BASALT WASTE ISOLATION PROJECT

READINESS REVIEW REPORT

BY

GENERAL RESTART TEAM

DETAILED CHECKLIST
(BACK-UP MATERIAL)

E H Petrie 5/20/87
E. H. Petrie, Team Leader

May 20, 1987

Department of Energy
Richland, Washington

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PDR WASTE
WM-10 PDR

DETAILED CHECKLISTS

This document contains detailed checklists prepared by the General Restart Readiness Review Team members in assessing the "Readiness" of Rockwell's quality and business management systems.

These detailed questions were designed to provide information in support of the specific checklist items, which are shown in ALL CAPS prior to each set of questions.

The detailed questions related to the Rockwell Restart Package were divided into those questions related to quality systems, Section 1, and those question related to business systems, Section 2. The checklist items 1.1, 1.2, etc. represent the quality systems while the checklist items 2.1, 2.2, etc. represent the business systems.

It should be noted that revisions to the checklist questions and responses were developed as the work evolved. As Rockwell and the team members identified issues, and as these issues were resolved, the questions and responses were revised.

All ~~of the~~ revisions of response to the various checklist questions have been included in this document for record purposes and to provide a trail through the various ~~revisions.~~ response updates. (The revision level of the C/L questions at the start of the assessment was the revision level associated with Rev. 0 responses)

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Postma Date: 5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 4
1.0	GENERIC QUALITY ASSURANCE START/RESTART CRITERIA	
1.1	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE.	On 5/1/87, Rockwell provided a Master Document List (MDL) which supercedes the MDL dated 4/27/87. The MDL indicates that 33 of 33 QA documents have been released for project use.
	Questions:	The MDL was issued by Rockwell Project Directive BDC (87-002 Rev. 2) which is controlled by Rockwell ~~DCC~~ (in accordance with PMPM 01-110). ~~The directive required the MDL to be issued on a monthly basis~~. The MDL is controlled by way of a controlled data base. The procedure which will control the data base (PMPM 08-134) is being developed and is scheduled for release on 5/20/87.
1.1	a) Is a master list of BWI Project Level and Participant Level documents provided?	a) Yes. The MDL was initially issued on 4/27/87 by Project Directive 87-002, Revision 2. The current MDL is dated 5/1/87.
1.1	a) Does the list include the QA documents which are identified as required for restart?	b) Yes. The QA documents are listed on the MDL. The list does not identify those documents required for restart. Documents required for restart are identified in Appendix F of the restart report.
1.1	c) Is the master list identified as a controlled document?	c) Yes. The MDL was issued by Rockwell Project Directive (87-002 Rev. 2) which is controlled by Rockwell BDC (in accordance with PMPM 01-110). The directive requires the MDL to be issued on a monthly basis. The MDL is controlled by way of a controlled

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pettman Date: 5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 4
		data base. The procedure which will control the data base (PMPM 08-134) is being developed and is scheduled for release on 5/20/87.
1.1	d) Does the master list indicate that the QA documents have been "released for project use"?	d) Yes. The MDL indicates released for project use by entry of the date in the "issue" column.
1.1	e) Is evidence provided that documents have been released through "Document Control"?	e) Yes. MA-17 table of contents indicates approved and issued procedures by "issue date" entries. Procedures are contained in 3-ring binders issued by Rockwell BOC and traceable to the assignee.
1.1	f) DOES THE LIST CONTAIN PARTICIPANT level QA DOCUMENTS "REQUIRED FOR RESTART" AS WELL AS ROCKWELL DOCUMENTS?	f) YES. DOE IS THE ONLY PARTICIPANT WITH THE SCOPE OF THE RESTART REPORT. THE STATUS LIST IDENTIFIES THOSE QA RELATED DOCUMENTS REQUIRED FOR RESTART, e.g., QA PLAN, BQARD.

EHP 5/7/87 JAM

EHP 5/7/87

EHP 5/7/87 JAM

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/1/87

Jim Bohm 5/1/87
[illegible] 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
1.1	d) Does the master list indicate that the QA documents have been "released for project use"?	d) Yes. The MDL indicates released for project use by entry of the date in the "issue" column.
1.1	e) Is evidence provided that documents have been released through "Document Control"?	e) Yes. MA-17 table of contents indicates approved and issued procedures by "issue date" entries. Procedures are contained in 3-ring binders issued by Rockwell DCC and traceable to the assignee.
1.1	f) Does the list contain participant level QA documents "required for restart" as well as Rockwell documents?	f) Yes. DOE is the only participant with the scope of the restart report. The status list identifies those QA related documents required for restart, e.g., QA Plan, BQARD.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Bostick Date: 5/1/87

5/1/87
5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.0	GENERIC QUALITY ASSURANCE START/RESTART CRITERIA	
1.1	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	The status of these documents could not be determined from the information supplied with the Restart Readiness Report or other reports submitted by Rockwell. Subsequently, a "Controlled Document List," (CDL) dated 2-19-87, was provided and was also found inadequate. A revised CDL was issued on 3-20-87 and it ~~also~~ was ~~in~~adequate as a Master List. The CDL indicates 27 of 33 QA documents required for restart have been released. Note: On 4-7-87, Rockwell representatives notified DOE that the CDL would be superceded with a Master Document List. The list will be evaluated in Rev. 3 of this checklist. EHB 5/1/87
1.1	a) Is a master list of BWI Project Level and Participant Level documents provided?	a) Yes. The CDL was updated from its initial issue (Project Directive PD-87-002 Rev. 0; Letter 32909,R1) by a Manual Revision Instruction PDR-00019 dated 3-23-87.
1.1	b) Does the list include the QA documents which are identified as required for restart? EHB 5/1/87	b) Yes. The QA documents are listed on the CDL. ~~However~~ The list does not identify those documents required for restart. Documents required for restart are identified in Appendix F of the restart report.
1.1	c) Is the master list identified as a controlled document?	c) Yes. The CDL was issued by Rockwell Project Directive (letter 32909 R,1) which is controlled by RHO DCC (in accordance with PMPM 01-110). The directive requires the CDL to be issued on a monthly basis. The first revision, dated 3-13-87, was issued 3-20-87. The review team utilized a copy of the CDL issued to Al

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Peterson Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		Hawkins in the evaluation (Manual Copy Number 114).
1.1	d) Does the master list indicate that the QA documents have been "released for project use"?	d) Yes. ~~The list contains status information for document revisions which in certain instances causes the information for issued documents to be eliminated from the list.~~
1.1	e) Is evidence provided that documents have been released through "Document Control"?	e) Yes. MA-17 table of contents indicates approved and issued procedures by "issue date" entries. Procedures are contained in 3-ring binders issued by RHO DCC and traceable to the assignee.
1.1	f) Does the list contain participant level QA documents "required for restart" as well as Rockwell documents?	f) Yes. DOE is the only participant with the scope of the restart report. The status list identifies those QA related documents required for restart, e.g., QA Plan, BQARD.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar A. Peters Date: 4/6/87

4/6/87
J. Marcella 4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.1	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	The status of these documents could not be determined from the information supplied with the Restart Readiness Report or other reports submitted by Rockwell. Subsequently, a "Controlled Document List," (CDL) dated 2-19-87, was provided and was also found inadequate as a Master List. (Ref Item d) 4/6/87
1.1	a) Is a master list of BWI Project Level and Participant Level documents provided?	a) Yes. On 2-19-87, Letter 32909,R1 identified the BWIP CDL from RHO.
1.1	b) Does the list include the QA documents which are identified as required for restart?	b) Yes. The QA documents are listed on the CDL, however the list does not identify those documents required for restart. Documents required for restart are identified in Appendix F of the restart report.
1.1	c) Is the master list identified as a controlled document?	c) Yes. The CDL was issued by Rockwell Project Directive (letter 32909 R-1) which is controlled by RHO DCC (in accordance with PMPM 01-110). The directive requires the CDL to be issued on a monthly basis.
1.1	d) Does the master list indicate that the QA documents have been "released for project use"?	d) No. The list contains status information for document revisions which in certain instances causes the information for issued documents to be eliminated from the list.
1.1	e) Is evidence provided that documents have been released through "Document Control"?	e) Yes. MA-17 table of contents indicates approved and issued procedures by "issue date" entries. Procedures are contained in 3-ring binders issued by RHO DCC and traceable to the assignee.
1.1	f) Does the list contain participant level QA	f) Yes. DOE is the only participant with the scope of

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Pitman Date: 4/6/87

4/6/87
4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	documents "required for restart" as well as Rockwell documents?	the restart report. The status list identifies those QA related documents required for restart, e.g., QA Plan, BQARD.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E Arcitri Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
1.0	GENERIC QUALITY ASSURANCE START/RESTART CRITERIA	
1.1	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	~~The status of these documents could not be determined from the information originally supplied with the Restart Readiness Report or the Controlled Document List submitted by Rockwell. However,~~ On 4/27/87, Rockwell provided a Master Document List (MDL) which supercedes the Controlled Document List. The MDL indicates that 32 of 33 QA documents have been released for project use. ~~The final status for~~ The one remaining document IS (PMPM B-103). ~~and resolution for Question 1.1.c will be provided in revision 4 of this checklist.~~ REPEAT HERE
a) 1.1	Is a master list of BWI Project Level and Participant Level documents provided?	a) Yes. The MDL was issued on 4/27/87 by Project Directive 87-002, Revision 2
b) 1.1	Does the list include the QA documents which are identified as required for restart?	b) Yes. The QA documents are listed on the MDL. ~~however~~ The list does not identify those documents required for restart. Documents required for restart are identified in Appendix F of the restart report.
1.1	c) Is the master list identified as a controlled document?	c) Yes. The MDL was issued by Rockwell Project Directive (87-002 Rev. 2) which is controlled by Rockwell DCC (in accordance with PMPM 01-110). The directive requires the MDL to be issued on a monthly basis. The MDL is controlled by way of a controlled data base. The procedure which will control the data base (PMPM 08-134) is being developed and is scheduled for release on 5/20/87.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Cretini Date: 3/18/87
Rev. No. 3

