development and maintenance of a Program baseline.</li> <li>• Establish cost and schedule reporting and change thresholds for Level-0 (Secretarial approval), Level-1 (RW-1 approval), and Level 2 (YMP Project Manager approval), and Level 3 (contractor approval) changes.</li> <li>• Prepare procedure to implement Level-0 and Level-1 changes.</li> <li>• Establish Level-0 and Level-1 Change Control Boards. Chair Baseline Change Control Board for Level-0 and Level-1 changes.</li> <li>• Conduct program reviews and monitor key performance indicators for program at least quarterly.</li> <li>• Provide program and policy direction based on YMP monitoring results and baseline reviews.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish contractor reporting requirements.</li> <li>• Report on technical, cost, and schedule performance and variances per established requirements.</li> <li>• Provide “early alert” reports to HQ on emerging/sensitive issues. Prior to submittal of baseline change proposal, communicate any policy implications to HQ.</li> <li>• Prepare procedure to implement Level-2 (YMP Project Manager approval) changes.</li> <li>• Establish Level-2 Change Control Board. Chair Baseline Change Control Board for Level-2 changes.</li> <li>• Monitor cost, schedule, and technical performance; oversee corrective actions where necessary.</li> <li>• Provide routine reports on project performance to HQ.</li> <li>• Support baseline reviews and baseline validations.</li> </ul>	<ul style="list-style-type: none"> <li>• Document a baseline management plan/procedure. Develop and maintain the life cycle baseline control documents (scope, cost, and schedule).</li> <li>• Report on technical, cost, and schedule performance and variances per contract requirements.</li> <li>• Provide “early alert” reports to Project Manager on emerging issues and trends.</li> <li>• Manage ongoing trends analysis program.</li> <li>• Prepare contractor procedure to implement Level-3 and Level-4 changes.</li> <li>• Establish Level-3 Change Control Board. Chair Baseline Change Control Board for Level-3.</li> <li>• Maintain required records to document and track scope, cost, and schedule baseline changes.</li> <li>• Manage day-to-day technical, cost, and schedule performance to established baselines. Identify and perform corrective actions where necessary.</li> <li>• Prepare risk management plan and procedures and manage risk through risk mitigation plans.</li> <li>• Provide routine reports on project performance to YMP.</li> <li>• Support external baseline reviews and validations.</li> </ul>

## 16. Information Management

*Includes information systems and network support, information security, data management, document development and control, and records management.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Information Systems and Data Management</b>	<ul style="list-style-type: none"> <li>• Develop policies for cyber security and information management requirements.</li>   <li>• Conduct program reviews to monitor compliance with policies.</li>   <li>• Ensure cost effectiveness of information management approach.</li>   <li>• Coordinate with DOE Chief Information Officer and other Federal agencies relative to information management activities.</li>   <li>• Ensure compliance with President's Management Agenda regarding e-gov.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish requirements for OCRWM Program information management activities consistent with HQ policies.</li>   <li>• Manage Federal information technology resources including Federal computer and network security.</li>   <li>• Monitor contractor development and implementation of information management activities.</li>   <li>• Develop long-term planning and information technology capital investment strategy for OCRWM.</li>   <li>• Define OCRWM information management standards.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop plans and procedures to implement information management systems that meet DOE requirements.</li>   <li>• Implement a secure information management system that includes hardware, software configuration, and business applications. Manage information security practices for the contractors.</li>   <li>• Perform self-assessments to evaluate performance and identify corrective actions to ensure effectiveness.</li>   <li>• Support planning and assessment of information technology needs.</li>   <li>• Support definition and implementation of OCRWM information management standards.</li>   <li>• Maintain program records and controlled documents.</li>   <li>• Operate and maintain document production.</li> </ul>

## 17. External Communication and Stakeholder Involvement Programs

*Includes communications with parties external to the program, including members of Congress; Federal, State, and local government; Indian tribes; the public; and other stakeholders. Includes outreach, public information, and stakeholder involvement as well as institutional and intergovernmental programs.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>Public Affairs</b>	<ul style="list-style-type: none"> <li>• Serve as primary spokesperson for the program.</li> <li>• Serve as primary interface between the Office of the Secretary and DOE Office of Public Affairs.</li> <li>• Establish roles and responsibilities for public affairs activities for HQ, Project Office, and M&amp;O contractor.</li> <li>• Establish policy guidelines for interactions with national and local media, intergovernmental groups, and stakeholders.</li> <li>• Establish strategic plans and policies for addressing external communications and stakeholder involvement.</li> </ul>	<ul style="list-style-type: none"> <li>• Implement RW-1 policies for project communications.</li> <li>• Serve as spokesperson to local Nevada media on behalf of RW-1.</li> <li>• Serve as spokesperson to Nevada counties and local Indian tribes.</li> <li>• Advise OCRWM Director of emerging media issues.</li> <li>• Report to RW-1 on interactions with media.</li> <li>• Coordinate communications between HQ and project site public affairs activities.</li> <li>• Implement RW-1's media strategy and policies.</li> <li>• Conduct public affairs activities such as meetings and development of press releases and displays/exhibits for the public.</li> <li>• Implement strategic plans and policies in accordance with budget and schedule.</li> </ul>	<ul style="list-style-type: none"> <li>• Support DOE external communication and stakeholder involvement programs in accordance with RW-1 policies.</li> <li>• Advise Project Manager of emerging media issues.</li> <li>• Provide analysis to address media inquiries as directed.</li> <li>• Support public affairs activities such as meetings and development of press releases and displays/exhibits for the public.</li> <li>• Support external communication and stakeholder involvement programs.</li> </ul>
<b>Institutional and Intergovernmental</b>	<ul style="list-style-type: none"> <li>• Establish budget and priorities for intergovernmental activities.</li> <li>• Oversee awarding of financial assistance and cooperative agreements.</li> <li>• Monitor and manage cooperative agreements.</li> </ul>	<ul style="list-style-type: none"> <li>• Support intergovernmental activities in accordance with HQ guidance.</li> <li>• Review and report proposals for financial assistance and cooperative agreements.</li> </ul>	<ul style="list-style-type: none"> <li>• Support institutional and intergovernmental programs as directed.</li> </ul>

## 18. Nuclear Waste Technical Review Board (NWTRB) Interactions

*Covers all interactions and supporting activities associated with the NWTRB.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>NWTRB Oversight</b>	<ul style="list-style-type: none"> <li>• Establish policy and guidelines for interactions and resolutions of technical issues raised by the NWTRB.</li> <li>• Communicate policy and expectations.</li> <li>• Serve as primary spokesperson to the NWTRB.</li> <li>• Establish schedule and priority for responses.</li> <li>• Interface with Secretary, Congress, and OMB on NWTRB issues.</li> </ul>	<ul style="list-style-type: none"> <li>• Oversee contractor work activities associated with responding to NWTRB issues.</li> <li>• Approve work prioritization on NWTRB issues proposed by contractor.</li> <li>• Advise and alert Director of emerging issues and conditions.</li> <li>• Coordinate NWTRB meetings.</li> <li>• Track progress on priorities.</li> <li>• Monitor and report on Board-related activities.</li> </ul>	<ul style="list-style-type: none"> <li>• Support development of responses to NWTRB issues as directed by the YMP.</li> <li>• Prioritize work activities within the license application schedule based on risk analysis and ranking.</li> <li>• Provide technical analysis, engineering design, schedule data, and other information in response to Board inquiries as directed by the YMP.</li> <li>• Support NWTRB meetings.</li> </ul>

## 19. International Programs

*Covers international program initiatives that are undertaken as part of the OCRWM program mission.*

	Headquarters	Yucca Mountain Project	M&O Contractor
<b>International Interfaces</b>	<ul style="list-style-type: none"> <li>• Establish policy for international programs.</li> <li>• Develop and manage an international program by developing requirements and representing OCRWM in international activities, policy development, and bilateral and multilateral agreements.</li> <li>• Manage foreign visits, assignments, and travel.</li> </ul>	<ul style="list-style-type: none"> <li>• Support HQ international programs.</li> </ul>	<ul style="list-style-type: none"> <li>• Support international programs.</li> </ul>

Enclosure 8

**Summary of Phase 2 Activities  
to Clarify Roles, Responsibilities, Authority, and Accountability  
within the Office of Civilian Radioactive Waste Management  
(OCRWM) Program**

**September 30, 2002**



*U.S. Department of Energy  
Office of Civilian Radioactive Waste Management  
Washington, DC*

## INTRODUCTION

### Purpose

The purpose of this summary is to document and communicate the Phase 2 activities associated with the organizational realignment described in the OCRWM Program Manual.

### Background

The Program Manual is one of the required action items outlined in the Management Improvement Initiatives (PLN-CRW-AD-000009) submitted by OCRWM to the Nuclear Regulatory Commission in July 2002. The primary purpose of the Program Manual is to delineate a realignment of the OCRWM organization and clearly define the roles, responsibilities, authority, and accountability for program functions.

The OCRWM Program Manual, issued in August 2002, provides a foundation for realignment of the OCRWM organization to support the licensing process for Yucca Mountain. The management realignment activities outlined in the Program Manual are being implemented in three phases:

- **Phase 1**, which occurred in August 2002, focused on *what* the OCRWM Program needs to achieve. The Program Manual, issued as part of Phase 1, describes the OCRWM management principles and expectations and outlines the basic roles and responsibilities of the DOE Headquarters (HQ), the Yucca Mountain Project (YMP), and the Management and Operating (M&O) contractor for the project.
- **Phase 2** initiatives, conducted in September 2002, addressed *how* the organization will realign to perform the roles and responsibilities identified in Phase 1. Management processes and interfaces were identified for selected functional areas requiring further definition and management attention. Also during Phase 2, DOE clarified roles, responsibilities, authority, and accountability within the OCRWM organization to ensure commensurate authority accompanies assigned responsibilities.
- **Phase 3** will complete the full implementation of the organizational realignment described in the Management Improvement Initiatives. Phase 3 initiatives, scheduled for October 2002, will provide further definition of the OCRWM organizational structure with a focus on *who* is responsible for each function of the OCRWM Program. At the end of Phase 3, the Program Manual will be reissued to reflect the organizational structure, interfaces, refinements in functional areas, and roles and responsibilities of OCRWM Program participants.

Following is a summary of Phase 2 activities conducted within the OCRWM Program.

## SUMMARY OF PHASE 2 ACTIVITIES

Following the release of the Phase 1 Program Manual, the Director of the OCRWM Program held all-hands meetings for program participants in Las Vegas, Nevada and Washington, D.C. to communicate management expectations and key roles and responsibilities of program participants. Small group meetings were also conducted to facilitate communication regarding the objectives and content of the Program Manual.

OCRWM held a Management Improvement Initiatives meeting on September 18 and 19, 2002 to address and implement the Phase 2 activities outlined in the OCRWM Program Manual. Meeting participants included the OCRWM Program Director and managers from HQ, YMP, and the M&O contractor. The management team was assembled to work through the interfaces and implementing guidelines for functional areas of the program, including selected focus areas requiring further definition and management attention.

This summary highlights the management processes and focus areas addressed in Phase 2.

### MANAGEMENT PROCESSES

Management processes related to the organizational realignment were reviewed and discussed by the management team. Following are highlights of the key processes addressed.

