

UNCONTROLLED

NUCLEAR WASTE MANAGEMENT SYSTEM M&O CONTRACTOR
QUALITY ADMINISTRATIVE PROCEDURE

Title: READINESS REVIEW

Procedure Number: QAP-2-6

Revision: 0

Date: November 18, 1991

Approvals:



General Manager, NWMS M&O



Manager, Quality Assurance

1. PURPOSE

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

2. SCOPE

This procedure applies to reviews conducted by the Nuclear Waste Management System Management and Operating (NWMS M&O) Contractor to verify that specific prerequisites and programmatic requirements have been satisfied prior to the start or continuation of a design phase, process, or other Contractor activity.

3. APPLICABLE DOCUMENTS/DEFINITIONS

3.1 APPLICABLE DOCUMENTS

- 3.1.1 "Quality Assurance Requirements for the Civilian Radioactive Waste Management Program," (QARD), DOE/RW-0214.
- 3.1.2 "The Nuclear Waste Management System, Management & Operating Contractor Quality Assurance Program Description Document," (QAPD).

3.2 DEFINITIONS

- 3.2.1 The definitions of other quality assurance related terms are found in the Glossary contained in paragraph 3.1.1.
- 3.2.2 Attribute List - The list of prerequisites to be verified during the Readiness Review.
- 3.2.3 Hold point - An identified point beyond which work cannot proceed until authorized by the General Manager.

4. RESPONSIBILITIES

4.1 GENERAL MANAGER

- 4.1.1 Review and approve this procedure.

4.1.2 Determine if and when a readiness review should be performed.

4.1.3 Determine the scope of the readiness review.

4.1.4 Appoint the chairperson and members of the Readiness Review Board.

4.1.5 Appoint the team leader of the Readiness Review Team.

4.1.6 Approve the Readiness Review Report.

4.1.7 Authorize the start or continuation of work following completion of the readiness review.

4.2 READINESS REVIEW BOARD CHAIRPERSON

4.2.1 Approve the Readiness Review Plan.

4.2.2 Approve the Readiness Review Report prior to forwarding to the General Manager for his final action.

4.3 READINESS REVIEW BOARD

The Readiness Review Board is responsible for advising the Readiness Review Board Chairperson.

4.4 READINESS REVIEW TEAM LEADER

4.4.1 Establish the qualifications and select Readiness Review Team members.

4.4.2 Prepare the Readiness Review Plan.

4.4.3 Prepare the Attribute List prior to the start of the review.

4.4.4 Approve the Attribute List.

4.4.5 Direct team members during the conduct of the review.

4.4.6 Prepare and approve the Readiness Review Report.

4.4.7 Track open items and document closure.

4.4.8 Submit Quality Assurance (QA) records to the M&O Local Records Center.

4.5 READINESS REVIEW TEAM

- 4.5.1 Support the Readiness Review Team Leader (RRTL) in the development of the Readiness Review Plan.
- 4.5.2 Support the RRTL in the development the Readiness Review Attribute List.
- 4.5.3 Complete assigned sections of the Attribute List and prepare Open Item Reports during the readiness review.
- 4.5.4 Provide input and recommendations for the Readiness Review Report.

4.6 QUALITY ASSURANCE MANAGER

- 4.6.1 Prepare and maintain this procedure.
- 4.6.2 Review and approve this procedure.
- 4.6.3 Provide resources and assistance in the performance of readiness reviews, as requested.

5. PROCEDURE

5.1 GUIDELINES FOR READINESS REVIEWS

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

5.2 READINESS REVIEW TEAM

- 5.2.1 Readiness Review Team members will usually be M&O personnel unless particular outside expertise is required.
- 5.2.2 Team members shall have, at a minimum, experience in the disciplines undergoing readiness review. Team members shall be trained on this procedure and other appropriate procedures as assigned by the RRTL.