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0 Concurrence - T J Marcella 3/19/87
1.1	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	The status of these documents could not be determined from the information supplied with the Restart Readiness Report or other reports available from Rockwell. Subsequently, a "Controlled Document List" was provided and was also found inadequate as a Master List. The Control Document List is discussed in Rev. 1 response to this checklist.
1.1	a) Is a master list of BWI Project Level and Participant Level documents provided?	a) No. Only a status list of documents required for restart was provided in Appendix F of the Restart Readiness Report. The list is not acceptable as it is not a controlled list. The review team utilized the table of contents in MA-17 (Rev. 35) to identify the approved and issued QAAPs.
1.1	b) Does the list include the QA documents which are identified as required for restart?	b) The Status List (Appendix F) identifies 27 of 30 RHO QAAPs and other QA related documents such as MA-3, BQARD and the QA Plan, as required for restart. The MA-17 table of contents identifies RHO procedures including the QAAPs. From a total of 119 documents, approximately 76 are considered to be QA documents. (Also, see letter 87-QSB-52.)
1.1	c) Is the master list identified as a controlled document?	c) No.
1.1	d) Does the master list indicate that the QA documents have been "released for project use"?	d) Both the Status List and the MA-17 table of contents provide a "released for project use" indicator.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Oster Date: 3/19/87
Rev. No. 3

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0 Bri Bohn 3/19/87 comments - T. J. Marcella
		o Status List - "release date" o MA-17 T of C - "issue date" MA-17 T of C - Rev. 35 indicated that 15 QAAPs have been released, and Rev 47 indicates that 71 of the 76 QA documents required for restart have been issued.
1.1	e) Is evidence provided that documents have been released through "Document Control"?	e) Yes. MA-17 table of contents indicates approved and issued procedures by "issue date" entries. Procedures are contained in 3-ring binders issued by DCC and traceable to the assignee.
1.1	f) Does the list contain participant level QA documents "required for restart" as well as Rockwell documents?	f) Yes. DOE is the only participant within the scope of the Restart Report. The Status List identifies those QA related documents required for restart, e.g., QA Plan, BQARD.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Peterson Date: 5/7/87

5/7/87
5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 4
1.2	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART, AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE APPROVED BY DOE-RL BWI WHERE APPROVAL IS REQUIRED.	On 5/1/87, Rockwell provided a Master Document List (MDL) which supercedes the MDL dated 4/27/87. The MDL indicates that 33 of 33 QA documents requiring DOE approval have been approved.
	Questions:	DOE-RL has not provided Rockwell with a signature authority list.
1.2	a) Does the Master List, if provided, indicate which documents require DOE-RL approval prior to restart?	a) Yes. Documents requiring DOE-RL approval prior to restart are indicated on the MDL. In addition, documents requiring this approval are listed in letter 87-QSB-09.
1.2	b) Has evidence of DOE-RL approval of the documents been included? Referenced?	b) Yes. Upon approval of documents, "issue" dates are identified.
1.2	c) If Master List does not indicate approval by DOE-RL, is a separate list, indicating approval requirements, provided?	c) Not applicable (the MDL indicates approval by DOE).
1.2	d) Has the list of QA generic documents requiring DOE-RL approval been approved by DOE-RL? Is evidence of approval of the list provided?	d) Yes. Document approval requirements by DOE were specified in letter 87-QSB-09.
1.2	e) Are participant documents included, in addition to Rockwell documents?	e) Yes. Participant documents are included (i.e., DOE only).
1.2	f) Does Rockwell have the documented basis for the approval authority?	f) Yes. The 87-QSB-09 letter officially specifies DOE approval ~~requirements~~ AUTHORITY.

CJP 5/7/87 JCM

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Peterson Date: 5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 4 Bill Bohm 5/7/87 J. J. Mcnelles 5/7/87
1.2	g) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE? EMP 5/7/87	g) For documents approved by DOE, Rockwell maintains the DOE transmittal letter in the document history file. ~~Not~~ All documents requiring approval have been approved.
1.2	h) Has the DOE approval been provided by a documented DOE approval authority?	h) No. DOE-RL has not provided Rockwell with a signature authority list.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pettis Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3 J. Gherardella 5/1/87
1.2	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART, AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE APPROVED BY DOE-RL BWI WHERE APPROVAL IS REQUIRED. Questions:	~~The status of those documents could not be determined from the information originally supplied with the Restart Readiness Report or the Controlled Document List submitted by Rockwell. However,~~ On 4/27/87, Rockwell provided a Master Document List (MDL) which supercedes the Controlled Document List. The MDL indicates that 32 of 33 QA documents requiring DOE approval have been approved. ~~The final status for~~ The one remaining document is (PMPM 08-103). ~~and resolution for Question 1.2b will be provided in Revision 4 of this checklist.~~ DOE-RL HAS NOT PROVIDED ROCKWELL WITH A SIGNATURE AUTHORITY LIST. EHP 5/1/87 EHP 5/1/
1.2	a) Does the Master List, if provided, indicate which documents require DOE-RL approval prior to restart?	a) Yes. Documents requiring DOE-RL approval prior to restart are indicated on the MDL. In addition, documents requiring this approval are listed in letter 87-QSB-09.
1.2	b) Has evidence of DOE-RL approval of the documents been included? Referenced?	b) Yes. Upon approval of documents, "issue" dates are identified.
1.2	c) If Master List does not indicate approval by DOE-RL, is a separate list, indicating approval requirements, provided?	c) Not applicable (the MDL indicates approval by DOE).
1.2	d) Has the list of QA generic documents requiring DOE-RL approval been approved by DOE-RL? Is evidence of approval of the list provided?	d) Yes. Document approval requirements by DOE were specified in letter 87-QSB-09.
1.2	e) Are participant documents included, in addition to Rockwell documents?	e) Yes. Participant documents are included (i.e., DOE only).

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C.H. Petine Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3 R.J. Marcellus 5/1/87
1.2	f) Does Rockwell have the documented basis for the approval authority?	f) Yes. The 87-QSB-09 letter officially specifies DOE approval requirements.
1.2	g) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE?	g) For documents approved by DOE, Rockwell maintains the DOE transmittal letter in the document history file. Not all documents requiring approval have been approved.
1.2	h) Has the DOE approval been provided by a documented DOE approval authority?	h) No. DOE-RL has not provided Rockwell with a signature authority list.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: E.J. Petrie Date: 5/1/87

5/1/87
T.J. Marcella 5/1/87
CHP 5/1/87
DATED 3/20/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.2	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART, AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE APPROVED BY DOE-RL BWI WHERE APPROVAL IS REQUIRED. Questions:	The revised Controlled Document List (CDL) does not identify documents which must be approved by DOE-RL prior to restart. DOE-RL Letter 87-QSB-09 identifies documents which shall be approved by DOE-RL prior to restart. The CDL indicates 23 of 33 QA documents requiring DOE approval have been approved.
1.2	a) Does the Master List, if provided, indicate which documents require DOE-RL approval prior to restart?	a) No. Documents requiring DOE-RL approval prior to restart are not directly indicated. Documents requiring this approval are listed in letter 87-QSB-09. This item is satisfactory.
1.2	b) Has evidence of DOE-RL approval of the documents been included? Referenced?	b) Yes. Upon approval of documents, "issue dates" are identified. To determine if approval of a document is required for restart, referral to letter 87-QSB-09 is necessary.
1.2	c) If Master List does not indicate approval by DOE-RL, is a separate list, indicating approval requirements, provided?	c) Not applicable (the CDL indicates approval by DOE.)
1.2	d) Has the list of QA generic documents requiring DOE-RL approval been approved by DOE-RL? Is evidence of approval of the list provided?	d) Yes. Document approval requirements by DOE were specified in Letter 87-QSB-09.
1.2	e) Are participant documents included, in addition to Rockwell documents? If so, have they been approved?	e) Yes. Participant documents are included (i.e., DOE only). Reference to Letter 87-QSB-09 to determine if DOE-RL approval is required prior to restart.
1.2	f) Does Rockwell have the documented basis for the approval authority?	f) Yes. The 87-QSB-09 letter officially specifies DOE approval requirements.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E B Petra Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.2	g) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE?	g) For documents approved by DOE, RHO maintains the DOE transmittal letter in the document history file. Not all documents requiring approval have been approved.
1.2	h) Has the DOE approval been provided by a documented DOE approval authority?	h) No. DOE-RL has not provided RHO with a signature authority list.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Pitts Date: 4/6/87

4/6/87
J. J. Mandella 4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.2	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART, AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE APPROVED BY DOE-RL BWI WHERE APPROVAL IS REQUIRED. Questions:	RHO BWIP "Controlled Document List" (CDL) does not identify documents which must be approved by DOE-RL prior to restart. DOE-RL Letter 87-QSB-09 identifies documents which shall be approved by DOE-RL prior to restart. Not all documents requiring approval have been approved. (REF ITEM G & H) EHP 4/6/87
1.2	a) Does the Master List, if provided, indicate which documents require DOE-RL approval prior to restart?	SATISFACTORY EHP 4/6/87 a) No. Documents requiring DOE-RL approval prior to restart are not directly indicated. Documents requiring this approval are listed in letter 87-QSB-09.
1.2	b) Has evidence of DOE-RL approval of the documents been included? Referenced?	b) Yes. Upon approval of documents, "issue dates" are identified. To determine if approval of a document is required for restart, referral to letter 87-QSB-09 is necessary.
1.2	c) If Master List does not indicate approval by DOE-RL, is a separate list, indicating approval requirements, provided?	c) Not applicable (the CDL indicates approval by DOE.)
1.2	d) Has the list of QA generic documents requiring DOE-RL approval been approved by DOE-RL? Is evidence of approval of the list provided?	d) Yes. Document approval requirements by DOE were specified in Letter 87-QSB-09.
1.2	e) Are participant documents included, in addition to Rockwell documents? If so, have they been approved?	e) Yes. Participant documents are included (i.e., DOE only). Reference to Letter 87-QSB-09 to determine if DOE-RL approval is required prior to restart.
1.2	f) Does Rockwell have the documented basis for the approval authority?	f) Yes. The 87-QSB-09 letter officially specifies DOE approval requirements.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Peterson Date: 4/6/87

4/6/87
4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.2	g) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE?	g) For documents approved by DOE, RHO maintains the DOE transmittal letter in the document history file. Not all documents requiring approval have been approved.
1.2	h) Has the DOE approval been provided by a documented DOE approval authority?	h) No. DOE-RL has not provided RHO with a signature authority list.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Peterson Date: 3/19/87
Rev. No. 3