- **Establishing requirements**

The management team discussed how requirements are defined and communicated. The Civilian Radioactive Waste Management (CRWM) Major System Management Policy (PLN-CRW-AD-000004) defines an integrated management system for program execution and contains a document hierarchy that shows how requirements flow down through the levels of the program structure (from HQ through the YMP to the M&O contractor) into the functional areas and products associated with the program. This document, (originally issued in April 1998 and revised in August 2000), is currently under revision and will be reviewed to ensure consistency with the OCRWM Program Manual and other management improvement initiatives.

Managers are expected to be cognizant of the regulatory, technical, and programmatic requirements associated with their assigned areas, to “do their homework” and clearly understand what they are managing, and to communicate requirements for each functional area so program participants understand what is required and how performance will be evaluated. As requirements are implemented, managers should place added emphasis on defining specific products and measurable outcomes associated with work processes and evaluating these products to ensure requirements are met. Program participants should know how their work relates to the products associated with each work area.

- **Assigning responsibilities and accountability**

As indicated in the Phase 1 Program Manual, managers have ownership and accountability for their assigned areas. Managers are expected to manage their assigned areas within their

designated authority. This includes clearly communicating roles, responsibilities, authority, and accountability to staff assigned to each area of the program. As assignments are made in each area, staff have a responsibility to keep management informed on the progress of assigned work including the need for help. When making assignments, managers also make a commitment to provide support and remove obstacles to ensure assigned activities are successful.

- **Communicating progress and resolving problems**

The management team discussed the importance of effective communication including communication between managers and staff, and communication across the program functions through defined interfaces to achieve program integration, coordination, and efficiency. The management team discussed ways to improve communication and elevate issues requiring attention in a timely manner. They discussed the importance of proactive planning including early issue identification and risk mitigation. Some of the standard communication methods that will be used include:

- Management meetings and communications (e.g., twice weekly project conference calls, project status reports, quarterly reviews, annual reviews, etc.)
- Staff meetings (required of all line managers)
- Discussion of performance indicators (including communication on the status and progress of management improvement initiatives, based on the specific effectiveness indicators that have been developed)

Quarterly program reviews were also discussed as a means of communication. The current focus of these reviews has been on cost and schedule performance; however, program reviews represent a good opportunity for program communication and information exchange on a broad range of issues and will be evaluated for ways to increase their overall effectiveness in this regard.

- **Administering and managing the Corrective Action Program**

As indicated in the Phase 1 Program Manual, RW-1 is responsible for establishing an independent Quality Assurance organization that reports to the OCRWM Director. This organization is the Office of Quality Assurance (OQA). The Director of OQA is assigned the responsibility and accountability for administration of a single OCRWM-wide Corrective Action Program and for monitoring its effectiveness. The M&O contractor is responsible for implementation and day-to-day management of the Corrective Action Program.

## FOCUS AREAS

The management team addressed the following focus areas that were identified in the Phase 1 OCRWM Program Manual as subjects for further definition and management attention:

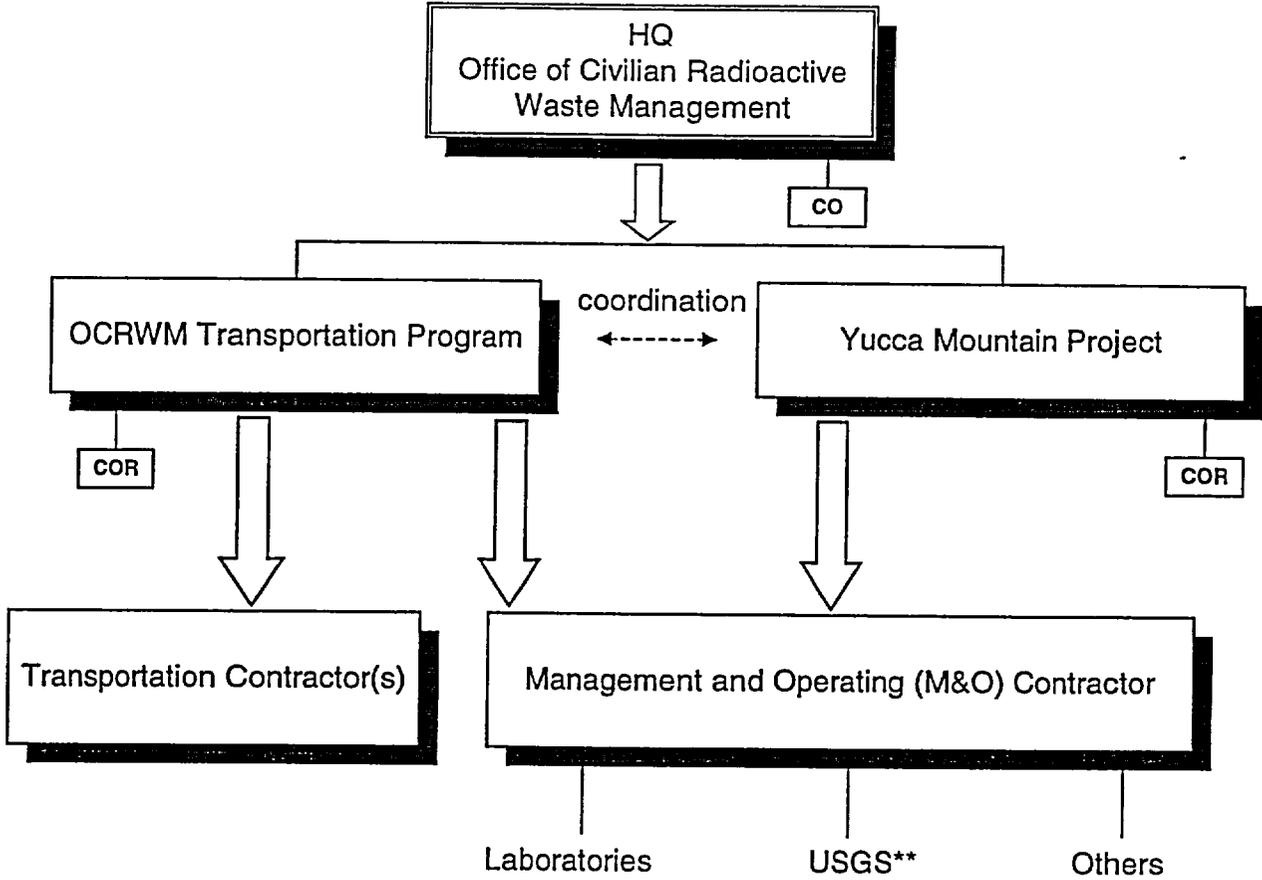
- Transportation
- Repository Design (including Systems Analysis and Integration)
- Baseline and Configuration Management, and
- Program Monitoring (emphasis on process for directing and overseeing work performed by the M&O contractor).

Key points from each focus area are presented below.

## TRANSPORTATION

- **Single transportation organization.** All activities associated with transportation will be organized under an OCRWM Transportation Program. This will facilitate integration and coordination of transportation-related activities throughout the OCRWM Program. The OCRWM Transportation Program will be managed as a project similar to the YMP. The Phase 3 Program Manual will capture refinements in functional area roles and responsibilities and flowdown of program direction, as summarized below.
  
- **Refined functional area description and roles and responsibilities.** Major activities within this program area include:
  - Continuing support by the M&O contractor for ongoing national transportation program activities
  - Development of a national transportation system
    - Will involve a new contract for the National Transportation Program (plans are to initiate this contract by early FY 2003)
    - Will develop a National Transportation Program Plan (currently scheduled to be completed by January 2003)
  - Training of emergency responders
  - Institutional programs (technical assistance to state and local government organizations and Indian Tribes)
  - Integration of transportation and repository requirements
  - Nevada Transportation Program (to be located at YMP)
    - Mode selection
    - Corridor selection
    - Design/build
    - NEPA compliance support (the NEPA compliance group will support the OCRWM Program on a matrix basis, as needed, including technical and schedule input to support transportation-related NEPA evaluations)
  
- **Separate Contracting Officer's Representative (COR).** A separate COR will be designated for the OCRWM Transportation Program. This individual will be authorized to provide direction to the contractors (M&O and others) supporting the transportation program. The Transportation COR and the COR for the YMP (DOE Project Manager) will coordinate to ensure appropriate communication and integration across program functions. The flow of contractor direction is depicted below:

### FLOWDOWN OF PROGRAM DIRECTION



\*NOTE: The M&O contractor coordinates and integrates work performed by the USGS, but does not administer the USGS agreement.

## REPOSITORY DESIGN (INCLUDING SYSTEMS ANALYSIS AND INTEGRATION)

- **DOE and M&O interface on design issues.** The M&O contractor is responsible for developing a repository design. The design basis is derived from the technical baseline. Although the M&O contractor has design responsibility, DOE must be cognizant of the design and retains authority to control certain elements of the design solution. To facilitate this process, DOE will develop a design specification that lists the required design characteristics and design features of interest. Design change approval thresholds will be established for YMP and HQ levels (at present, only cost and schedule thresholds are established for these levels). In addition, DOE will actively participate in design reviews to keep apprised of design-related issues.
- **Conceptual Design Report.** The project is developing a Conceptual Design Report (and project baseline documentation) that will be submitted to the DOE/HQ Energy Systems Acquisition Advisory Board (ESAAB) for Secretarial Acquisition Executive (SAE) approval as part of the Critical Decision-1 (CD-1) process. The CD-1 process is outlined in DOE Order 413.3, Program and Project Management for Acquisition of Capital Assets. The Conceptual Design Report must contain sufficient information to support CD-1 approval.
- **Design Change Control.** Changes to the design are controlled through the configuration management and baseline control processes detailed in program policy (see CRWM Major Systems Management Policy (PLN-CRW-AD-000004) as well as implementing documents at the project and M&O contractor levels. As noted above, the project is developing a design specification for items that will be controlled at the YMP and HQ levels. In addition, design change approval thresholds will be established for YMP and HQ.
- **Program direction based on systems analysis activities.** In addition to the systems studies performed by the M&O contractor as part of the design process, program level systems analysis and integration studies are conducted at the request of HQ to evaluate and assess total system impacts that may result from project activities and decisions in the various functional areas of the program. The results of systems analysis and integration studies can result in direction that affects repository design. In the past, less formality was required in this area since the project was in the pre-conceptual design phase. When the baseline is established after the CD-1 milestone, there will need to be more formality and rigor in the interactions between the systems analysis and design functions of the project. DOE direction to the M&O contractor to support system studies and/or to modify design approaches based on systems analysis results will flow through the DOE Project Manager for the YMP who is the designated COR. Design changes will be subject to formal processes for requirements management and configuration management.
- **Formal process for planning and executing systems-related studies.** DOE will develop a more formal process (including the use of a team review concept) to determine which studies are needed, as well as the extent of the studies to be performed. An annual plan will be developed that identifies the projected studies as well as anticipated needs for quick response analyses based on changes and developments that occur as the program proceeds.