5.3 READINESS REVIEW BOARD

A Readiness Review Board will be selected by the General Manager from outside the M&O to provide an independent review of the determinations of the Readiness Review Team. The Board membership will provide a range of experience that includes large scale program management and nuclear quality assurance.

5.4 INITIATING READINESS REVIEW

5.4.1 Determination of the need for a readiness review shall be made by the M&O General Manager. He will document the need for the readiness review and identify the specific point at which the readiness review will be performed.

5.4.2 The Assistant General Managers and other line managers shall notify the General Manager when a design phase, process, or other Program activity has progressed to the point where a readiness review is needed.

5.4.3 Upon notification that a readiness review is required, the General Manager shall define the scope of the review, establish guidelines in accordance with paragraph 5.1 for performing the review, and appoint the Readiness Review Board Chairperson, the Readiness Review Board, and the Readiness Review Team Leader.

5.4.4 Based upon the scope of the readiness review, the RRTL shall select team members for the Readiness Review Team and assign any needed training.

5.4.5 The Readiness Review Team shall prepare the Readiness Review Plan using the guidelines provided by the General Manager. The Plan shall include the following, as appropriate:

- A.** Introduction and overview
- B.** Scope and areas to be covered
- C.** Objectives to be determined
- D.** Reference procedures to be used
- E.** Readiness review guidelines
- F.** Readiness review assumptions

G. Readiness review schedule, indicating significant milestones and due dates for reports

H. Identification of RRT members and their area of responsibility

I. Approval of the RRTL.

5.4.6 The RRTL will review the Plan with the Readiness Review Board and obtain the approval of the Board Chairperson.

5.4.7 Following approval of the plan, the RRT shall develop the Attribute List (Attachment I). The Attribute List identifies the prerequisites to be verified during the readiness review. Examples of readiness review attributes are included in Attachment II.

5.4.8 The RRTL shall review and approve the Attribute List.

5.5 READINESS REVIEW

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

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

A. The Attribute and Open Item Numbers

B. Descriptions of the prerequisites and the open item

C. Required actions, and the responsibility and estimated completion date for each action

D. Signature and date of the preparer

E. Identification of any hold points that are established if work is permitted to start or resume prior to closure of the open item.

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

- 5.5.4 The RRTL shall coordinate the preparation of the Readiness Review Report, ensuring that all items on the Attribute List have been closed or have been incorporated on Open Item Reports, as appropriate. The report shall include a list of team members and any recommendations regarding readiness to start or continue the activity undergoing review. The RRTL shall attach any Open Item Reports, sign and date the Readiness Review Report, and submit the report to the Readiness Review Board for their approval.
- 5.5.5 The RRTL shall present the Readiness Review Report to the Readiness Review Board for their consideration. The RRTL and team shall respond to any questions from the board and provide any necessary clarification.
- 5.5.6 The Readiness Review Board will consider the RRTL presentation and the Readiness Review Report. The board will advise the Chairperson as to the disposition of the report. The board may accept the report or direct changes to reflect the decisions of the board. The Chairperson will sign the final report approved by the board and forward it to the General Manager for approval.

5.6 ACTION SUBSEQUENT TO REVIEW

- 5.6.1 When the General Manager has reviewed and approved the Readiness Review Report, the report and attached Open Item Reports shall be distributed to affected organizations.
- 5.6.2 The RRTL shall track open items and document closure on the Open Item Reports as appropriate. The RRTL shall notify the General Manager when all actions required prior to the start or continuation of work have been completed.
- 5.6.3 Following the approval of the Readiness Review Report or the notification described in paragraph 5.6.2, as necessary, the General Manager may authorize the start or continuation of the design phase, process, or Program activity. The RRTL shall continue to track remaining open items, documenting closure on the Open Item Report when actions are completed. Work shall not proceed beyond any hold point established on the Open Item Report until the closure of the item is approved by the General Manager.
- 5.6.4 The RRTL shall assemble the quality assurance records generated as a result of this procedure for submittal to the M&O local records center in accordance with paragraph 6.
- 5.6.5 Readiness Review Boards and teams will be disbanded upon the completion of the recommendations by the Board to the General Manager. Individual team members may be assigned to assist the team leader in tracking open items and assembling quality assurance records.