3/19/87
3/19/87

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0
1.2	THOSE GENERIC QUALITY ASSURANCE DOCUMENTS REQUIRED FOR RESTART, AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE APPROVED BY DOE-RL BWI WHERE APPROVAL IS REQUIRED. Questions:	The documents required for restart which require DOE approval are identified in letter 87-QSB-09. For documents which have been approved, RHO maintains the DOE transmittal letter in the document history files. Of the 33 QA documents which require approval, 16 have been approved as of Rev. 35 of the MA-17 table of contents.
1.2	a) Does the Master List, if provided, indicate which documents require DOE-RL approval prior to restart?	a) No. The Status List (Appendix F) presented by RHO as the "Master List" does not directly indicate which documents require DOE-RL approval. Documents requiring this approval are listed in Letter 87-QSB-09.
1.2	b) Has evidence of DOE-RL approval of the documents been included? Referenced?	b) Yes. The Status List has a column which records document submittal/approval dates from DOE. The MA-17 table of contents, Rev. 35, lists 15 QAAPs approved and issued.
1.2	c) If Master List does not indicate approval by DOE-RL, is a separate list, indicating approval requirements, provided?	c) No other list was provided.
1.2	d) Has the list of QA generic documents requiring DOE-RL approval been approved by DOE-RL? Is evidence of approval of the list provided?	d) Yes. As stated above, document approval requirements by DOE were documented in Letter 87-QSB-09. The letter specifically states that the list attached to the letter will be utilized during DOE's evaluation of the Restart Readiness Report. QA documents were selected from this list by the review team.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Bertine Date: 3/19/87
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3/19/87

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0
1.2	e) Are participant documents included, in addition to Rockwell documents? If so, have they been approved?	e) Yes. Participant documents are included as necessary (i.e., DOE only). The 2 QA documents (BQARD and QA Plan) have been approved and issued.
1.2	f) Does Rockwell have the documented basis for the approval authority?	f) Yes. The 87-QSB-09 letter officially documents the DOE as the approval authority.
1.2	g) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE?	g) For documents approved by DOE, RHO maintains the DOE transmittal letter in the document history file.
1.2	h) Has the DOE approval been provided by a documented DOE approval authority?	h) No. DOE-RL has not provided RHO with a signature authority list. DOE approval is documented by transmittal letter signed by a branch chief.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M Petus Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 3
1.3	A REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX TO BE PROVIDED BY ROCKWELL WHICH IDENTIFIES SOURCE REQUIREMENTS AND IMPLEMENTING PROCEDURES AND IS AVAILABLE FOR BWIP USE. Questions: 1 - THE SELECTED DOCUMENT LISTING (REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX) MUST BE COMPLETED AND VERIFIED. 2 - THE PROCEDURES MUST BE REVISED TO INCLUDE ALL BOARD REQUIREMENTS CTP 5/15/87 5/15/87	CTP 5/15/87 BASED UPON A SAMPLE OF 100, OUT OF 897, The Selected Document Listing (SDL) dated 5/5/87 identifies the MA-3 requirements and the corresponding implementing procedure paragraphs. Approximately 20 percent of the requirements were inadequately identified in the procedures included in the Index. However, it was determined that all requirements were included adequately in unlisted procedures. The Team evaluated 65 of the discrepancies, identified by Rockwell in the Index, and found that 21 were adequately addressed in the procedures. SAMPLED
1.3	a) Has a Requirements and Implementing Procedures Index been provided?	a) Yes. The uncontrolled Selected Document List. EGP 5/15/87
1.3	b) Does the Index identify source requirements and implementing procedures?	b) Yes.
1.3	c) Is there evidence that the Index is a controlled document?	c) No. It is not a controlled document.
1.3	d) Is the Implementing Procedure Index complete, accurate?	d) No. 897 requirements were included and indicated as being adequately addressed. The team evaluated a random sample of 100 of the requirements so indicated. It was found that: 17 Requirements not in the procedures 3 Requirements in draft procedures 4 Requirements partially addressed 5 Unreleased procedures

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Signature: E St Pettis Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 3 Jim Bohm 5/15/87
		Each of the above requirements was examined in detail, and it was determined that the requirement was adequately addressed in a released procedure. The index indicated that 129 items were not addressed or were incorrectly addressed in procedures. The team evaluated 65 of these and determined that 21 of these were adequately addressed in released procedures.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar T. Patrice Date: 5/14/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 2
1.3	A REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX TO BE PROVIDED BY ROCKWELL WHICH IDENTIFIES SOURCE REQUIREMENTS AND IMPLEMENTING PROCEDURES AND IS AVAILABLE FOR BWIP USE. ETP 5/14/87	The Selected Document Listing (SDL) (DATED 5/5/87) identifies the MA-3 requirements and the corresponding implementing procedure paragraphs. APPROXIMATELY 20% OF THE REQUIREMENTS WERE INADEQUATELY IDENTIFIED IN THE PROCEDURES INCLUDED IN THE INDEX. HOWEVER, IT WAS DETERMINED THAT ALL REQUIREMENTS WERE INCLUDED ADEQUATELY IN UNLISTED PROCEDURES. THE TEAM'S EVALUATION ETP 5/14/
	Questions:	
1.3	a) Has a Requirements and Implementing Procedures Index been provided?	a) Yes. The uncontrolled Selected Document List, OF THE PROCEDURES INDICATED THERE WERE 25 REQUIREMENTS WHICH WERE INADEQUATELY ADDRESSED. ETP 5/14/87
1.3	b) Does the Index identify source requirements and implementing procedures?	b) Yes.
1.3	c) Is there evidence that the Index is a controlled document?	c) No. It is not a controlled document. ETP 5/14/87
1.3	d) Is the Implementing Procedure Index complete, accurate?	d) (NO) 897 requirements were included and indicated as being adequately addressed. The team evaluated a random sample of 100 of the requirements so indicated. It was found that: 17 Requirements not in the procedures 3 Requirements in draft procedures 4 Requirements partially addressed 5 Unreleased procedures Each of the above requirements was examined in detail, and it was determined that the requirement was adequately addressed in a released procedure. The index indicated that 74 items were not addressed or

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Signature: E.W. Peterson Date: 5/14/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 2 J. Ghanella 5-14-87
		were incorrectly addressed in procedures. The team evaluated these and determined that 49 of these were adequately addressed in released procedures.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: E T Peters Date: 5/7/87

NO.	CHECKLIST/QUESTIONS REV. ~~3~~ 4 ETP 5/7/87	RESPONSE/REFERENCE REV. 1 5/7/87 5/14/87
1.3	A REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX TO BE PROVIDED BY ROCKWELL WHICH IDENTIFIES SOURCE REQUIREMENTS AND IMPLEMENTING PROCEDURES AND IS AVAILABLE FOR BWIP USE. Questions:	Appendix B of the Restart Report was superceded (on 5/1/87) by the Selected Document Listing (SDL) which identifies the MA-3 requirements and the corresponding implementing procedure paragraphs. The review team evaluated the 897 requirements identified as acceptably implemented on the SDL, by selecting a 100 item RANDOM sample. Of these, 22 were reviewed ~~before breaking the 95 percent confidence level~~ THERE WERE (6 failures among the 22). The 6 items were judged to be failures because the requirements were not included in the referenced procedures OR THE REFERENCED PROCEDURE WAS NOT RELEASED. ETP 5/7/87
1.3	a) Has a Requirements and Implementing Procedures Index been provided?	a) Yes. The uncontrolled Selected Document List.
1.3	b) Does the Index identify source requirements and implementing procedures?	b) Yes.
1.3	c) Is there evidence that the Index ~~has been released through~~ IS A CONTROLLED document~~control~~? ETP 5/7/87	c) No. There is no evidence that the SDL was released by Rockwell DCC.
1.3	d) Is the Implementing Procedure Index complete, accurate?	d) No. See summary above.

ETP 5/7/87 IN 5 OF THE 6 CASES THE REQUIREMENT WAS FOUND IN UNLISTED OR DRAFT PROCEDURES. THE SINGLE OMISSION IS BEING RESOLVED AS PART OF ITEM 1.1 - C).

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Peter Date: 3/17/87
Rev. No. 3

Dri Bhm 3/19/87
J. Jhancella 3/19/87

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0
1.3	A REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX TO BE PROVIDED BY ROCKWELL WHICH IDENTIFIES SOURCE REQUIREMENTS AND IMPLEMENTING PROCEDURES AND IS AVAILABLE FOR BWIP USE. Questions:	The document identified as the Requirements and Implementing Procedures Index in the Restart Readiness Report (Volume 2, Appendix B) was found to be incomplete and had numerous errors. Rockwell is preparing a revised index which is discussed in Rev. 1 Response to this checklist.
1.3	a) Has a Requirements and Implementing Procedures Index been provided?	a) Yes. Appendix B in Volume 2 of Restart Readiness Report.
1.3	b) Does the Index identify source requirements and implementing procedures?	b) Yes.
1.3	c) Is there evidence that the Index has been released through document control?	c) No. The index has no evidence of being released by Rockwell Document Control Center.
1.3	d) Is the Implementing Procedure Index complete, accurate?	d) No. The index submitted is incomplete with numerous errors.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E. J. Pietus Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.4	THE DOCUMENTS IDENTIFIED IN ITEM 1.1, I.E., CHARTERS, PLANS, MANUALS AND PROCEDURE MUST INCORPORATE THE APPROPRIATE REQUIREMENTS OF THE BQARD, REV. 1. ETP 5/15/87	MA-3 is the program document which incorporates the requirements of the BQARD. Charters, plans, manuals and procedures incorporate the requirements of MA-3. There is satisfactory evidence that MA-3, Rev 1 incorporates the requirements of BQARD Rev. 1.
	ETP 5/15/87 5/15/87	The Selected Document Listing provides the traceability from the requirements included in MA-3 to the implementing procedures.
		The Selected Document Listing discussed in checklist item 1.3 was taken as the data base for this evaluation. Out of the 897 requirements which were identified as being adequately addressed, a random sample of 100 was selected. It was found that approximately 20 percent of the requirements were inadequately addressed in the procedures listed. However the team was able to find the requirements adequately incorporated in unlisted procedures in all cases. The Selected Document List indicated the following with respect to requirement/procedure discrepancies:

Requirements omitted	49
Requirements inadequately addressed	25
Requirements needing clarification	55

The team evaluated 31 of the omitted items, and determined that six if these were adequately addressed in the proceoures. In addition the team evaluated the

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Bertram Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2 5/15/87
		25 requirements which were inadequately addressed, and determined 11 of these were adequately addressed in the procedures. The team also evaluated a sample of nine of the 55 requirements needing clarification and determined that four of these were adequately addressed in the procedures. In order to assure there will be no degradation to the quality of the program three actions are in order: (1) The Selected Document List (Procedures and Requirements Implementation Index) must be completed and verified. (2) The procedures must be revised to include all BQARD requirements. (3) Prior to completion of items one and two, each work package which is to be commenced must include a listing of the applicable procedures and an evaluation to assure that they are consistent with the requirements of the BQARD.
1.4	a) Has Rockwell provided evidence that appropriate requirements of the BQARD, Rev. 1, have been included in generic QA documents?	a) Yes. Rockwell verified inclusion of BQARD requirements in the MA-3 Revision 1 (during August/September 1986). Checklists are on file with Rockwell QA Program Development Unit for the Rev. 1 verification. Verification of MA-3 Revision 2 against the requirements of BQARD Rev. 2 is presently in-process.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Patrie Date: 5/15/87

5/15/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.4	b) What is the form of this evidence, i.e., document review checklist, surveillance and/or reports, selected sampling, etc.?	b) Review checklist.
1.4	c) Has Rockwell QA verified that the requirements are adequately reflected in the procedures?	c) Yes. For MA-3 Revision 1. Revision 2 verification is in-process.
1.4	d) Is the verification adequately documented and in accordance with Rockwell procedure?	d) Yes. The verification was documented, however, there is no procedure governing the activity.
1.4	e) Select a random sample (number TBD) of the requirements, and make a determination as to whether or not the referenced procedure adequately reflects the requirement.	e) Unsatisfactory. The Selected Document Listing discussed in checklist item 1.3 was taken as the data base for this evaluation. Out of the 897 requirements which were identified as being adequately addressed, a random sample of 100 was selected. It was found that approximately 20 percent of the requirements were inadequately addressed in the procedures listed. However the team was able to find the requirements adequately incorporated in unlisted procedures in all cases. The Selected Document Listing indicated the following with respect to requirement/procedure discrepancies: Requirements omitted 49 Requirements inadequately addressed 25 Requirements needing clarification 55 The team evaluated 31 of the omitted items, and determined that six of these were adequately addressed in the procedures. In addition the team evaluated the

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pastine Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2 Dri Bhm 5/15/87
		25 requirements which were inadequately addressed, and determined 11 of these were adequately addressed in the procedures. The team also evaluated a sample of nine of the 55 requirements needing clarification and determined that four of these were adequately addressed in the procedures.

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: E M Bates Date: 5/7/87

CHARTERS PLANS, MANUALS & PROCEDURES INCORPORATE THE REQUIREMENTS OF MA-3 THERE IS SATISFACTORY EVIDENCE THAT MA-3 REV. 1 INCORPORATES THE REQUIREMENTS OF BOARD REV. 1

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.4	THE DOCUMENTS IDENTIFIED IN ITEM 1.1, I.E., CHARTERS PLANS, MANUALS AND PROCEDURE MUST INCORPORATE THE APPROPRIATE REQUIREMENTS OF THE BOARD, REV. 1. EMB 5/7/87	MA-3 is the program document which incorporates the requirements of the BOARD. ~~The current status of MA-3 is Revision 3 issued in December 1986.~~ EMB 5/7/87
1.4	a) Has Rockwell provided evidence that appropriate requirements of the BOARD, Rev. 1, have been included in generic QA documents?	a) Yes. Rockwell verified inclusion of BOARD, REV. 1 EMB 5/7/87 requirements in the MA-3 Revision 1 (during August/September 1986). Checklists are on file with Rockwell QA Program Development Unit for the Rev. 1 verification. Verification of MA-3 Revision 2 is presently in-process. AGAINST THE REQUIREMENTS OF BOARD REV. 2
1.4	b) What is the form of this evidence, i.e., document review checklist, surveillance and/or reports, selected sampling, etc.?	b) Review checklist. EMB 5/7/87
1.4	c) Has Rockwell QA verified that the requirements are adequately reflected in the procedures?	c) Yes. For MA-3 Revision 1. Revision 2 verificatio is in-process.
1.4	d) Is the verification adequately documented and in accordance with Rockwell procedure?	d) Yes. The verification was documented, however, there is no procedure governing the activity.
1.4	e) Select a random sample (number TBD) of the requirements, and make a determination as to whether or not the referenced procedure adequately reflects the requirement.	e) Unsatisfactory. See detailed checklist 1.3 revision 1.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Stine Date: 3/17/87
Rev. No. 3

Jim Bohm 3/19/87
J. J. Marcella 3/19/87

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0
1.4	THE DOCUMENTS IDENTIFIED IN ITEM 1.1, i.e., CHARTERS, PLANS, MANUALS AND PROCEDURES MUST INCORPORATE THE APPROPRIATE REQUIREMENTS OF THE BQARD, REV. 1.	All BQARD requirements were not included in the plans, manuals and procedures. This activity is reevaluated in Rev. 1 response to this checklist.
	Questions:	
1.4	a) Has Rockwell provided evidence that appropriate requirements of the BQARD, Rev. 1, have been included in generic QA documents?	a) Rockwell has not provided evidence that BQARD, Rev. 1, requirements have been included in applicable QAAPs.
1.4	b) What is the form of this evidence, i.e., document review checklist, surveillance and/or reports, selected sampling, etc.	b) None provided.
1.4	c) Has Rockwell QA verified that the requirements are adequately reflected in the procedures?	c) No, not at this time.
1.4	d) Is the verification adequately documented and in accordance with Rockwell procedure?	d) None provided.
1.4	e) Select a random sample (number TBD) of the requirements, and make a determination as to whether or not the referenced procedure adequately reflects the requirement.	e) Eight (8) of eighteen (18) chapters were reviewed of Appendix B of Restart Report. Results were as follows: o 184 Requirements reviewed o 53 Acceptable o 76 Procedures not released o 43 Requirements did not reference a procedure o 12 Procedures listed did not correctly address requirement.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pietre Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3 Rodney D Jones 5.15.87
1.5	PERSONNEL MUST BE QUALIFIED, AS APPROPRIATE, TO PERFORM SPECIFIC TECHNICAL TASKS.	Qualification for specific tasks is established in the Position Description/Job Task Analysis (JTA). The preparation of the JTAs are in process with a scheduled completion date of July 30, 1987. In the interim, Rockwell is utilizing General Job Position Descriptions as a method of establishing personnel qualification requirements for the support groups. Rockwell will submit individual work packages for DOE/RL approval. The work packages will contain personnel qualifications in accordance with the Job Position Descriptions. This alternative is considered to be acceptable for partial lifting of the Stop Work Order.
1.5	a) Has Rockwell identified the methodology for assuring that personnel are properly qualified/certified to perform work/task? (i.e., Do procedures and other documents identify minimum requirements for qualification/certification?)	a) Yes, for Project Management and Quality Assurance, see procedures 13-106, Rev. 0, para. 6.3; PD-87-005, Rev. 0; and 13-121, Rev. 0. These procedures address Job Position Descriptions, Training Requirements Matrices and Job/Task Analysis, which identify qualification and training requirements for all personnel. In addition, for QA see Desk Instructions DI-QA-02-05, DI-QA-02-06, and DI-QA-02-07 (Ref: 13-106, Rev. 0, Para. 8.0). These instructions address qualification of QA personnel, in particular the areas of Auditors and Inspection and Test personnel.
1.5	b) Do Rockwell minimum qualification/certification requirements meet applicable requirements (i.e., BQARD,	b) Yes. For Quality Assurance, Desk Instructions, DI-QA-02-06, Rev. 0, "Qualification of Quality

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E A Petrie Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
	codes, standards)?	Assurance Audit Personnel" and DI-QA-02-07, Rev. 0, "Qualification of Inspection/Test Personnel" were reviewed for compliance to the BQARD, Criterion 2 and NQA-1 with supplements 2S-1 and 2S-3. Both instructions were found to adequately address the requirements imposed. For other project personnel, Rockwell specifies the qualification requirements via the Job Position Description and Job Task Analysis systems identified in Question 1.5.A.
1.5	c) Select a sample (number TBD) of Employee Qualification/Certification/Training files and make a determination whether:	c) Rockwell Procedure 13-121 Rev. 2, Para. 6.3.2, describes maintaining current employee rosters. The procedure was reviewed by the Review Team and found to be adequate.
1.5	1. The employee meets the qualification requirements for his job position, based on Rockwell procedures/documents addressed in question a) and the records contained in the file.	1. Acceptable for Partial Restart - Rockwell has been asked to provide auditable qualification records for personnel performing quality-affecting work with each work initiation package submitted for restart prior to completion of the Job Task Analysis. When the JTAs are complete, currently scheduled for July 30, 1987, ~~the Review Team will review~~ a sample of completed JTA records for compliance with Rockwell procedures. In the interim Rockwell for support groups Rockwell is utilizing General Position Descriptions as a method of establishing personnel qualification requirements. Reference Rockwell Internal Letter dated 4/27/87 #72000-67-094 J. R. Kirkendall to R. T. Johnson.
1.5	2. Where certification is required, has the employee been certified by the appropriate certifying	2. Yes. The Review Team identified two areas within Rockwell where personnel require certification:

EAP 5/15/87 WILL BE REVIEWED

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Signature: E H Peterson Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
	authority as described in procedures?	lead auditors and certified instructors. The certification packages of lead auditors, J. A. Olseth and R. Viens, and certified instructors, L. E. Haler and L. B. Smigelski, were reviewed and found acceptable. The packages provided evidence that these individuals meet the qualification requirements for certification and that they were certified by the appropriate authority per procedure requirements. The Review Team conducted a reevaluation of Auditor Qualification forms for the signature of the QA Manager. Five Auditor Qualification Records were reviewed and found to be acceptable.
1.5	3. The records are consistent with procedure/document requirements.	c) 3. No, but Rockwell provided an interim Qualification Record System, until the Job Task Analysis Records are complete.
1.5	d) Has Rockwell investigated (background check) the credentials of the employee to verify accuracy?	d) Yes. (Per discussions with V. Hiltwein of Rockwell Security and J. Robbins of Rockwell Personnel.) Rockwell Security investigates the employee's previous five years in order to issue him/her a W, L, or Q clearance. This investigation basically determines if the employee is suitable to obtain a clearance (i.e., arrest record, use of illegal substances, some employment checks, etc.) In addition, the Personnel Department in conjuction with the hiring manager, investigates the employee's background to the extent necessary to give the manager assurance that the employee is acceptable to fill the position. This check includes telephone interviews with references

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Signature: E. H. Pettus Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		supplied by the employee and could include interviews with past employers. If a college degree is required, the employee furnishes evidence of completion of the college work (i.e., diploma, transcript, etc.). Normally, the education is not verified with the educational institution. This could be questioned by some regulatory types (i.e., NRC). However, there are no requirements on how to perform background investigations and the method used by Rockwell is an acceptable means. Approximately six personnel files were selected at random and the files were in order to substantiate the process used.