## BASELINE AND CONFIGURATION MANAGEMENT

- **Upcoming CD-1 milestone.** As discussed under the repository design focus area, above, the project is preparing for an upcoming Critical Decision-1 (CD-1) milestone. This milestone establishes an approved preliminary baseline for the YMP and allows expenditure of specified funds for design. The project is currently developing several documents that will be submitted as part of the CD-1 package to the DOE/HQ Energy Systems Acquisition Advisory Board (ESAAB) for Secretarial Acquisition Executive (SAE) approval.
  - The management team agreed on expectations and actions for completing the CD-1 package. Development of the CD-1 package will require close coordination of program participants to update technical, cost and schedule baselines and establish project execution and risk management plans, for example.
  - The Conceptual Design Report was used as an example to illustrate the basic processes, interfaces, and roles and responsibilities of HQ, YMP, and the M&O contractor in preparing quality products that meet program requirements. This example is presented under the Program Monitoring focus area, later in this summary.
- **Relationship of baseline and configuration management.** The management team reviewed the processes used for baseline and configuration management.
  - The baseline management process ensures that the hierarchy of integrated technical, work scope, cost, and schedule components of the baseline are clearly defined and controlled at the appropriate level of authority, e.g., the DOE/HQ Energy Systems Acquisition Advisory Board (Level 0), the OCRWM Program Director (Level 1), the YMP Manager (Level 2), and the M&O contractor (Levels 3 and 4). These levels are further addressed in the Major Systems Management Policy (PLN-CRW-AD-000004) discussed earlier.
  - The configuration management process is used to manage the technical baseline and the configuration of the design and its interface with performance assessment.
- **Baseline change process.** Change authority thresholds for the technical, cost, and schedule baselines and the life cycle reference information were discussed and will be further reviewed to improve where needed. The baseline change process was also discussed and actions were assigned to identify areas for improvement. The management team discussed objectives to ensure that baseline reviews are conducted in a timely and efficient manner, that the right staff are involved at the right levels and times, and that issues are elevated in a timely manner (this includes discussing potential proposed changes prior to submitting formal baseline change proposals, as appropriate).
- **Follow-on briefings.** Responsibilities were assigned to develop briefings on the following topics to provide more detail to the management team. Briefings will be scheduled in the near future:
  - Technical baseline description
  - Risk informed, multi-year plan, and
  - Requirements management and configuration management processes.
- **Follow-on actions.** Follow-on actions were assigned to evaluate the baseline change control thresholds and recommend changes as needed.

## PROGRAM MONITORING

- The discussion in this focus area centered on the process that DOE HQ and YMP management and staff will use in directing and overseeing work performed by the M&O contractor.
- The DOE oversight function should focus on the products produced by the various work processes. The goal of the oversight function is to validate contractor earned value and ensure that quality products are produced that meet requirements and program objectives. The approach to program monitoring and oversight emphasizes:
  - Teamwork and communication
  - Clear definition and understanding of requirements and success criteria
  - Early identification of issues and risk mitigation (success) strategies, and
  - Timely interactions among the involved parties that add value to the end products.

### General Guidelines for DOE Staff Providing Oversight of the M&O Contractor

- Understand what you are monitoring including the requirements and how the resulting product will be evaluated.
- Identify success criteria and attributes, seeking out examples and expertise as needed.
- Get concurrence on the expectations and success criteria from all involved parties early on. This includes:
  - the M&O contractor who is tasked with developing the product,
  - YMP and HQ staff who review, oversee, and accept the product, and
  - Other DOE and/or external parties who provide input and/or who evaluate the product deliverables.
- Determine a monitoring schedule with reasonable check points. Opportunities to review outlines and early draft documents are recommended along with interim reviews at appropriate points in the document development cycle. YMP and HQ reviews can be conducted in parallel when needed to expedite and/or coordinate the review process.
- Elevate issues in a timely manner and develop and agree on an effective and timely conflict resolution process.
- Work with outside reviewers and stakeholders to obtain input and facilitate understanding and communication of key issues.

## PROGRAM MONITORING (Continued)

*The Conceptual Design Report was used as an example to illustrate the basic processes, interfaces, and responsibilities of HQ, YMP, and the M&O contractor in preparing quality products that meet program requirements. This example is presented below:*

1. The YMP Manager determines the need to develop a Conceptual Design Report and develops an understanding of what constitutes a quality product. This is accomplished by reading the relevant requirements, obtaining benchmarks and examples of Conceptual Design Reports that have been successful, seeking out expertise and advice as needed to identify key attributes of a quality product, and talking with other parties who are responsible for evaluating, reviewing, and/or approving the document to understand their evaluation criteria. For the Conceptual Design Report, this would include interactions with the DOE/HQ Office of Engineering and Construction Management (OECM) to establish expectations.
2. The YMP Manager instructs the M&O contractor to prepare the Conceptual Design Report and communicates the requirements and desired attributes. The YMP advises HQ of the requirements and establishes strategies and actions to achieve success.
3. The M&O contractor produces an annotated outline for approval and estimates the hours necessary to develop the document.
4. YMP and HQ coordinate within DOE for agreement on the outline (including interactions with RW-50 and the OECM, for example).
5. YMP approves the outline and sends a letter with direction to the M&O contractor.
6. The M&O contractor develops a schedule for producing the document including a schedule for DOE reviews (e.g., at 30%, 60%, and 90% complete). Generally, DOE will want to see an outline or draft document early on in order to understand the approach, evaluate if it is on course to meeting requirements and expectations, avoid surprises, and provide an opportunity for input in time to influence the outcome.
7. HQ, YMP, and the M&O contractor communicate to understand the status of the product through completion.
8. The M&O contractor develops the document, elevating issues and seeking clarification as needed.
9. YMP and HQ coordinate to ensure timely reviews and feedback to the M&O contractor. YMP develops an effective process for timely resolution of issues and conflicting opinions from the review process.
10. HQ, YMP, and the M&O contractor share information and lessons learned to achieve continuous improvement in project interactions and product deliverables.

Enclosure 9

## **MII Communication Process**

### **I. Purpose**

The purpose of this Process document is to define how the Management Improvement Initiatives (MII) will be communicated to program participants to facilitate timely and effective implementation. The communication process is intended to answer four questions: 1) why change is needed; 2) what it will look and feel like when the MII is successful; 3) how the MII's success will be realized and communicated; and 4) what each person can do to help the organization move forward.

### **II. Objectives**

The key objectives of this Process are to:

- A. Educate OCRWM program participants on the purpose, importance, vision, and content of the MII.
- B. Encourage acceptance of the MII as the way the OCRWM Program does business.
- C. Measure team member acceptance of the MII through various feedback mechanisms.

### **III. Audiences**

- A. The primary audience for this communication process consists of all OCRWM program participants, including employees of OCRWM headquarters (HQ), the Project Office for the Yucca Mountain Project (YMP), the M&O contractor—Bechtel SAIC Company, LLC (BSC), and all associated subcontractors, laboratories, and the USGS.
- B. Secondary audiences include, but are not limited to, other offices within the Department of Energy (DOE), the Nuclear Regulatory Commission (NRC), other regulatory agencies, and other external stakeholders.

### **IV. Roles and Responsibilities**

To be successful, MII implementation needs direct, continuing involvement by DOE and BSC senior management. Roles and responsibilities for implementing the Communication Process are described below:

**RW-1:** Define vision and urgency for the MII as it relates to a successful NRC license application. Take overall responsibility for development and implementation of the Communication Process.

OCRWM Managers and Supervisors: Support RW-1 in development and implementation of MII. Communicate MII with subordinates. Demonstrate support for MII. Encourage feedback and sharing of concerns regarding MII.

DOE & BSC Communications Organizations: Support development and implementation of the Communication Process. Develop communication products. Facilitate feedback mechanisms. Advise RW-1 and OCRWM management on necessary course corrections.

## V. Vision

By December 2004, OCRWM will demonstrate to the NRC that it can safely operate a repository by exhibiting a culture that has a track record of compliance.

The MII is the tool that will guide the development of that culture and the establishment of a track record of compliance.

## VI. Key issue

The key issue addressed by the MII communication process is the importance of the MII, and the consequences if it fails. In addition to the License Application, the NRC will evaluate OCRWM's culture. If employees do not adopt MII as the way of doing business, or if any improvements dictated by the MII fail, then the OCRWM Program fails and the impacts could be devastating to the program, the project, and the contractor:

## VII. Key messages

Key messages that will be communicated throughout the communication process include:

- A. OCRWM leadership owns the MII and is leading the MII effort.
- B. The MII is how OCRWM does business. It is not a short-term fix – it is a transformation to a new way of doing business.
- C. All employees have a stake in MII's success – their acceptance and adoption of MII is critical to the license application process and the program's future.
- D. If MII fails, or any part of MII fails, then OCRWM and its team members fail and the impacts to the program and its team members could be catastrophic.
- E. Implementation and success must be immediate in order to build a track record of compliance before license application in 12/04.
- F. Employee feedback is important, both to the communications effort and to

success of the MII.

### **VIII. Communication Elements**

Key elements to the success of the MII communication process are:

- A. Face-to-face communication by senior management to team members at all levels.
- B. A commitment by OCRWM leadership to implement the process and spend significant time coaching their organizations through the transition.
- C. Identification, participation, and support of change agents identified by RW-1. Visible championing of MII by change agents holding senior management positions.
- D. Input, cooperation, and participation from nuclear industry representatives.
- E. A clearly articulated vision that describes the role of MII, and how it will help OCRWM succeed.
- F. Information from OCRWM leadership and MII change agents that is consistent, timely, and open.
- G. Acknowledgment of the good work of the past.
- H. Identification of progress and the passing of symbolic boundaries such as reorganizations and procedure ownership.
- I. Opportunity for people to raise concerns or frustrations directly to the leaders. This means getting out—a lot!

### **IX. Products**

The following products will be developed as part of the communication process:

- A. A letter from RW-1 to program employees introducing MII and its importance, and linking to the electronic version of the MII document.
- B. All hands meetings at the Yucca Mountain Site, Las Vegas facilities, and OCRWM-HQ led by RW-1.
- C. A videotape of senior management presentation describing MII vision, values, and expectations.
- D. Regular updates – via established communication vehicles – to all project team members on progress to date, best practices, and areas needing attention.
- E. Posters with MII progress updates in OCRWM offices.
- F. Action plan-specific communications via established communication vehicles.
- G. Printed collateral (e.g. brochures) listing key objectives of MII that communicates the vision, values, key components, and expectations.
- H. A MII Web page available through program intranets to serve as a central point for the MII document, source documents, FAQs, and other materials.

- I. A MII e-mail address to facilitate feedback and act as the conduit for electronically disseminated messages.
- J. Brown bag lunches hosted by MII change agents to enhance face-to-face communication and facilitate feedback.

**X. Schedule**

The MII Communication Process will be implemented in three phases to allow for measurement of the Process's effectiveness and the ability to refine and modify the process based on feedback received.