6. RECORDS

The Readiness Review Plan, Attribute List, Open Item Reports, Readiness Review Team Report, final Readiness Review Report signed by the Readiness Review Board Chairperson, and the General Manager's authorization to start or continue work are QA records that shall be collected and maintained in accordance with QAP-17-1, QA Records Management.

7. ATTACHMENTS

7.1 ATTACHMENT I - Readiness Review Attribute List (Example).

7.2 ATTACHMENT II - Examples of Readiness Review Attributes.

7.3 ATTACHMENT III - Readiness Review Open Report List (Example).

7.4 ATTACHMENT IV - Readiness Review Open Items List (Example).

ATTACHMENT I
READINESS REVIEW ATTRIBUTE LIST - (EXAMPLE)

Nuclear Waste Management System Management & Operating Contractor		Page _____ of _____ QA
READINESS REVIEW ATTRIBUTE LIST		
READINESS REVIEW:		
ATTRIBUTE NUMBER	DESCRIPTION OF PREREQUISITE	CLOSED

FTX-A043
REV. 0

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**ATTACHMENT II
EXAMPLES OF READINESS REVIEW ATTRIBUTES**

1. Do management plans exist?
2. Do activity plans exist?
3. Are staffing requirements adequately addressed?
4. Are there means to answer questions from the public?
5. Has the M&O approved the plans?
6. Has training been provided?
7. Has policy been established by the M&O?
8. Are contracts in place?
9. Have technical specifications been developed and approved?
10. Have quality assurance programmatic requirements been defined for the activities under review?
11. Have quality levels, inspection points, hold points, and QA reviews been established, reviewed, and approved?
12. Have organizational and physical interfaces been defined and documented?
13. Are documents in place to ensure that regulatory requirements have been addressed including local, state, or federal permits?
14. Has the proper level of authority been delegated to the activity?
15. Are logical interfaces between network activities established?
16. Are implementing procedures in place, adequate, and approved?
17. Have facilities been acquired and are they operational?
18. Are funds available to do the work?

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ATTACHMENT II (Continued)
EXAMPLES OF READINESS REVIEW ATTRIBUTES

19. Has handling of data, information, and records been addressed?
20. Have safety and health measures been identified?
21. Have security requirements, including computer access, been addressed?
22. Has Acquisition Executive approval been received for applicable key decisions required by DOE Project Management System?
23. Do schedules exist and are they adequate?

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**ATTACHMENT III
READINESS REVIEW OPEN ITEM REPORT - (EXAMPLE)**

Nuclear Waste Management System		Page _____ of _____
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READINESS REVIEW OPEN-ITEM REPORT		
READINESS REVIEW	ATTRIBUTE NO.	OPEN ITEM NO.
DESCRIPTION OF PREREQUISITE		
DESCRIPTION OF OPEN ITEM		
ACTIONS REQUIRED TO CLOSE	RESPONSIBILITY	ESTIMATED COMPLETION DATE
HOLD POINT REQUIRED? YES ___ NO ___		
PREPARED BY		
_____		_____
Name		Date
ASSIGNMENT OF HOLD POINTS:		
ACTIONS COMPLETED DATE:	VERIFIED BY:	
CLOSURE APPROVED BY		
_____		_____
M&O GENERAL MANAGER		Date
FTX-A045 REV. 0		
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ATTACHMENT IV
READINESS REVIEW OPEN ITEMS LIST - (EXAMPLE)

Nuclear Waste Management System			Page _____ of _____		
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READINESS REVIEW OPEN-ITEMS LIST					
READINESS REVIEW					
OPEN ITEM NO.	ACTION REQUIRED	RESPONSIBILITY	ESTIMATED COMPLETION DATE	DATE CLOSED	CLOSED BY (INITIALS)
FTX-A044 REV. 0					QAP-2-6

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