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E T D Stern Date: 5/8/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2 Rodney D Jones 5.8.87
1.5	PERSONNEL MUST BE QUALIFIED, AS APPROPRIATE, TO PERFORM SPECIFIC TECHNICAL TASKS.	Qualification for specific tasks is established in the Position Description/Job Task Analysis (JTA). The preparation of the JTAs are in process with a scheduled completion date of July 30, 1987. In the interim, Rockwell is utilizing General Job Position Descriptions as a method of establishing personnel qualification requirements for the support groups. Rockwell will submit individual work packages for DOE/RL approval. The work packages will contain personnel qualifications in accordance with the Job Position Descriptions. This alternative is considered to be acceptable for partial lifting of the Stop Work Order.
1.5	a) Has Rockwell identified the methodology for assuring that personnel are properly qualified/certified to perform work/task? (i.e., Do procedures and other documents identify minimum requirements for qualification/certification?)	a) Yes, for Project Management and Quality Assurance, see procedures 13-106, Rev. 0, para. 6.3; PD-87-005, Rev. 0; and 13-121, Rev. 0. These procedures address Job Position Descriptions, Training Requirements Matrices and Job/Task Analysis, which identify qualification and training requirements for all personnel. In addition, for QA see Desk Instructions DI-QA-02-05, DI-QA-02-06, and DI-QA-02-07 (Ref: 13-106, Rev. 0, Para. 8.0). These instructions address qualification of QA personnel, in particular the areas of Auditors and Inspection and Test personnel.
1.5	b) Do Rockwell minimum qualification/certification requirements meet applicable requirements (i.e., BQARD,	b) Yes. For Quality Assurance, Desk Instructions, DI-QA-02-06, Rev. 0, "Qualification of Quality

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C H Peterson Date: 5/8/87

Rodney D Jones 5.8.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
	codes, standards)?	Assurance Audit Personnel" and DI-QA-02-07, Rev. 0, "Qualification of Inspection/Test Personnel" were reviewed for compliance to the BQARD, Criterion 2 and NQA-1 with supplements 2S-1 and 2S-3. Both instructions were found to adequately address the requirements imposed. For other project personnel, Rockwell specifies the qualification requirements via the Job Position Description and Job Task Analysis systems identified in Question 1.5.A.
1.5	c) Select a sample (number TBD) of Employee Qualification/Certification/Training files and make a determination whether:	c) Rockwell Procedure 13-121 Rev. 2, Para. 6.3.2, describes maintaining current employee rosters. The procedure was reviewed by the Review Team and found to be adequate.
1.5	1. The employee meets the qualification requirements for his job position, based on Rockwell procedures/documents addressed in question a) and the records contained in the file.	c) 1. Records not available. Rockwell to obtain records, assemble in packages and review for compliance to their program. Any areas of noncompliance are to be reviewed by Rockwell, and exception with justification to be documented. It was determined that the above actions would not provide auditable records. Prior to availability of auditable records for all personnel, Rockwell has been asked to provide auditable qualification records for personnel performing quality-affecting work with each work initiation package submitted for restart prior to completion of the Job Task Analysis. When the complete set of records iscomplete, currently scheduled for July 30, 1987, the Review Team will review a sample of completed records for compliance with Rockwell procedures.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pitman Date: 5/8/87

Rodney D Jones 5.8.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.5	2. Where certification is required, has the employee been certified by the appropriate certifying authority as described in procedures?	2. Yes. The Review Team identified two areas within Rockwell where personnel require certification: lead auditors and certified instructors. The certification packages of lead auditors, J. A. Ulseth and R. Viens, and certified instructors, L. E. Haier and L. B. Smigelski, were reviewed and found acceptable. The packages provided evidence that these individuals meet the qualification requirements for certification and that they were certified by the appropriate authority per procedure requirements. The Review Team conducted a reevaluation of Auditor Qualification forms for the signature of the QA Manager. Five Auditor Qualification Records were reviewed and found to be acceptable.
1.5	3. The records are consistent with procedure/document requirements.	c) 3. Records not available. Refer to C.1, above.
1.5	d) Has Rockwell investigated (background check) the credentials of the employee to verify accuracy?	d) Yes. (Per discussions with V. Hiltwein of Rockwell Security and J. Robbins of Rockwell Personnel.) Rockwell Security investigates the employee's previous five years in order to issue him/her a W, L, or Q clearance. This investigation basically determines if the employee is suitable to obtain a clearance (i.e., arrest record, use of illegal substances, some employment checks, etc.) In addition, the Personnel Department in conjuction with the hiring manager, investigates the employee's background to the extent necessary to give the manager ~~some~~ assurance that the

EMP 5/8/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E. J. Estrada Date: 5/8/87

Rodney D Jones 5.8.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		employee is acceptable to fill the position. This check includes telephone interviews with references supplied by the employee and could include interviews with past employers. If a college degree is required, the employee furnishes evidence of completion of the college work (i.e., diploma, transcript, etc.). Normally, the education is not verified with the educational institution. This could be questioned by some regulatory types (i.e., NRC). However, there are no requirements on how to perform background investigations and the method used by Rockwell is an acceptable means. Approximately six personnel files were selected at random and the files were in order to substantiate the process used.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 4/17/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.5	PERSONNEL MUST BE QUALIFIED, AS APPROPRIATE, TO PERFORM SPECIFIC TECHNICAL TASKS. Questions:	Rodney D J [illegible] 4-23-87 UNAUDITABLE EJH 4/17/87 This was indeterminate due to ~~lack of~~ records. This is unsatisfactory, ~~and the resolution will be provided in Rev. 1~~. SEE ITEMS C) 1. & C) 3. EJH 4/17/87
1.5	a) Has Rockwell identified the methodology for assuring that personnel are properly qualified/certified to perform work/task. (i.e., Do procedures or other documents identify minimum requirements for qualification/certification?)	a) Yes, for Project Management and Quality Assurance, see procedures 13-106, Rev.0, para 6.3; PD-87-005, Rev. 0; and 13-121, Rev. 0. These procedures address Job Position Descriptions, Training Requirements Matrices and Job/Task Analysis, which, identify qualification and training requirements for all personnel. In addition, for QA see Desk Instructions DI-QA-02-05, DI-QA-02-06, and DI-QA-02-07 (Ref: 13-106, Rev.0, para 8.0). These instructions address qualification of QA personnel, in particular the areas of Auditors and Inspection and Test personnel.
1.5	b) Do Rockwell minimum qualification/certification requirements meet applicable requirements (i.e., BQARD, codes, standards).	b) Yes. For Quality Assurance, Desk Instructions DI-QA-02-06, Rev. 0, "Qualification of Quality Assurance Audit Personnel" and DI-QA-02-07, Rev. 0, "Qualification of Inspection/Test Personnel" were reviewed for compliance to the BQARD, Criterion 2 and NQA-1 with supplements 2S-1 and 2S-3, and Appendix 2A-1 and Appendix 2A-3. Both Instructions were found to adequately address the requirements imposed. For other project personnel, Rockwell specifies the qualification requirements via the Job Position Description and Job Task Analysis systems identified in Question 1.5.A.
1.5	c) Select a sample (number [60]) of Employee Qualification/Certification/Training files and make a	c) Rockwell Procedure 13-121 Rev. 2, para. 6.3.2 describes maintaining current employee rosters. The

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M Petrie Date: 4/17/87

Rodney D Jones 4-20-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	determinatin whether:	procedure was reviewed by the review team and found to be adequate.
1.5	1. The employee meets the qualification requirements for his job position, based on Rockwell procedures/documents addressed in question a) and the records contained in the file.	c) 1. Records not available. Rockwell to obtain records, assemble in packages and review for compliance to their program. Any areas of noncompliance are to be reviewed by Rockwell, and exception with justification to be documented. It was determined that the above actions would not provide auditable records. ~~This item will be provided in Rev. 1.~~ Prior to availability of auditable records for all personnel, Rockwell has been asked to provide auditable qualification records for personnel performing quality affecting work with each work initiation package submitted for restart prior to completion of the Job Task Analysis. When the complete set of records are complete, currently scheduled for July 30, 1987, the Review Team will review a sample of completed records for compliance with Rockwell procedures. EMP 4/17/87
1.5	2. Where certification is required, has the employee been certified by the appropriate certifying authority as described in procedures.	2. Yes. The Review Team identified two areas within Rockwell where personnel require certification, lead auditors, and certified instructors. The certification packages of lead auditors, J. A. Olseth and R. Viens, and certified instructors, L. E. Haler and L. B. Smigelski, were reviewed and found acceptable. The packages provided evidence that these individuals meet the qualification requirements for certification and that they were certified by the appropriate authority per procedure requirements. The Review Team conducted a reevaluation of Auditor