<b>Phase One: Raise Awareness</b>		
<b>Strategy</b>		
Raise awareness among employees of the MII and its purpose, vision, expectations, and consequences.	Completion target	Actual completion date
<b>Implementation</b>		
BSC Today announcement from Ken Hess re: new BSC Employee Concerns Program manager	8/1/02	8/1/02
BSC Today message from Don Pearman re: importance of SCWE and links to RW-1 SCWE policy of 4/30/02 and YMSCO project manager letter of 4/30/02.	8/2/02	8/2/02
Overview of MII by Nancy Williams and SCWE by Dennis Sorensen at BSC quarterly managers and supervisors meeting.	8/6/02	8/6/02
Electronic announcement on development of new CIRS Web page (CAP) via BSC Today	8/9/02	8/9 /02
Portal article on Project management's path forward for Yucca Mountain	8/12/02	8/12/02
Distribute Quality brochure containing BSC Management Quality Policy at ZAP Day	8/14/02	8/14/02
Electronic announcement identifying Organizational Condition Coordinators for new CIRS system via BSC Today and OCRWM Announcements	8/15/02	8/15/02
Article in The Portal on the licensing process and MII's role in the process	8/21/02 issue	8/21/02
RW-1 letter to program employees introducing MII and its importance via e-mail and OCRWM Announcements	8/26/02	8/23/02
Electronic announcement of new CIRS CBT via BSC Today	8/26/02	8/26
SCWE training for managers, supervisors, and leads; introduction of MII to managers, supervisors, and leads as part of training	8/26–9/30/02 (12/2002)*	Sessions held 8/26-9/5/02. Additional sessions

		scheduled 9/24-26/02.
Provide access to MII document from YMP and BSC intranet home pages.	8/26/02	8/26/02
BSC Today message re: access to MII document from BSC intranet home page.	8/29/02	8/29/02
Electronic message re: launch of new CIRS Web site	9/3/02	9/3/02
BSC Today message from Ken Hess re: Employee Concern Program	9/5/02	9/5/02
RW-1 letter to all employees re: management expectations and R2A2s.	9/6/02	9/6/02
Conduct RW-1 all hands meeting at Yucca Mountain Site and Las Vegas facilities	9/17/02	9/17/02
Prepare MII Overview and Program Manual phase I fact sheets with talking points for RW-1 for all hands meeting.	9/9/02	9/9/02
Distribute Program Manual Phase 1 electronically; make manual available on intranet and in print	Week of 9/9/02	9/6/02
Develop and launch MII Web page rev. 1	9/17/02	9/17/02
Establish a MII e-mail account for distribution of electronic messages and employee feedback	Week of 9/9 (9/17)	In process.
Develop and distribute MII collateral materials	9/20	In process
Communicate "quick win" and progress stories via <i>The Portal</i>	Beginning 9/18 issue	Pending approval.
Publish article on Concerns programs in <i>The Portal</i>	9/18 issue	Pending approval.
Establish process and vehicles for updating program team members on MII progress	9/27	In process.
Publicize establishment of internal BSC mechanisms for reporting, investigating, and resolving employee concerns	9/2002*	Pending approval.
Distribute Program Manual Phase 2 electronically; make manual available on intranet and in print	10/1	Document completed 9/30; pending publication release approval
Develop and post FAQs to MII intranet site	10/1	
Orient DOE staff to realigned organization and associated R2A2s through various communications methods.	10/2002*	
Orient BSC staff to realigned organization and associated R2A2s through various communications methods.	10/2002*	
Schedule YMP brown bag lunches facilitated by change agents	10/31	
Schedule presentations at individual staff meeting by MII change agents	10/31	
Measure employee awareness of MII. Methods will include	10/31	

established assessment tools, feedback received, attendance at meetings, and response to messages.		

<b>Phase Two: Build Acceptance</b>		
<b>Strategy</b>		
Build team member acceptance of MII through refinement of messages based on employee feedback, demonstration of progress and success, and the identification and elimination of barriers.	Completion target	Actual completion date
<b>Implementation</b>		
Distribute Program Manual Phase 3 electronically; make manual available on intranet and in print	10/2002	
Conduct all hands meetings on MII progress, content of Program Manual Phase 3; and organization realignment; to be conducted by OCRWM leadership.	10/2002	
Report new and revised procedures that will be issued in compliance with OCRWM requirements; communicate related procedure training	Starting 11/2002*	

<b>Phase Three: Promote Adoption</b>		
<b>Strategy</b>		
Promote team members' adoption of MII principles as the way OCRWM does business. Continue refining messages based on employee feedback, demonstrating progress and success, and identifying and eliminating barriers.	Completion target	Actual completion date
<b>Implementation</b>		
Communicate establishment of MII training modules drawn from "Best Source"	2/2003	
Announce issuance of QARD Rev. 13	1/2003	
Announce the implementation of a single Corrective Action Program	2/2003*	
Communicate BSC's self assessment program, lessons learned program, and method for identifying and correcting adverse conditions	3/2003*	
Complete Self Assessment of MII communications	4/2003	
Announce completion of phased release of Rev 0 procedures; train team members to new Rev 0 procedures	6/2003	
Communicate results of SCWE evaluation by external SCWE expert group	8/2003	

## **XI. Effectiveness Measures**

The effectiveness of the MII Communication Process will be measured throughout implementation. Measurement methods will include assessments of how much of the MII message was received, understood and retained by members of the team.

Based on evaluations of the assessments, modifications to the MII Communication Process will be recommended.

A comprehensive Self Assessment on the MII Communication Process will be conducted by April 2003.

Enclosure 10



## Department of Energy

Office of Civilian Radioactive Waste Management  
Yucca Mountain Site Characterization Office  
P.O. Box 364629  
North Las Vegas, NV 89036-8629

QA: N/A

OCT 15 2002

Margaret S. Y. Chu, Director  
Office of Civilian Radioactive  
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RW-1/Forrestal Building  
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### MANAGEMENT IMPROVEMENT INITIATIVES (MII) EFFECTIVENESS INDICATORS

A joint U.S. Department of Energy/Bechtel SAIC Company, LLC, team was established to develop and improve (enhance) the MII effectiveness indicators. The team utilized the following criteria for indicator development:

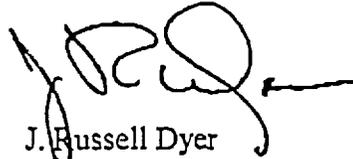
1. Indicators must measure effectiveness, not just activity;
2. Specific achievable MII closure indicators must be established for each goal;
3. Indicators will be established when incremental improvement is necessary and interim goals are set;
4. Indicators must be usable by management to project improvement and bound problem areas; and,
5. Where possible, indicators should use information that is readily available.

A cornerstone of an effective continuous improvement program is the self-identification and resolution of issues by the responsible line organization. Thus, many of the indicators were developed to encourage self-identification of issues so that corrective actions are taken before issues cause significant problems. The indicators also aid management in identifying and assessing closure effectiveness of important issues. The enclosed MII effectiveness indicators are intended for use at the program level of the organization.

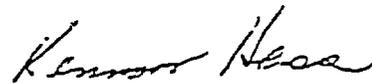
As a result of reviewing our current performance relative to these indicators, incremental implementation of goals for many of the indicators were established. It is our position that the MII closure goals cannot be met without a fundamental cultural shift in the organization. It is also recognized that an organizational culture shift may necessitate a

OCT 15 2002

refinement of these indicators with time to maintain an effective assessment of the organization's progress. We will have made a significant improvement in our organizational performance when the MII closure goals are met.



J. Russell Dyer  
Project Manager



Kennon G. Hess  
President & General Manager  
Bechtel SAIC Company, LLC

PM:RLC-00028

Enclosure:  
MII Effectiveness Indicators, w/attachments

cc w/encl:

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-3-

OCT 15 2002

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Records Processing Center = "13"

## Management Improvement Initiatives Effectiveness Indicators

The U.S. Department of Energy and Bechtel SAIC Co., LLC are committed to the success of the Management Improvement Initiatives (MII). Following the July submission of the MII to the NRC, a joint DOE / BSC team was established to enhance the indicators. The team utilized the following criteria for indicator development: 1) combined indicators must measure effectiveness not just activity; 2) achievable MII closure goals must be established for each indicator; 3) interim goals will be established when incremental improvement is necessary; 4) indicators must be usable by management; and 5) where possible indicators should use information that is readily available.

During the development of the indicators, the team recognized that a cornerstone of an effective quality assurance (QA) program is the self-identification and resolution of issues by the responsible line organization. Thus, many of the indicators are developed to encourage self-identification of issues so that corrective actions are taken before issues cause significant quality problems. The team recognized that the indicators should aid management in identifying and assessing closure effectiveness of important issues. The MII effectiveness indicators, (see Attachment I), focus on the important elements of our performance, e.g., breakdowns in our QA program implementation, performance-based violations of regulatory requirements, and issues that result or could result in significant NRC enforcement actions. The team developed and utilized an importance definition matrix, (see Attachment II), to establish appropriate levels of information (Program, Project, and department) for the organization. The MII effectiveness indicators are intended for use at the Program level of the organization. The effectiveness indicators at the Project and department levels are being developed and will compliment the Program level MII effectiveness indicators.

The team realized that a single indicator for any of the MII key areas was not sufficient. For example, the inherent cross-functional nature of R2A2s means that the effective implementation of the revised R2A2s will affect many if not all of the complex processes on the Program. Therefore, the effectiveness of the revised R2A2s is measured by the success of meeting goals that were not achievable before the MII was implemented, e.g., the goals established for CAR closure (EI-6) will not be achieved unless the revised R2A2s are effectively implemented. The team concluded the processes monitored by the effectiveness indicators will not produce the desired goals without an improvement of the R2A2s. It should be noted that a single indicator alone will not measure the effectiveness of R2A2 actions, but taken as a whole these indicators assess the successful achievement of the MII.

The team assigned effectiveness indicators to the five key areas of MII to assess indicator completeness. The interdependent nature of the MII key areas is demonstrated by the use of an indicator for more than one key area. Effectiveness indicators were assigned to MII key areas as follows:

### **Roles, Responsibilities, Authorities, and Accountability (R2A2):** EI-1, -3, -5, -6, -7, -9, -12

A high-quality Program with clear R2A2s will efficiently and effectively resolve cross-functional issues. This means the organization will self-identify and resolve issues before they become major issues. EI-1 measures the success of the Program in preventing major issues from occurring. The Program must find and fix quality issues at the earliest opportunity to successfully meet the goals of EI-1. The success of the organization in finding and fixing issues before they become major issues is monitored by meeting MII closure goals EI-3, 5, 6, 9. These indicators require R2A2s to be well-defined to accomplish the desired self-identification and timely closure

## Management Improvement Initiatives Effectiveness Indicators

of issues. Change Control Board is a cross-functional activity that will have timeliness issues if the R2A2 are not clearly defined and followed. EI-7 will monitor this process for effective R2A2 implementation. The current organizational alignment does not facilitate timely closeout of issues or Change Control Board action as indicated by the current performance of the Project in the areas monitored by EI-3, 5, 7, 6, 9. If these MII closure goals are to be met, the organizational alignment will have to be improved by the effective implementation of the MII R2A2 actions. EI-12 will measure the effectiveness of the communication and implementation of the MII R2A2s by conducting a survey of employee attitude and opinion of the success of R2A2 implementation.

Therefore, the effective implementation of the R2A2s will be accomplished if major issues are prevented, the organization identifies and corrects issues in a timely and effective manner and the organization embraces the changes implemented in the R2A2s.

### Quality Assurance Programs and Processes (QPP):

EI-1, -2, -3, -4, -5, -6, -9

The effective implementation of the QPP portion of the MII can be demonstrated by the prevention of major issues as measured by EI-1. Although EI-1 is a good lagging indicator of QA effectiveness, it is not a leading QA indicator. Fundamental to an effective QA program is the ability of the organization to self-identify and correct issues before the issues adversely affects the Program. Additional indicators become necessary to determine whether the Project is self-identifying and closing important issues in a timely manner. EI-2, 3, 4, 5, 6, and 9 have been chosen as additional effectiveness indicators to monitor this area. These indicators measure the effectiveness of the CAR closure process, the ability of BSC to self-identify issues, the effectiveness of OQA audit process, the performance of department level self-identification of issues, and the timely closeout of CAR and DR actions. The effective implementation of the QPP portion of the MII is essential if the Project is to meet these MII closure goals.

In summary the effective implementation of the QPP portion of the MII will be accomplished if major issues are prevented, issues are identified and closed out in an effective and timely manner and the BSC and DOE oversight functions are effective.

### Program Procedures (PRO):

EI-1, -3, -5, -6, -8, -9, -10, -12

An effective procedure program has several attributes that indicate successful implementation. The procedures should prevent major issues (EI-1). If there are issues with the procedures, they are identified and resolved in an effective and timely manner (EI-3, 5, 6, 9, and 10). As with any project, the procedure program should meet established schedules (EI-8). Finally, the procedure program should be viewed by the affected workers as usable, responsive to their needs, and effective at revising procedures in a timely manner (EI-12).

The effective implementation of the PRO section of the MII will establish procedures that prevent major issues from occurring, establish a process for the resolution of procedure issues in a timely and effective manner, and be recognized as a process that is responsive and effective in meeting procedural needs of employees. These attributes will be accomplished by meeting the MII closure goals established in EI-1, 3, 5, 6, 8, 9, 10, and 12.

## Management Improvement Initiatives Effectiveness Indicators

### Corrective Action Program (CAP):

EI-1, -2, -3, -5, -6, -9, -12

The CAP is an important process in any effective QA program. Because of the close relationship between QPP and CAP many of the effectiveness indicators for the successful implementation of the CAP will be the same as those selected for the QPP area.

An effective CAP will prevent major issues from occurring (EI-1). It will allow issues to be identified and corrected effectively in a timely manner (EI-2, 3, 5, 6, and 9). The program should be viewed as an effective way for employees to identify and get issues resolved in a non-threatening manner (EI-12).

The effective implementation of the CAP will be demonstrated by the Project's ability to self-identify and correct issues at a level that will prevent major issues. The employees will embrace the CAP as a program that is usable and effective in addressing the issues they identify.

### Safety Conscious Work Environment (SCWE):

EI-3, -4, -5, -11, -12

It is important to provide an environment that encourages the work force to self-identify problems and for those problems to be resolved. By measuring the employee's willingness to raise concerns, OCRWM management is made aware of line management's ability to effectively address issues.

In conclusion, the team obtained information to assess the Program's current performance relative to each indicator MII closure goal. It was concluded that incremental improvement goals were needed for several of the indicators. For example, the MII closure goal for "Timely CAR Closure" (EI-6) will be very difficult to meet without the effective implementation of the MII R2A2 actions, QARD revision, and the BSC procedure conversion to nuclear standard Bechtel procedures, (see Attachment III). The establishment of interim goals will allow the Program to measure its progress toward the final MII closure goal of 100 days for closeout of CARs. If at any time the progress is less than desired, the project will re-evaluate its actions and determine if additional actions are necessary for successful MII closure goal accomplishment. If it is determined that additional actions are necessary, the project will modify its plans to ensure MII closure goals are met. If the number of open CARs is less than twenty, the performance indicators will track CARs by counting the number of individual CAR actions that are open.

**Attachment I**  
**MII Effectiveness Indicators**

- EI-1      Events per month  
CARs, Non-NRC Enforcement Action, and NRC Level 1, 2, or 3 Violations  
MII closure goal is zero (No Incremental Implementation Goals)
- EI-2      Quarterly, DR CAR Closure Effectiveness  
Number of DR CAR Corrective Actions Determined Effective by External Review  
Number of DR CAR Corrective Actions Reviewed by External Review  
MII closure goal  $\geq 95\%$   
(Incremental Goal: Through Mar./03 $\geq 60\%$ , Jun./03 $\geq 70\%$ , Dec./03 $\geq 80\%$ , Jun./04 $\geq 95\%$ )
- EI-3      BSC Self-Identification  
Number of Open BSC (Contractor) Self-Identified Issues (DRs CARs)  
Number of Total Open Identified Issues assigned to BSC (DRs CARs)  
MII closure goal  $\geq 90\%$   
(Incremental Goal: Through Apr./03 $\geq 60\%$ , May/03 $\geq 70\%$ , Dec./03 $\geq 80\%$ , Jun./04 $\geq 90\%$ )
- EI-4      Quarterly Quality Program Effectiveness Assessment (DRs are temporarily included)  
Number of OQA Identified (DRs CARs)  
Total Number of OQA and External Identified (DRs CARs)  
MII closure goal  $\geq 95\%$   
(Incremental Goal: Through Apr./03 $\geq 65\%$ , May/03 $\geq 75\%$ , Dec./03 $\geq 85\%$ , Jun./04 $\geq 95\%$ )
- EI-5      Self-Identified Department Issues  
Number of Department Issues Self-Identified (DRs CARs)  
Total Number of Department Issues (DRs CARs)  
MII closure goal  $\geq 80\%$   
(Incremental Goal: Through Apr./03 $\geq 50\%$ , May/03 $\geq 60\%$ , Dec./03 $\geq 70\%$ , Jun./04 $\geq 80\%$ )
- EI-6      Timely CAR Closure  
Number of Open CARs (< 100 days)  
Number of Open CARs  
MII closure goal  $\geq 90\%$   
(Incremental Goal: Through Apr./03 $\geq 50\%$ , May/03 $\geq 60\%$ , Dec./03 $\geq 75\%$ , Jun./04 $\geq 90\%$ )

**Attachment I**  
**MII Effectiveness Indicators**

EI-7 Timely Change Control Board Action

Level 3 Actions <19 days      Level 2 Actions <25 days  
Level 3 Actions                      Level 2 Actions

MII closure goal  $\geq 90\%$       MII closure goal  $\geq 90\%$   
(Incremental Goal: Through Apr./03 $\geq 50\%$ , May/03 $\geq 65\%$ , Dec./03 $\geq 80\%$ , Jun./04 $\geq 90\%$ )

EI-8 Procedure Implementation Schedule (schedule to be developed)

Number MII Procedures Issued within Schedule  
Number of MII Procedures Issued

MII closure goal  $\geq 90\%$  (No Incremental Implementation Goals)

EI-9 Timely DR Closure

Number of Open DRs (< 45 days)  
Number of Open DRs

MII closure goal  $\geq 90\%$   
(Incremental Goal: Through Apr./03 $\geq 50\%$ , May/03 $\geq 60\%$ , Dec./03 $\geq 75\%$ , Jun./04 $\geq 90\%$ )

EI-10 Procedure Revisions Performance

Number of Open Procedure Revisions based on Initiation (<45 days)  
Number of Open Procedure Revisions based on Initiation

MII closure goal  $\geq 90\%$   
(Incremental Goal: Through Apr./03 $\geq 50\%$ , May/03 $\geq 60\%$ , Dec./03 $\geq 75\%$ , Jun./04 $\geq 90\%$ )

EI-11 Monthly HIRD Concerns Received

Number of HIRD Concerns Received, Concerns Requiring Prompt Action

MII closure goal: No Goal Specified

EI-12 BSC Effectiveness Survey - MII Procedures, R2A2, and SCWE

MII closure goal  $\geq 80\%$  (No Incremental Implementation Goals)  
- General population understands and properly implements the revised R2A2s  
- Program procedures  
- SCWE

**Attachment II  
Importance Definition**

Level	Quality	Regulatory	
1	A condition that indicates a significant, as defined in the QARD, breakdown in the implementation of quality program requirements.	A condition that meets the NRC Enforcement Action at Levels I, II, or III. A condition resulting in a non-NRC enforcement action by a regulatory agency. A condition that represents a violation of a regulated activity that is immediately reportable.	Program Level
2	Individual or repetitive condition that indicates a breakdown in the implementation of quality program requirements.	A condition that meets the NRC Enforcement Action Level IV. A condition resulting in a notice of alleged violation being issued to the program. A condition that represents a violation of a regulated activity reportable within 14 days.	
3	Individual or repetitive conditions of minor violation of quality program or regulatory requirements that are administrative in nature and have no effect on nuclear safety, waste isolation, safety analysis analytical results, construction, or operations, etc.	A condition that would meet the NRC Enforcement Policy criteria as a Non-Cited Violation (NCV) having very low safety significance. A condition which, if uncorrected, could result in a violation of regulated activities. A condition that represents a violation of a regulation activity that is reportable but does not meet Level 1 or 2.	Project Level
4	Not Defined	Not Defined	Department Level

Level 1 and 2 items will be included in the Program level MII effectiveness indicators as Important.

### Attachment III

## Example of Incremental Improvement

The MII closure goal for "Timely CAR Closure" (EI-6) will be very difficult to meet without the effective implementation of the R2A2 actions and the BSC procedure conversion to nuclear standard Bechtel procedures. Each of these actions is included in the MII. The CAR resolution process currently takes more than 360 days for completion and a reduction to 100 days will not occur immediately. Therefore, interim goals must be established that relate to the schedule and effective implementation of the actions that affect the CAR closeout process. Based on the current schedule, we believe that it will take until December 2004 to achieve the 100-day MII closure goal for 90% of the open CARs. The following interim goals will be established: June 2003 50%; January 2004 70%; and December 2004 90%. The establishment of these interim goals will allow the Program to measure its progress toward the MII closure goal of 100 days for closeout of CARs. If at any time the progress is less than desired, the project will re-evaluate its actions and determine if additional actions are necessary for successful MII closure goal accomplishment. If it is determined that additional actions are necessary, the project will modify its plans to ensure MII closure goals are met.

Enclosure 11

## Enclosure 11

### Management Improvement Initiatives (MII) Effectiveness Indicators DOE/NRC Quarterly Management Meeting Discussion October 17, 2002 – Las Vegas, Nevada

During his presentation on MII Implementation, Dr. Gene Runkle/DOE discussed the creation and significance of effectiveness indicators for two of the five MII improvement areas: Roles, Responsibilities, Authorities, and Accountability (R2A2) and Safety Conscious Work Environment (SCWE). In addition, effectiveness indicators have been created for the other three improvement areas. This is a synopsis of the discussion at the meeting and the remaining areas.

#### Roles, Responsibilities, Authorities, and Accountability (R2A2)

- Goal is to self-identify problems and take timely actions to resolve issues between organizations.
- Prevent major issues from occurring.
- Self-identification of issues driven down to the department level.
- Major cross-function area of Change Control Board monitored for timeliness.
- Employee surveys performed to check effectiveness of R2A2 implementation.

#### Quality Assurance Programs and Processes

- Goal is to self-identify issues at the lowest possible level of the organization.
- Indicators are established to track timeliness of Deficiency Report and Corrective Action Report closure.
- Effectiveness of closure is to be determined by independent assessment with emphasis on prevention of recurrence
- Prevent major issues from occurring.

#### Program Procedures

- Goal is to prevent major adverse events.
- Procedure issues self-identified at the lowest possible level and closed in a timely manner.
- Procedures are developed according to schedule.
- Procedure revision process is responsive to employee and program needs.
- Employee effectiveness survey conducted to determine procedure implementation effectiveness from employee perspective.
- Implementation of work processes with minimal deficiencies is the ultimate goal.