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Petrie Date: 4/17/87

Rodney D Jones + 4.5.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		Qualification forms for the signature of the QA manager. Five Auditor Qualification Records were reviewed and found to be acceptable.
1.5	3. The records are consistent with procedure/document requirements.	c) 3. Records not available. Reference c.1 above.
1.5	d) Has Rockwell investigated (background check) the credentials of the employee to verify accuracy?	d) Yes. (Per discussions with V. Hiltwein of Rockwell security and J. Robbins of Rockwell personnel.) Rockwell security investigates the employee's previous five years in order to issue him/her a W, L or Q clearance. This investigation basically determines if the employee is suitable to obtain a clearance (i.e., arrest record, use of illegal substances, some employment checks, etc.). In addition, the personnel department in conjunction with the hiring manager, investigates the employee's background to the extent necessary to give the manager some assurance that the employee is acceptable to fill the position. This check includes telephone interviews with references supplied by the employee and could include interviews with past employers. If a college degree is required, the employee furnishes evidence of completion of the college work (i.e., diploma, transcript, etc.). Normally the education is not verified with the educational institution. This could be questioned by some regulatory types (i.e., NRC). However, there are no requirements on how to perform background investigations and the method used by Rockwell is an acceptable means. Approximately six personnel files were selected at random and the files were in order to substantiate the process used.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M. Petersen Date: 3/24/87
Rev. No. 3

Joseph J. Krupar 3/24/87
Stuart R. Monson 3-24-87
Rodney D Jones 3.24.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.5	PERSONNEL MUST BE QUALIFIED, AS APPROPRIATE, TO PERFORM SPECIFIC TECHNICAL TASKS. Questions:	This was indeterminate due to lack of records. This is unsatisfactory and the reevaluation will be provided in Rev. 1.
1.5	a) Has Rockwell identified the methodology for assuring that personnel are properly qualified/certified to perform work/task. (i.e., Do procedures or other documents identify minimum requirements for qualification/certification?)	Yes, for Project Management and Quality Assurance, see procedures 13-106, Rev.0, para 6.3; 13-109, Rev. 0; and 13-121, Rev. 0. These procedures address Job Position Descriptions, Training Requirements Matrices and Job/Task Analysis, which, identify qualification and training requirements for all personnel. In addition, for QA see Desk Instructions DI-QA-02-05, DI-QA-02-06, and DI-QA-02-07 (Ref: 13-106, Rev.0, para 8.0). These instructions address qualification of QA personnel, in particular the areas of Auditors and Inspection and Test personnel.
1.5	b) Do Rockwell minimum qualification/certification requirements meet applicable requirements (i.e., BQARD, codes, standards).	b) Yes. For Quality Assurance, Desk Instructions DI-QA-02-06, Rev. 0, "Qualification of Quality Assurance Audit Personnel" and DI-QA-02-07, Rev. 0, "Qualification of Inspection/Test Personnel" were reviewed for compliance to the BQARD, Criterion 2 and NQA-1 with supplements 2S-1 and 2S-3, and Appendix 2A-1 and Appendix 2A-3. Both Instructions were found to adequately address the requirements imposed. For other project personnel, Rockwell specifies the qualification requirements via the Job Position Description and Job Task Analysis systems identified in Question 1.5.A.
1.5	c) Select a sample (number TBD) of Employee	

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Petrie Date: 3/24/87
Rev. No. 3

Joseph J. Krupar 3/24/87
Lucie R. Morrison 3-24-87
Rodney D Jones 3 24.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	Qualification/Certification/Training files and make a determinatin whether:	
1.5	1. The employee meets the qualification requirements for his job position, based on Rockwell procedures/documents addressed in question a) and the records contained in the file.	c) 1. Records not available. Rockwell to obtain records, assemble in packages and review for compliance to their program. Any areas of noncompliance are to be reviewed by Rockwell, and exception with justification to be documented. Reevaluation of this item will be provided in Rev. 1.
1.5	2. Where certification is required, has the employee been certified by the appropriate certifying authority as described in procedures.	2. Yes. The Review Team identified two areas within Rockwell where personnel require certification, lead auditors, and certified instructors. The certification packages of lead auditors, J. A. Olseth and R. Viens, and certified instructors, L. E. Haler and L. B. Smigelski, were reviewed and found acceptable. The packages provided evidence that these individuals meet the qualification requirements for certification and that they were certified by the appropriate authority per procedure requirements. A minor anomaly was noted in the certification packages of the lead auditors. The auditor qualification form did not contain the signature of the QA manager in the space provided. The form did provide reference to the certification of the lead auditor qualification form, a higher tiered document, which contained the QA manager's signature. Although in principle the requirements have been met, this is indicative of a lack of the procedural discipline required. Rockwell will be advised to correct this item. Reevaluation of this item will be provided in Rev. 1.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Petrie Date: 3/24/87
Rev. No. 3

Joseph J. Krupar 3/24/87
Susan K. Morrison 3-24-87
Rodney D Jones 3.24.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.5	3. The records are consistent with procedure/document requirements.	3. Records not available. Rockwell to obtain records, assemble in packages and review for compliance to their program. Any areas of noncompliance are to be reviewed by Rockwell, and exceptions with justification to be documented. Reevaluation of this item will be provided in Rev. 1.
1.5	d) Has Rockwell investigated (background check) the credentials of the employee to verify accuracy?	d) Yes. (Per discussions with V. Hiltwein of Rockwell security and J. Robbins of Rockwell personnel.) Rockwell security investigates the employee's previous five years in order to issue him/her a W, L or Q clearance. This investigation basically determines if the employee is suitable to obtain a clearance (i.e., arrest record, use of illegal substances, some employment checks, etc.). In addition, the personnel department in conjunction with the hiring manager, investigates the employee's background to the extent necessary to give the manager some assurance that the employee is acceptable to fill the position. This check includes telephone interviews with references supplied by the employee and could include interviews with past employers. If a college degree is required, the employee furnishes evidence of completion of the college work (i.e., diploma, transcript, etc.). Normally the education is not verified with the educational institution. This could be questioned by some regulatory types (i.e., NRC). However, there are no requirements on how to perform background investigations and the method used by Rockwell is an acceptable means. Approximately six personnel files

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W Pastre Date: 3/24/87
Rev. No. 3

Joseph J. Krupar 3/24/87
Susie R. Morrison 3-24-87
Rodney D Jones 3.24.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		were selected at random and the files were in order to substantiate the process used.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Boetine Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.6	TRAINING MUST HAVE BEEN PERFORMED AND DOCUMENTED, IN ACCORDANCE WITH CURRENT REVISION OF THE APPLICABLE DOCUMENTS.	All general formal training (classroom) has been completed and documented in accordance with applicable documents. A sample of records of reading assignments which are part of the employees training, were examined. Reading records of QA and project administration were examined by the team. Project administration reading records were found to be satisfactory. QA reading records need to be brought current. QA are currently updating their reading assignments and records and will notify the ~~Restart Team~~ DOE-RL when they are completed. Evidence of required training and completed training records must be indicated in each work package submitted for work initiation prior to lifting of the Stop Work Order. EJB 5/15/87
1.6	a) Are training records maintained? Who is responsible for maintaining records?	a) Yes, for Project Management and Quality Assurance, see Procedure 13-116, Rev. 0, Paras. 4.2 and 4.3. The Project Qualification and Training (PQ&T) Administrator is responsible for the security and quality of the Q&T records once accepted into the record system. The PQ&T Training Administrator Specialist is responsible for establishing the PQ&T Training Program files, Individual Training Record (I-TR) files, the day-to-day operation of the files, and transmitting copies of the Q&T records to the Basalt Records Management Center (BRMC) in compliance with applicable procedures.
1.6	b) Does Rockwell have a method to determine that	b) Yes, see Procedure 13-106, Rev. 0 Para. 6.7.1 for

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Peter Date: 5/15/87

Rodney D Jones. 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	employees have completed required training prior to assigning him a task?	the use of the Employee Qualification and Training Status Report.
1.6	c) Are tests given to employees to determine their level of understanding of the training?	c) Yes, see Procedure 13-112, Rev. 0, Para. 6.7, which identifies and describes the actions of trainers and trainees in the preparation, operation and completion of all PQ&T classes. It defines requirements for the conduct of all formal trainee performance evaluations. Also see Procedure 13-119, Rev. 0, which establishes guidelines and responsibility for the development and implementation of trainee evaluation measures during and at the completion of training courses. The grading/control of tests/examinations are also covered in this procedure.
1.6	d) How is it determined what training an employee must receive?	d) See procedure 13-106, Rev. 0, Para. 6.3. Mandatory training is identified for all personnel, then the managers determine what additional training is required based on job/position descriptions, employee's experience level and use of the Job/Task Analysis. Also, see Procedure 13-121, Rev. 0 for the generation and use of the Training Requirements Matrix. The process described is adequate for determining training requirements.
1.6	e) Are training sessions appraised? Select a sample of appraisals and determine the feedback given (i.e., good, poor, too easy, too difficult). Was any corrective action taken for sessions that had unsatisfactory appraisals?	e) Yes, for specific lessons selected by the PQ&T Administrator. See Procedures 13-111, Rev. 0 and 13-120, Rev. 0 for the description of the appraisal process. Trainee appraisals of couses, "Fundamentals of Instruction" and "Procedure Writing" were reviewed

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pettine Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		by the Team. The feedback obtained from the trainees was good, therefore, no corrective action was required.
1.6	f) Are there provisions for make-up training sessions for those who did not attend or successfully complete the session?	f) Yes, see Procedures 13-106, Rev. 0, Para. 6.7.3 for the Qualification and Training Attendance Report, and 13-112, Rev. 1, Para. 6.10 for re-examination. Per discussion with W. Keltner on 2/18/87, the PQ&T Department issues follow-up memos to the applicable managers, which identify the employees who did not attend/complete the training session, and identify when the sessions are to be held again.
1.6	g) When applicable documents are revised, are there provisions for training in the revisions?	g) Yes, see Procedures 13-106, Rev. 0, Para. 4.2 and 13-116, Rev. 0 Para. 6.1.1 for training requirements in new or revised procedures. However, the procedures do not address a check and balance system to provide continuous accountability of reading updates.
1.6	h) Will training of new personnel to BWIP be conducted? Timeframe?	h) Yes. See Procedure 13-106, Rev. 1, Section 6.3.2, (DCR-87-195) will address specific training required to perform quality-affecting work that must be accomplished prior to performing the work or activity.
1.6	i) Select a sample (number TBD) of employee training records and make a determination as to whether or not:	i) A sample of 80 employee training records have been reviewed.
1.6	i. Training has been accomplished to the latest revision of the appropriate document. ETP 5/15/87	i) 1. Yes. Based upon the sample 80/~~260~~ 637 all formal (classroom)training was completed to the latest revision of the appropriate document (except as noted in Item 3 below). In addition, a sample of 80/260 Project Administration employee reading records have been ETP 5/15/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C T H P Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		reviewed and found to be acceptable. However QA reading records were determined to be not current based upon the team examination. Rockwell QA will notify the ~~Review Team~~ when their training records are available for review.
	CTHP 5/15/87 DOE/RL	
1.6	2. Has the appropriate document been released for project use?	i) 2. Yes, the appropriate training documents have been released for Project use.
1.6	3. Has the employee completed assigned required training? (As a minimum, has the General Employee Training, Management Systems Training Phase I & II, and the Required Reading as identified in Chapter 4.0 of the BWIP Restart Readiness Report been completed?)	i) 3. Yes, the RHO employees have completed the assigned required training, EXCEPT FOR REQUIRED READING. CTHP 5/15/87 NOTE: There are RHO personnel on loan to the BWIP Project that do not have BWIP training (Technicians, 10 total). RHO is evaluating and will submit a response for the Review Team's acceptance.
1.6	4. Are the records in the file to document completion of the training?	i) 4. Yes. The training records reviewed are properly filed to document completion of training, EXCEPT FOR REQUIRED READING. CTHP 5/15/87
1.6	j) Are there provisions for periodic refresher training?	j) Yes, see Procedure 13-106, Rev. 0, Paras. 6.3.4, 6.3.5, and 6.5 for provisions for refresher training. The details of refresher training are ~~not~~ addressed in ~~this~~ procedure PMPM 13-117. ~~Per discussion with Mr Kolbert, Rockwell on 2/18/87, draft Procedure 13-117 details the evaluation of employees on an annual basis to determine what refresher training (retraining) may be required. The draft procedure was reviewed by the Team and found to be adequate.~~ CTHP 5/15/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Peters Date: 3/24/87
Rev. No. 3

Joseph J. Kuepar 3/24/87
Dean R. Monroe 3-24-87
Rodney D Jones 3.24.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.6	TRAINING MUST HAVE BEEN PERFORMED AND DOCUMENTED, IN ACCORDANCE WITH CURRENT REVISION OF THE APPLICABLE DOCUMENTS. Question	Training had not been documented in accordance with the applicable documents. Subsequent to the preparation of records, this will be reevaluated and reported in Rev. 1.
1.6	a) Are training records maintained? Who is responsible for maintaining records?	a) Yes, for Project Management and Quality Assurance, see Procedure 13-116, Rev. 0, paras 4.2 and 4.3. The Project Qualification and Training (PQ&T) Administrator is responsible for the security and quality of the Q&T records once accepted into the record system. The PQ&T Training Administrator Specialist is responsible for establishing the PQ&T Training Program files, individual Training Record (I-TR) files, the day-to-day operation of the files, and transmitting copies of the Q&T records to the Basalt Records Management Center (BRMC) in compliance with applicable procedures.
1.6	b) Does Rockwell have a method to determine that employees have completed required training prior to assigning him a task?	b) Yes, see procedure 13-106, Rev. 0, para 6.7.1 for the use of the Employee Qualification and Training Status Report.
1.6	c) Are tests given to employees to determine their level of understanding of the training?	c) Yes, see procedure 13-112, Rev. 0, para 6.7, which identifies and describes the actions of trainers and trainees in the preparation, operation and completion of all PQ&T classes. It defines requirements for the conduct of all formal trainee performance evaluations.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Petrie Date: 3/24/87
Rev. No. 3

Joseph J. Kruger 3/24/87
Dean R. Morrison 3-24-87
Rodney D. Jones

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		Also see procedure 13-119, Rev. 0, which establishes guidelines and responsibility for the development and implementation of trainee evaluation measures during and at the completion of training courses. The grading/control of tests/examinations are also covered in this procedure.
1.6	d) How is it determined what training an employee must receive?	d) See procedure 13-106, Rev. 0, para 6.3, mandatory training is identified for all personnel, then the managers determine what additional training is required based on job/position descriptions, employees experience level and use of the Job/Task Analysis. Also, see procedure 13-121, Rev. 0 for the generation and use of the Training Requirements Matrix. The process described is adequate for determining training requirements.
1.6	e) Are training sessions appraised? Select a sample of appraisals and determine the feedback given (i.e., good, poor, too easy, too difficult). Was any corrective action taken for sessions that had unsatisfactory appraisals?	e) Yes, for specific lessons selected by the PQ&T Administrator. See procedures 13-111, Rev. 0 and 13-120, Rev. 0 for the description of the appraisal process.) Trainee appraisals of courses, "Fundamentals of Instruction" and "Procedure Writing" were reviewed by the Team. The feedback obtained from the trainees was good, therefore, no corrective action was required.
1.6	f) Are there provisions for make-up training sessions for those who did not attend or successfully complete the session?	f) Yes, see procedures 13-106, Rev. 0, para. 6.7.3 for the Qualification and Training Attendance Report, and 13-112, Rev. 1, para 6.10 for re-examination. Per discussion with W. Koltner on 2/18/87, the PQ&T department issues follow-up memos to the applicable

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peterson Date: 3/24/87
Rev. No. 3

Joseph J. Kuper 3/24/87
Dwain R. Morrison 3-24-87
Rodney D Jones 3.24.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		managers, which identify the employees who did not attend/complete the training session, and identify when the sessions are to be held again.
1.6	g) When applicable documents are revised, are there provisions for training in the revisions?	g) Yes, see procedures 13-106, Rev. 0, para 4.2 and 13-116, Rev. 0, para 6.1.1 for training requirements in new or revised procedures. However, the procedures do not address a check and balance system to provide continuous accountabilty of reading updates.
1.6	h) Will training of new personnel to BWIP be conducted? Timeframe?	h) No, see procedures 13-121, Rev. 0, para 6.3, which addresses new hires. However, there are no program/procedural requirements that address when an employee must complete the required training (i.e., prior to performing any quality affecting activity). Per discussions with W. Kaltner on 2/18/87, it is up to the managers to determine if an employee must complete the required training prior to performing any quality affecting activity, based on the employee's education and experience. He did state that once the Job/Task Analysis and a qualification card system is in place, new employees would not be placed in a position until the requirements, which would include any required training, are met.
1.6	i) Select a sample (number TBD) of employee training records and make a determination as to whether or not: 1. Training has been accomplished to the latest revision of the appropriate document.	i) Records not available. Rockwell to obtain records, assemble in packages, and review for compliance to their program. Any areas of noncompliance are to be reviewed by Rockwell and exceptions with justification to be documented. When complete, Rockwell is to notify the Review Team that they can continue their review.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Patrick Date: 3/24/87
Rev. No. 3

Joseph J. Krupar 3/24/87
Susie R. Morrison 3-24-87
Rodney O Jones 3-24-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		Reevaluation of this item will be provided in Rev. 1.
1.6	2. Has the appropriate document been released for project use?	
1.6	3. Has the employee completed assigned required training. (As a min., has the General Employee Training, Management Systems Training Phase I & II, and the Required Reading as identified in Chapter 4.0 of the BWIP Restart Readiness Report been completed)	
1.6	4. Are the records in the file to document completion of the training?	
1.6	j) Are there provisions for periodic refresher training?	j) Yes, see procedure 13-106, Rev. 0, paras 6.3.4, 6.3.5 and 6.5 for provisions for refresher training. The details of refresher training are not addressed in this procedure. Per discussion with W. Keltner, Rockwell on 2/18/87, draft procedure 13-117 details the evaluation of employees on an annual basis to determine what refresher training (retraining) may be required. The draft procedure was reviewed by the Team and found to be adequate.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: EJTPetrus Date: 5/5/87

J. L. Madden 5-5-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.7	AN IMPLEMENTATION PLAN WHICH IDENTIFIES REQUIRED RESOURCES MUST BE PROVIDED. ADDITIONAL RESOURCES NEEDED TO EFFECTIVELY IMPLEMENT PROCEDURAL REQUIREMENTS MUST BE IDENTIFIED. UPDATED APPENDIX E OF THE RESTART PACKAGE MUST BE FORMALLY SUBMITTED TO DOE/RL.	A SATISFACTORY IMPLEMENTATION PLAN WAS PROVIDED AND ADDITIONAL RESOURCE REQUIREMENTS WERE IDENTIFIED. NOTE THAT THE updated (4/28/87) EJTP 5/5/87
1.7	a) Has Rockwell provided the resource requirements, including those specifically required for restart? Are additional resources which are needed to implement procedural requirements identified?	SATISFACTORY a) The ~~[illegible]~~ identification of resource requirements appears in Appendix E of the Restart Package. CAAs and CAPs associated with the Appendix E requirements were randomly selected to verify traceability of requirements into the plan was successfully verified.
1.7	b) Has Rockwell identified the source requirements for a Resource Implementation Plan?	SATISFACTORY EJTP 5/5/87 b) The CAPs are summarized via the Financial Data System and converted from manhours to equivalent men to determine the required time-phased profiles. The required labor category requirements has been separately determined at the organization level and personnel requisitions processed where required.
1.7	c) Is the Resource Implementation Plan included? Approved? Released through Document Control?	SATISFACTORY (latter) EJTP 5/5/87 c) The Resource Implementation Plan is composed of APPENDIX E, the CAPs, associated FDS summaries, and the personnel requisitions. These were not included in the Restart PACKAGE. All of the documents were APPROVED.
1.7	d) Obtain signed concurrence from the appropriate Branch chief/Division Manager indicating that the implementation plan is satisfactory.	OPEN MTP 5/5/87 d) A Restart Readiness Availablity Update document was informally submitted by Rockwell. Comments were reconciled and the Update document will be formally submitted to DOE-RL. THE PROJECT DIRECTOR SIGNATURE ON THIS SPECIFIC DOCUMENT CAN BE ACCEPTED AS A DEMONSTRATION THAT SUFFICIENT PROFESSIONAL JUDGEMENT HAS BEEN APPLIED TO THE DEVELOPMENT OF THE RESOURCE REQUIREMENTS.
1.7	e) Are resource requirements specific relative to labor category, quantity, and material?	EJTP 5/5/87 e) Resource requirements are specific in the Restart Readiness Report. Traceability between the Restart Readiness Report and the CAPs was established in 1.7a.