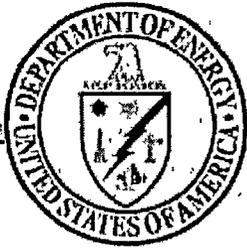
#### Corrective Action Program (CAP)

- Goals are to prevent major adverse events.
- CAP is developed to encourage self-identification of issues at the lowest level of the organization.
- Effectiveness determined by external assessment with emphasis on preventing recurrence.
- Employee survey conducted to determine CAP program effectiveness from employee perspective.
- Deficiencies and their causes are corrected and closed out in an effective and timely manner.

### Safety Conscious Work Environment (SCWE)

- Goal is to self-identify issues at the lowest level organizational of the organization.
- DOE Office of Quality Assurance (OQA) should be able to pick up remaining issues (those not identified by contractor).
- Track serious issues – harassment, intimidation, retaliation, and discrimination (HIRD) – indication of how well managers and supervisors are handling employee issues.
- Effectiveness survey will be conducted to determine how employees feel about the SCWE program.

Enclosure 12



U.S. Department of Energy  
Office of Civilian Radioactive Waste Management

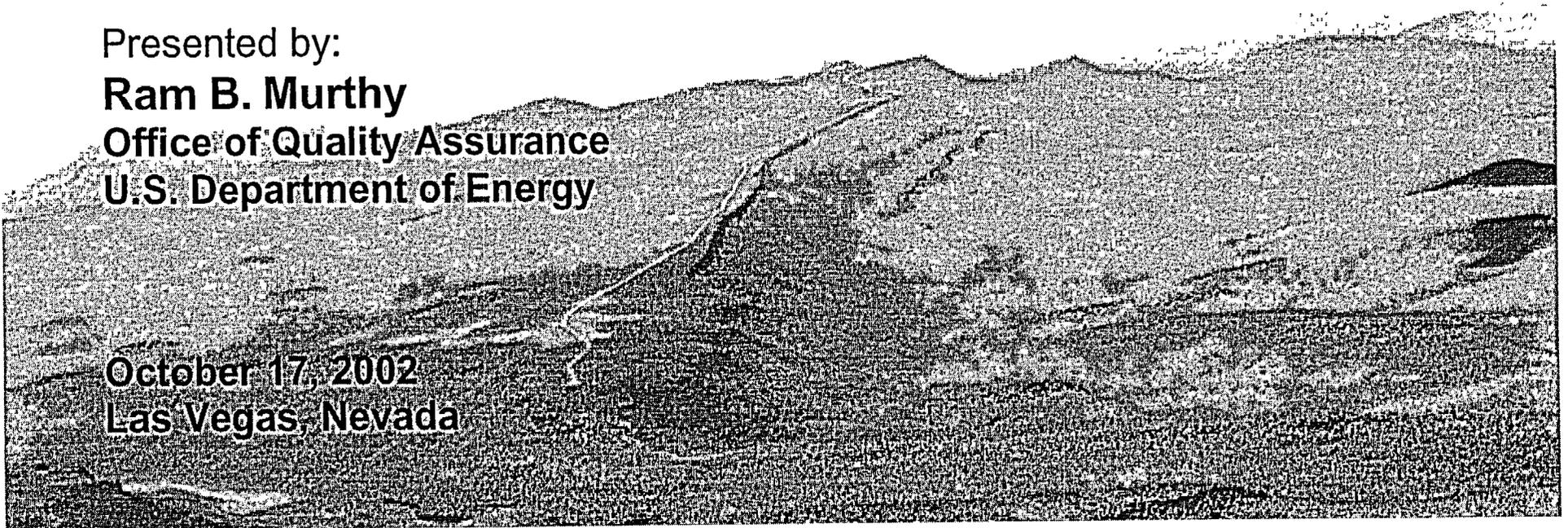


# Status of the Quality Assurance Program

Presented to:  
**DOE/NRC Quarterly Management Meeting**

Presented by:  
**Ram B. Murthy**  
**Office of Quality Assurance**  
**U.S. Department of Energy**

**October 17, 2002**  
**Las Vegas, Nevada**



# Outline

- **Audit & Surveillance Activities**
- **Status of the Trend Program**
- **Verification of Corrective Action Reports (CAR)**



# Office of Quality Assurance Audit and Surveillance Activities

- **Compliance Audit BSC-ARC-02-15 of the BSC Repository Design Project (July 2002) Audit Results**
  - Two Deficiency Reports (DR) were identified in areas of design drawing impact reviews and inappropriate procedure references (Both DRs have been verified and closed)
  - One Quality Observation (QO) was identified concerning a review record omission (QO was verified and closed)
  - Overall, Quality Assurance (QA) program implementation was determined satisfactory



# Office of Quality Assurance Audit and Surveillance Activities

(Continued)

- **FY 2003 Office of Quality Assurance (OQA) Audit Schedule has been issued:**
  - Internal and external audits have been scheduled
  - Includes both compliance and performance-based audits
- **OQA will implement a surveillance program for FY 2003**



# Status of the Trend Program

- **2002 Trend Report (January 2002 - June 2002) was issued:**
  - Two emerging issues were identified in areas of timeliness of record submittals and compliance with field technical requirements
- **Trend Program Change**
  - Procedure(s) to be revised, as appropriate, to incorporate Deficiency and Identification Referrals (DIR) as inputs (Nuclear Regulatory Commission open item)



# Verification of Corrective Action Reports

- **CAR BSC-01-C-001 (Model Validation)**
  - Five actions have been completed/verified
  - Verification to date is satisfactory
- **CAR BSC-01-C-002 (Software)**
  - Nine actions have been completed/verified
  - Verification to date is satisfactory



Enclosure 13



U.S. Department of Energy  
Office of Civilian Radioactive Waste Management

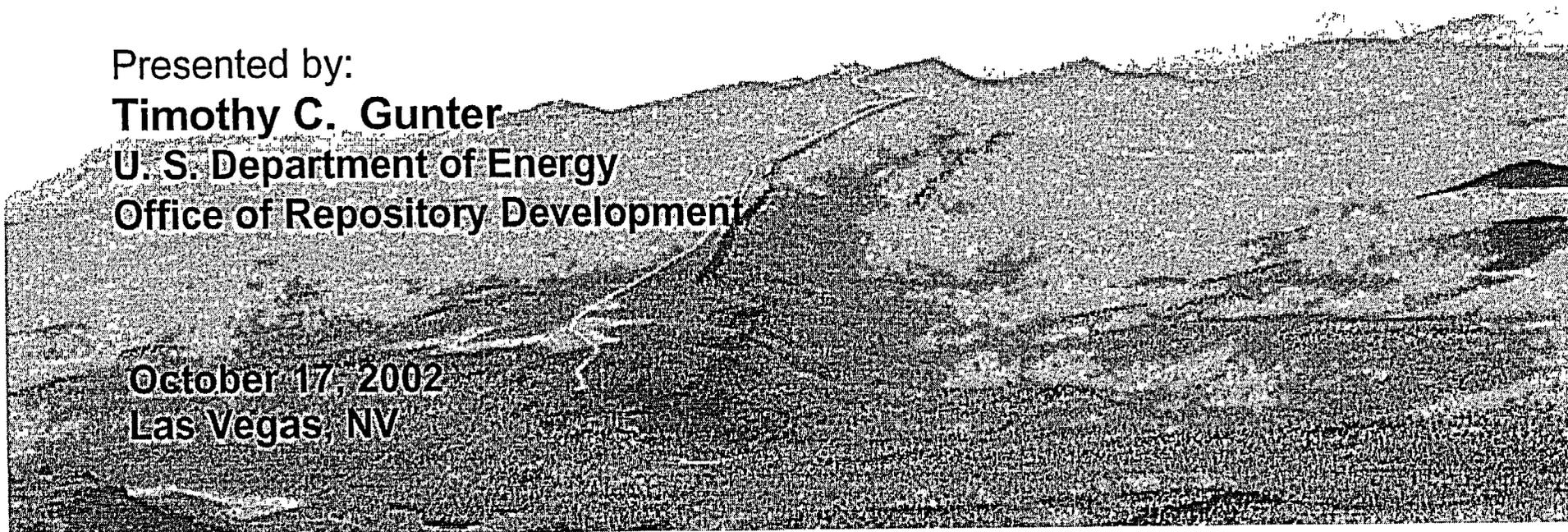


# Key Technical Issue Resolution

Presented to:  
**DOE/NRC Quarterly Management Meeting**

Presented by:  
**Timothy C. Gunter**  
U. S. Department of Energy  
Office of Repository Development

**October 17, 2002**  
**Las Vegas, NV**



# Key Technical Issues Status

- **Completion of Key Technical Issue (KTI) Agreements is a high DOE priority**
- **DOE submitted a total of 70 KTI Agreement responses to Nuclear Regulatory Commission (NRC) in FY02**
  - **Included most all of the 58 KTI Agreement responses agreed to at the April 15, 2002 DOE/NRC KTI Technical Exchange**
  - **Three agreed upon substitutes from FY03 were provided**
- **61 KTI Agreements to date are documented as complete**
- **DOE has improved KTI Agreement response performance, and responses are on schedule**



# Key Technical Issue Agreement Summary

(reflects activities through September 25, 2002)

KTID	Agreements Reached (1)	Documentation Received for Agreement (3)	Documentation Partly Received for Agreement (4)	Documentation Not Received for Agreement	Need Additional Information (5)	Agreements Complete (2)
CLST	58	6	3	25	8	16
IA	22	4	0	8	0	10
USFIC	27	6	1	14	0	6
SDS	10	2	2	0	2	4
RT	29	3	2	17	4	3
ENFE	41	1	7	19	2	12
TEF	15	0	3	5	1	6
RDTME	23	1	2	20	0	0
TSPAI	58	7	0	46	2	3
PRE-C**	9	1	0	6	1	1
GEN	1	0	0	1	0	0
<b>TOTAL</b>	<b>293</b>	<b>31</b>	<b>20</b>	<b>161</b>	<b>20</b>	<b>61</b>

\*\* Note: Pre-closure Safety is not considered a Key Technical Issue, but is listed as a topic of interest to the NRC.

1. The total of agreements reached between NRC and DOE at technical exchange meetings.
2. Agreements closed by NRC for which it has reviewed all documentation and has no further questions.
3. Agreements for which NRC has received all documentation but has not completed its review.
4. Agreements for which NRC has received a portion of the documents agreed to.
5. Agreements for which NRC has received complete or partial documentation, but has requested further information via a formal letter.



YUCCA MOUNTAIN PROJECT

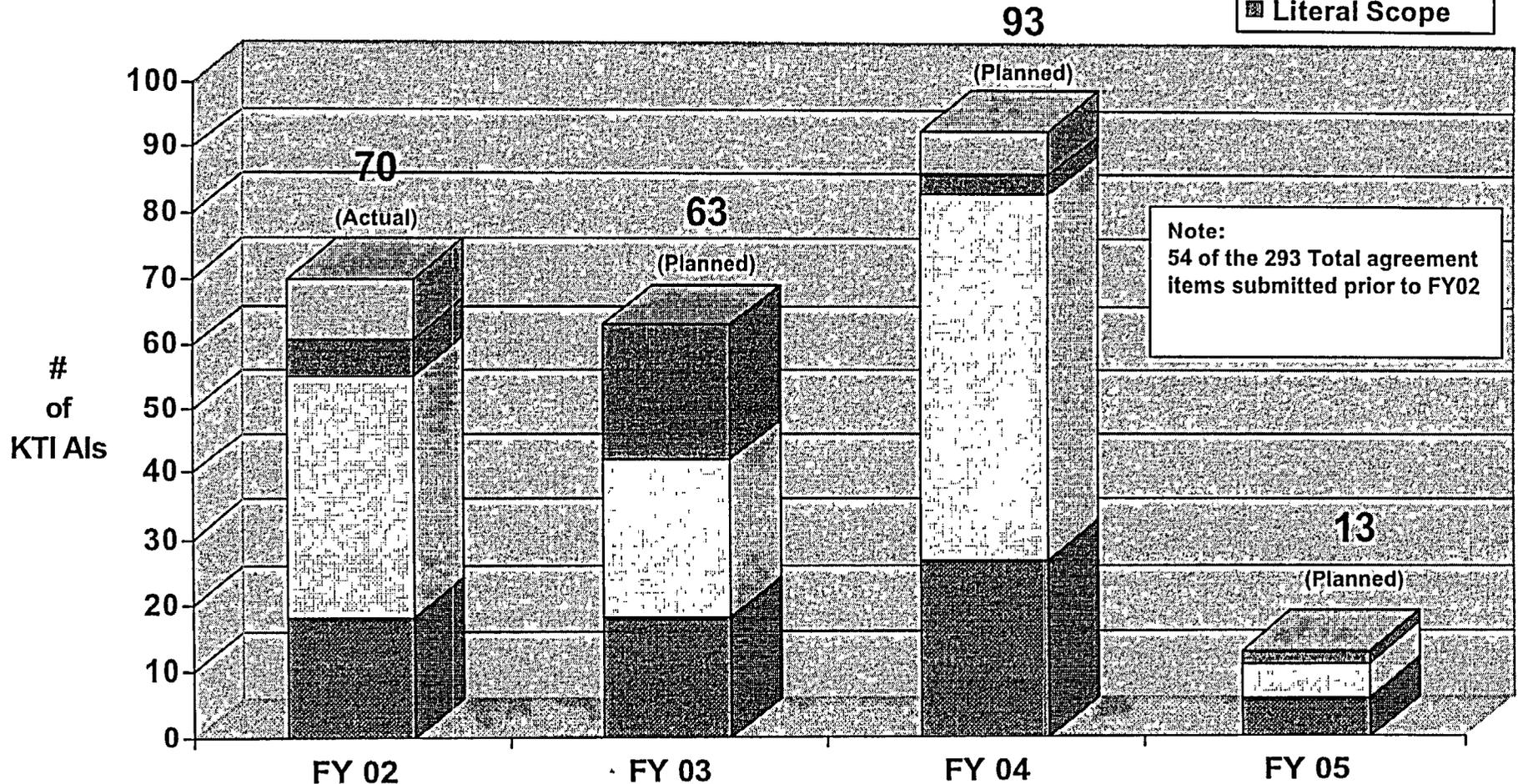
# Key Technical Issue Agreement Items FY 2003 - FY 2005

- **Remaining KTI agreements will be addressed by the time of LA submittal**
  - All KTI Agreement responses are scheduled to be submitted by October 2004, with exception of 18th part of CLST 5.04 (criticality validation report for plutonium)
- **FY03-FY05 plan for delivery of KTI Agreement responses were provided to NRC on September 24, 2002**
- **The majority of KTI Agreement responses will be submitted July 03 - March 04, 2002 immediately following completion of the supporting technical work**



# Key Technical Issue Agreement Items FY 2002 – FY 2005

- Other
- RIPB Resolution
- Revised Scope
- Literal Scope



Enclosure 14

## Enclosure 14

### Consolidated Action Items From The NRC/DOE Quarterly Management Meetings

Item No.	Description	Status
MM 0207-01	DOE / NRC to decide on a date for an LSN / EIE interaction before the next quarterly meeting.	Complete. Meeting has been scheduled for 12/10-11/2002
MM 0207-02	DOE to assess the frequency and team makeup for performance-based QA audits.	Complete. Concern regarded whether appropriate technical specialists (specifically regarding welding) were included in the audit team for a particular audit. Evaluation indicated that appropriate expertise was available. This item was discussed to some extent during the July and October 2002 MM. This QA-related item will be transferred to the list of Quarterly QA Meeting action items and will be tracked as QA 0210-03. Therefore it can be considered "complete" on this list.
MM 0204-01	Schedule a DOE/NRC meeting to establish a path forward for identifying and evaluating new information and other considerations relating to the FEIS.	Complete. Meeting has been scheduled for 11/13/2002.
MM 0204-02	Schedule a DOE/NRC meeting to assure the NRC has needed information on the possible modular approach to surface facility development for responding to public inquiries or dealing with emerging related design issues.	Complete. A meeting on this subject has been scheduled for November 5-6, 2002.
MM 0112-02	DOE will provide NRC additional information on how Morgan-Lewis recommendations regarding SCWE concerns are addressed in the OMII.	In Progress. SCWE concerns are now one of the major objectives in the OMII and were discussed at the April and July QA and management meetings. This subject will be included in the next quarterly QA and Management Meeting discussions. DOE agreed to append a table showing how SCWE recommendations from

		Morgan-Lewis report are being addressed. This table is provided in the October 2002 meeting summary as Enclosure 15.
MM 0109-02	To assure NRC ability to assess the concerns program adequacy, NRC requests follow-up discussion in management meetings on the OCRWM concerns program, specifically how feedback is provided to employees.	Complete. This action item was discussed in the December 2001 and April 2002 and July Quarterly Management Meetings. The adequacy of OCRWM concerns program resources and path forward was further discussed during the October 2002 Management Meeting. DOE will continue to update the status of the MII progress in future Management Meetings. Therefore, this action item is considered complete.
MM 0104-03	NRC will provide DOE with information on its transition to an Integrated Sub-Issue (ISI) framework and its Integrated Issue Resolution Status Report at a meeting to be scheduled.	Complete. The NRC issued the IRSR and discussions were held at the July 23, 2002 KTI meeting and July 2002 Management Meeting during which this item was completed.
MM 0004-05	To assure a common understanding of status and needed actions, DOE and NRC agreed to establish a consolidated list of commitments and open items and develop a process to track which open items are closed, closed pending confirmation, or open. The status of this effort will be reported at future management meetings.	Complete. There was a demonstration of CIRS database and commitment management system on 11/21/00 to demonstrate DOE's open item management. KTI Status has been either on the agenda of each management meeting since or has been the subject of associated KTI breakout sessions. KTI status and the path forward will continue to be a regular item for discussion at future management meetings or KTI breakout sessions until work in this area is completed. Also, the NRC transmitted to letter to DOE on OITS, dated August 1, 2002, closing all open items. Therefore, this action can be considered complete.

Enclosure 15

YMP management will track timely implementation through closure and the effectiveness of these recommendations via MII action steps and follow-up assessments.

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
SCWE-1	SCWE complete	[1] Senior management should take timely, visible action to respond to issues identified in the survey. [2] In this regard, senior management should consider designating a single senior manager to be the responsible manager to coordinate all SCWE initiatives on the Project. (SCWE III.B.3)	[1] A BSC "perception survey" that included past culture questions was conducted in February '02. Results were provided to the organization on April 4. [2] The Project Manager (DOE), Deputy General Manager (BSC), Technical Project Officer (USGS) are management sponsors for the Safety Conscious Work Environment (SCWE). The Acting Assistant Manager OLRC (DOE) and Manager License Application Project (BSC) will track SCWE implementation. Collectively, these champions will support and improve the timely feedback to employees.
SCWE-2	SCWE complete	Senior management should take the initiative and set the tone for a SCWE by issuing a clear statement on Project expectations for raising and responding to concerns. We recognize that DOE issued a Policy Statement on August 7, 2001, but this Statement should be integrated within a multi-dimension plan to convey and reinforce management expectations. (SCWE III.B.3.a)	On April 30, '02, RW-1 and the YMP Project Manager (PM) issued a revised SCWE policy (POL-RW-2002-001) statement. RW-1 also followed-up with an all-hands meeting with the YMP staff. This Policy was provided electronically to YMP and subcontractor staff, including USGS, on May 10, '02. On May 15, the BSC General Manager further endorsed POL-RW-2002-001.  The MII also provides for a multi-dimensional integrated plan for SCWE.
SCWE-3	SCWE	Systematic senior management communication, by both word, and deed, to workers that management values their opinions (SCWE III.B.3.a, 1b)	The policy noted above was distributed along with a message from the DOE YMP Project Manager and the BSC General Manager, including laboratories and USGS. On May 20, the SCWE policies were communicated at a Site Operations all-hands meeting. Ongoing communication is specifically planned in the MII SCWE action summary.
SCWE-4	SCWE	Clear expectations by more senior management as what workers are expected to do when, for whatever reason, they have concerns that they choose not to raise with immediate	SCWE policy from RW-1 and its endorsement by the Project Manager and General Manager collectively provide management expectations. In addition, SCWE training for managers, supervisors, and other Project staff per MII actions.

<sup>1</sup> These assigned numbers are located in the MII cross-walk/matrix attached to the MII Report. They are not included in the Morgan, Lewis, Bockius SCWE report [redacted version].

<sup>2</sup> MII = Management Improvement Initiatives

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
		supervision, including: (1) what workers should expect if they raise issues directly with senior management; and (2) how senior management views the role of the OCRWM Concerns Program as a forum to raise and resolve issues (SCWE III.B.3.a, 2b)	
SCWE-5	SCWE	[1] A management initiative to respond to concerns in a more timely manner and a statement to workers of what is expected of them when, in their view, too much time has elapsed without having heard of how their concern has been addressed, or [2] they disagree with its disposition. (SCWE III.B.3.a, 3b)	[1] The YMP Project Manager is providing additional resources to the OCRWM Concerns Program (OCP) to work off the existing backlog of concerns and help prevent future backlogs. [2] The OCP follows-up with personnel who have identified themselves regarding how their concern was resolved and provides them with additional avenues if they disagree with the resolution (in accordance with procedure AP-32.1, <i>Office of Civilian Radioactive Waste Management Concerns Program</i> ).
SCWE-6	QPP R2A2	A management initiative to improve communication across the three QA organizations, particularly in the identification and resolution of QA issues. In this regard, management should better explain to the larger OCRWM workforce the role of QA in the overall mission of the Project. (SCWE III.B.3.a, 4b)	The MII action summaries for Roles, Responsibilities, Authority, and Accountability (R2A2) and Quality Programs and Processes address communication of quality assurance roles and responsibilities.
SCWE-7	SCWE	Senior management more visible modeling SCWE principles in large meetings and in its routine communications to the workforce. For example, in many NRC-licensed facilities, staff meetings or larger meetings begin with a [nuclear] "safety moment", where senior management conveys a SCWE principle or example from a personal perspective. (SCWE III.B.3.a, 5b)	See SCWE-1 and -4 above. Project staff is currently developing training to clarify "nuclear safety" and how it relates to current activities. The MII SCWE action summary includes management activities regarding communication of SCWE appropriately to the Project work force.
SCWE-8	R2A2	Clarifying the respective roles and	Section 5.1 of the MII specifically addresses R2A2.

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
	SCWE	responsibilities of senior site management and the OCRWM Concerns Program, including a more precise understanding of the interface, and then communication of these roles to the OCRWM workforce. In this regard, the OCRWM Concerns Program should be reviewed to assure: (SCWE III.B.3.a, 6b)	
SCWE-9	Being addressed outside MII	Appropriate, but not excessive, use of confidentiality – consistent with NRC's policy on confidentiality for persons raising issues directly with that agency; and (SCWE III.B.3.a, 6b, 1b)	The YMP PM has directed an update of the OCP procedure to address confidentiality issues.
SCWE-10	SCWE	Appropriate coordination with senior site management with respect to caseload management, including: (1) early coordination with regard to issues involving wrongdoing, personnel issues, or potential safety significance; (2) elimination of the OCRWM Concerns Program practice of providing the concerned individual a copy of its report and recommending corrective action, or sanctions in the case of personnel issues; and (3) definition of the OCRWM Concerns Program's task as finding facts for management consideration and action (SCWE III.B.3.a, 6b, 2b)	(1) See SCWE-6 & -19, (2) see SCWE-5 and SCWE-9, and (3) see SCWE-19. Actions to eliminate the OCP backlog by the end of 8/02 are in process.
SCWE-11	CAP	Revision of self-assessment practices or procedures to require management to communicate to the impacted workforce both the results of the assessments and management's plans to address the findings (SCWE III.B.3.a, 7b)	Procedure AP-2.20Q requires that self-assessments are provided to the responsible manager and the next higher level of management and that good/adverse work practices be communicated via lessons learned. Management expectations have been issued and include communicating self-assessment results to affected staff. In accordance with procedure requirements, a semi-annual assessment of the process is performed (see SCWE-25 below).

Morgan, Lewis, & Bockius SCWE Report [redacted version] Implementation Update

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
SCWE-12	CAP	[a] A schedule to transition fully to a single issue identification system under CIRIS, and communicate at appropriate milestones to the workforce. [b] At the time of full implementation, conduct a coordinated training program for all employees (SCWE III.B.3.a, 8b)	These recommendations are incorporated into the CAP action summary. The planned delivery for a significant software enhancement is September '02. Training is planned to be completed in December '02.
SCWE-13	SCWE	Assuring communications, particularly those from senior management, regarding the need to meet schedules are balanced with greater emphasis on quality and safety. In this regard, the SCWE at the Project should be enhanced by a more uniform and complete understanding of nuclear safety and the relationship of current activity to nuclear safety. (SCWE III.B.3.a, 9b)	Same as item 2 above. On April 30, '02, RW-1 and the YMP Project Manager (PM) issued a revised SCWE policy (POL-RW-2002-001) statement. RW-1 also followed-up with an all-hands meeting with the YMP staff. This Policy was provided electronically to YMP and subcontractor staff, including USGS, on May 10, '02. On May 15, the BSC General Manager further endorsed POL-RW-2002-001.  The MII also provides for a multi-dimensional integrated plan for SCWE.
SCWE-14	SCWE	Periodic reinforcement of management's SCWE expectations by publication in site newsletters (for example, congratulating and rewarding an employee or contractor for raising an issue and describing how it was successfully resolved). (SCWE III.B.3.a, 10b)	See "Approach" p. 12, 4 <sup>th</sup> sentence. This action will be completed by Communications.
SCWE-15	SCWE	Revised expectations of management performance, and holding DOE and contractor managers and supervisors accountable for SCWE as part of the Performance Evaluation Process (for example, some NRC licensees have "SCWE implementation" as an element on all evaluations for supervisors and above). (SCWE III.B.3.a, 11b)	SCWE performance has been made part of the criteria for BSC award fee evaluation for the current evaluation period. See also "Approach" p. 12, 6 <sup>th</sup> sentence. This action will be completed by Human Resources.
SCWE-16	SCWE	Clear definition of the additional resources (legal, Human Resources,	The MII SCWE action summary addresses training for managers and supervisors, which will include how to prepare for and address

Morgan, Lewis, & Bockius SCWE Report [redacted version] Implementation Update

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
		etc.) available to supervisors and others in management to obtain advice and assistance when dealing with challenging employee situations (typically those that involve both protected activity and performance issues). In this regard, consider establishing a designated "rapid response" team of key senior managers and support staff to address emerging personnel issues. (SCWE III.B.3.a, 12b)	challenging personnel situations.
SCWE-17	SCWE	Train all supervisors and managers on identification and response to employee concerns and particularly possible HIRD. The training should include reinforcing the importance of providing timely feedback to employees and obtaining feedback for employees on the sufficiency of the response. (SCWE III.B.3.b)	The MII SCWE action summary includes discrete actions for additional SCWE training. The Project Manager (DOE), Deputy General Manager (BSC), and the Technical Project Officer (USGS) are management sponsors for the SCWE MII actions. The acting Assistant Manager OLRC (DOE) and Manager License Application Project (BSC) will track SCWE implementation. Collectively, these champions will support timely feedback to employees.
SCWE-18	Being addressed outside MII	Assure all identified deficiencies that meet the criteria for inclusion in the CAP are so included. In this regard, management should review the scope and nature of the practice at the National Laboratories of documenting issues in scientific notebooks rather than in the CAP to assure issues recorded are appropriately and timely considered for inclusion in the CAP. (SCWE III.B.3.c)	In November 2001, DOE Navarro Quality Services authored a scientific notebook white paper, <i>Report on the Increase in Problems with Scientific Notebooks for the Director, Office of Quality Assurance</i> . The following were identified as the scope of the report: 1) potential causes and types of problems recently identified with Scientific Notebooks, 2) potential negative impact on the usability of the Scientific Notebooks. The Navarro white paper recommendations and also the results of a recent surveillance, conducted by DOE OQA, are addressed in the current proposed revision to the BSC Scientific Notebook Procedure. The formal BSC review is complete and comment resolution is underway with anticipated completion and effective date for the revised procedure by Sept 1, 2002. This revision addresses the problems identified with the Scientific Notebook process in the past.
SCWE-19	SCWE	DOE management should continue to assist the OCRWM Concerns Manager	This assistance will continue. See recommendations SCWE-5.

Morgan, Lewis, & Bockius SCWE Report [redacted version] Implementation Update

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
		in reviewing, prioritizing, and addressing the current backlog. (SCWE IV.B.2.b)	
SCWE-20	Being addressed outside MII	Determine the extent to which planning and scheduling in product preparation contribute to insufficient time for QA review, and improve planning and scheduling to assure adequate QA review time. (SCWE IV.B.3.b)	A fully integrated resource loaded schedule that includes adequate quality assurance and other reviews exists through December '04 and will be a part of future schedule updates.
SCWE-21	SCWE	Supplement the current GET training with a module specifically focused on SCWE principles as expressed in the recent DOE Policy Statement, and provide this to all incoming personnel, and annually to current personnel. In this regard, updating <i>Licensing and Training – Manager and Supervisor</i> to include DOE's Policy Statement and making it a requirement for all OCRWM personnel could provide acceptable entry-level training. (SCWE IV.B.4.b, 1b)	This will be included in SCWE training.
SCWE-22	SCWE	Provide supervisory training in the identification and response to potential retaliation. Such training should provide tools and techniques to enable supervisors and other managers to perform their duties more effectively (e.g., addressing disciplinary and performance issues, including addressing safety concerns), while avoiding discriminatory conduct and the chilling effect that such conduct may create. (SCWE IV.B.4.b, 2b)	Same as item 17 above. The MII SCWE action summary includes discrete actions for additional SCWE training. The Project Manager (DOE), Deputy General Manager (BSC), and the Technical Project Officer (USGS) are management sponsors for the SCWE MII actions.
SCWE-23	CAP	Make the corrective action processes more responsive to deficient conditions by requiring corrective actions be more prompt and meet open duration times	The MII CAP action summary includes incorporation of industry best practices in the YMP corrective action process.

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
		comparable to industry practices (i e., reset targets from 100 to 45 days). (SCWE IV.B.6.b, 1b)	
SCWE-24	CAP	Continue the transition to the CIRS as the single system for workers to report and document concerns to the CAP. As part of this transition, train all personnel (both QA and non-QA) to assure that anyone who may have a concern knows how to use the CIRS system and its relationship to other means of raising issues, such as the Concerns Program and DPO process. (SCWE IV.B.6.b, 2b)	See SCWE-12 above. The revised CIRS training is planned to address its relationship to the Concerns Program and differing professional opinion and differing professional view processes.
SCWE-25	Being addressed outside MII	Give the self-assessment program sufficient priority to work off the backlog of planned assessments; Assure workers are provided adequate training in conducting self-assessments; Assure quality and non-quality findings arising out of self-assessments are documented, evaluated, and resolved in a timely manner; and assure affected organizations are provided both the results of self-assessments and the corrective actions management will take in response. (SCWE IV.B.7.b)	<p>These recommendations are currently included in the self-assessment process. A user-friendly handbook has recently been issued. In January 2002, OQA performed an assessment of the self-assessment process (procedure AP-2.20Q, revision 0). Two recommendations were forwarded to the DOE Self-Assessment Program Manager. Both recommendations were incorporated [and verified by OQA] in revision 1, effective February 4, 2002. On April 2, 2002, the YMP Project Manager issued the <i>Semi-Annual Review of the Self-Assessment Process</i> in accordance with AP-2.20Q, <i>Self-Assessments</i>. Two deficiencies were issued (YMSCO-02-D-082 and YMSCO-02-D-83) and 6 CIRS items initiated.<sup>3</sup></p> <p>The General Manager (BSC) issued a memo to the BSC staff on April 3, indicating his expectations for the self-assessment process. On April 12, the Project Manager (DOE) followed-up with his expectations to the YMP staff. On May 6, USGS distributed an e-mail to USGS responsible managers regarding their responsibilities regarding self-assessments for YMP work. BSC QA and OQA have planned surveillances to determine the effectiveness of corrective actions and response to management expectations.</p>
SCWE-26	SCWE	[a]Identify and collect SCWE PIs	SCWE performance measures will be developed in a revised set of

<sup>3</sup> CIRS: 2417, 2418, 2419, 2420, 2421, 2422

SCWE Recommended Action <sup>1</sup>	Where need is addressed in MII <sup>2</sup>	SCWE Report -- Morgan, Lewis, Bockius Recommendation	Status: The referenced MII action plan steps are current with the August '02, <i>Management Improvement Initiatives</i> , PLN-CRW-AD-000009.
		[b]Use SCWE PIs to assist management in evaluating the SCWE.. (SCWE IV.B.8.b)	overall measures developed as part of the MII effort. SCWE performance has been incorporated as part of the criteria for BSC award fee evaluations. See "Effectiveness Indicators" following Table 5, p. 13.
SCWE-27	Being addressed outside MII	Evaluate the sequence of events associated with the issuance of CAR-01-002 and withdrawal of the initial recommendation to issue a stop work order, and determine any "lessons learned" from the prospective of chilling effect. (Is management sending a mixed message in focusing on the source of the message rather than the message itself?). (SCWE IV.B.9.b)	This is being addressed under CIRS item 2885.