4/07

They were not released through Doc. Control & this is not required. EJTP 5/5/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/5/87

F. L. Madsen 5-5-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.7	f) Is the Resource Plan consistent with the resource-loaded schedule of checklist item 2.8j?	f) Resource loaded schedules are not available. However, each CAP's resource requirements has been determined and time-phased loading has been established. Traceability from the top level schedules to the CAP does not exist due to the lack of ~~Sub Function~~ Schedules, however the support work is primarily Level of Effort (LOE), therefore the lack of a schedule is not critical to the acceptance of this checklist item. THE CAP'S FOR EACH WORK PACKAGE CONTAIN TIME-PHASED RESOURCE PROFILES

EJR detailed 5/5/87

EJR 5/5/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: Edgar H. Petrie Date: 4/29/87

J. J. Madison 4/29/87

E700 4/29/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. ~~0~~ 1
1.7	AN IMPLEMENTATION PLAN WHICH IDENTIFIES REQUIRED RESOURCES MUST BE PROVIDED. ADDITIONAL RESOURCES NEEDED TO EFFECTIVELY IMPLEMENT PROCEDURAL REQUIREMENTS MUST BE IDENTIFIED. Questions:	THE IMPLEMENTATION PLAN AS REFERRED TO IN THE CHECKLIST WAS COMPLETED AND EVALUATED TO ASSURE TRACEABILITY TO THE CAPS. THE SPECIFIC RESOURCE REQUIREMENT (CAPS) AND RESOURCE AVAILABILITY NEED TO BE SPECIFICALLY PROVIDED IN ORDER TO ALLOW EVALUATION BY THE DOE-RL BRANCH CHIEFS.
1.7	a) Has Rockwell provided the resource requirements, including those specifically required for restart? Are additional resources which are needed to implement procedural requirements identified?	a) A gross identification of resource requirements appears in Appendix E of the Restart Package. CAAs and CAPs associated with Appendix E requirements were reandomly selected to verify traceability between Appendix E and the plan. Traceability of requirements into the plan was successfully verified.
1.7	b) Has Rockwell identified the source requirement for a Resource Implementation Plan?	b) The CAPs are summarized via the Financial Data System and converted from manhours to equivalent men to determine the required time-phased profiles. The required labor category requirements have been separately determined at the organization level and personnel requisitions processed where required.
1.7	c) Is the Resource Implementation Plan included? Approved? Released through Document Control?	c) The Resource Implementation Plan is composed of the CAPs, associated FDS summaries, and the personnel requisitions. Release information will be included in Rev. 1
1.7	d) Obtain signed concurrence from the appropriate DOE Branch Chief/Division Manager indicating that the implementation plan is satisfactory.	d) DOE (Petrie) has requested a matrix listing the CAPs associated with each management system, the available and required manpower for each CAP. The barnch chief will evaluate the levels to make an independent determination of the adequacy of the

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar D. Petrie Date: 4/29/87

J.L. Madsen 4/29/87

EWP 4/29/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. ~~0~~ 1
		loading.
1.7	e) Are resource requirements specific relative to labor category, quantity, and material?	e) Specific resource requirements are specific in the Restart Readiness Report. Traceability between the Restart Readiness Report and the CAPs was established in 2.10a.
1.7	f) Is the Resource Plan consistent with the resource load of checklist item 2.8 (j)?	f) Resource loaded schedules are not available. However, each CAP's resource requirements have been determined and time-phased loading has been established. Traceability from the top level schedules to the CAP does not exist due to the lack of End Function Schedules, however, the support work is primarily level of Effort (LOE) therefore, the lack of a schedule is not critical to the acceptance of this checklist item.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Patine Date: 4/14/87

4-16-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. +0 EHP 4/14/87
1.7	AN IMPLEMENTATION PLAN WHICH IDENTIFIES REQUIRED RESOURCES MUST BE PROVIDED. ADDITIONAL RESOURCES NEEDED TO EFFECTIVELY IMPLEMENT PROCEDURAL REQUIREMENTS MUST BE IDENTIFIED. Questions:	THE IMPLEMENTATION PLAN AS REFERRED TO IN THE CHECKLIST WAS COMPLETED AND EVALUATED TO ASSURE TRACEABILITY TO THE CAPS. THE SPECIFIC RESOURCE REQUIREMENT (CAPS) AND RESOURCE AVAILABILITY NEED TO BE SPECIFICALLY PROVIDED IN ORDER TO ALLOW EVALUATION BY THE DOE-RL BRANCH CHIEFS. For the answers to the questions in this section, reference Section 2.10.
1.7	a) Has Rockwell provided the resource requirements, including those specifically required for restart? Are additional resources which are needed to implement procedural requirements identified?	
1.7	b) Has Rockwell identified the source requirement for a Resource Implementation Plan?	
1.7	c) Is the Resource Implementation Plan included? Approved? Released through Document Control?	
1.7	d) Obtain signed concurrence from the appropriate DOE branch Chief/Division Manager indicating that the implementation plan is satisfactory.	
1.7	e) Are resource requirements specific relative to labor category, quantity, and material?	
1.7	f) Is the Resource Plan consistent with the resource load of checklist item 2.8 (j)?	

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05/12/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M. Petrus Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.8	CHARTERS, PLANS, MANUALS AND PROCEDURES MUST BE EVALUATED FOR CONSISTENCY WITH THE BWIP QUALITY ASSURANCE PLAN, REV. 1. WHERE DEVIATIONS OCCUR, ROCKWELL SHALL IDENTIFY THESE DEVIATIONS AND PROVIDE RECOMMENDATIONS AND SCHEDULE FOR RESOLUTION. EMP 5/13/87	All of the requirements of the BWIP Quality Assurance Plan have been incorporated in MA-3 Rev. 3. The traceability of the requirements included in MA-3 to the remainder of the Rockwell documents is included in Checklist item 1.3. No deviations were identified.
	Questions:	
1.8-1	a) Has Rockwell performed evaluations of their charters, plans, manuals and Procedures to requirements of BWIP QA Plan, *Rev. 1? EMP 5/13/87 *Per agreement between DOE and Rockwell, latest revision can be used for evaluation, i.e., Rev.2.	a) Rockwell has ~~not~~ performed an evaluation of the BWIP QA Plan, Rev. 2 with respect to RHO-QA-MA-3, Rev. ~~2.~~ 3 The evaluations in respect to the procedures from MA-3 is covered in Checklist Item 1.3. EMP 5/13/87
1.8-1	b) How is this documented? EMP 5/13/87	b) ~~(OPEN)~~ CHECKLIST FOR REVIEW OF PLANS IS INCLUDED IN: DI-QA-06-01 REV. 2
1.8-1	c) Are there any variances to the BWIP QA Plan?	c) Rockwell has not identified any variances to the BWIP QA Plan versus MA-3. Review of implementing procedures against MA-3 is covered in Checklist Item 1.3.
1.8-1	d) Does the evidence address each of the items listed in the QA Plan?	d) ~~(OPEN)~~ YES EMP 5/13/87
1.8-1	e) Did Rockwell provide a list of those items not EMP 5/13/87	e) SATISFACTORY Rockwell did not provide a list of those items not

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Otten Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
	addressed? EJP 5/13/87	addressed. SINCE THERE WERE NONE IDENTIFIED, SATISFACTORY. SEE ITEM e)
1.8-1	f) Did Rockwell provide the basis for excluding items? EJP 5/13/87	f) ~~Not evaluated because Rockwell did not provide the required information.~~ SATISFACTORY. SEE ITEM e)
1.8-1	g) Did Rockwell provide a plan for compliance? EJP 5/13/87	g) ~~Not evaluated because Rockwell did not provide the required information.~~
1.8-1	h) Were all the imposed RL requirements and the OGR-3B and QA Plan, Rev. 1 covered in the matrix and included in the procedures?	h) See item a).
1.8-1	i) Have all the QAAPs been approved?	i) Yes.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 4/2/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.8	CHARTERS, PLANS, MANUALS AND PROCEDURES MUST BE EVALUATED FOR CONSISTENCY WITH THE BWIP QUALITY ASSURANCE PLAN, REV.1. WHERE DEVIATIONS OCCUR, ROCKWELL SHALL IDENTIFY THESE DEVIATIONS AND PROVIDE RECOMMENDATIONS AND SCHEDULE FOR RESOLUTION. Questions:	As indicated in item c) below, all the requirements were not evaluated in the PMPMs. In addition, Rockwell did not perform a review to determine consistency with the QA Plan. This area will be re-evaluated pending completion of the Rockwell review currently in process. Rockwell evaluation expected to be completed 5-10-87.
1.8-1	a) Has Rockwell performed evaluations of their charters, plans, manuals and procedures to requirements of BWIP QA Plan, *Rev. 1? *Per agreement between DOE and RHO, latest revision can be used for evaluation, i.e., Rev. 2.	a) Rockwell has not performed a complete evaluation of their documents to the requirements of the BWIP QA Plan, Rev. 2. The current Rockwell evaluation is documented in Appendix B to RHO-QA-MA-3, Rev. 2. This evaluation did not include all applicable QAAPs required for the Readiness Review. DRAFT, Rev. 3 to RHO-QA-MA-3 has been generated and is expected to be approved and issued shortly. Document Change Requests (DCRs) will be issued for any changes which are found to be necessary. A partial review has been completed and is in the process of being evaluated by Rockwell. This review included the following documents: 1. 10 CFR 50, Appendix B 2. NQA-1-1986 3. NRC Review Plan 4. OGR/B-3 QA Plan 5. DOE-RL QA Plan, Rev. 2
1.8-1	b) How is this documented?	b) A matrix tracing each QA requirement to its source is documented in Appendix B of the DRAFT, RHO-QA-MA-3, Rev. 3 Manual. At present this does not include a QAAP review. The QAAP review is in process. The Rockwell

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Pitts Date: 4/21/87

Walter G. Hess 4/21/87
Howard W. Roe 4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		letter #12100-B6-174, dated October 23, 1986, documents that portion of the review and evaluation of Appendix B which has been completed (refer to item (a) above).
1.8-1	c) Are there any variances to the BWIP QA Plan?	c) Rockwell has not identified any variances to the BWIP QA Plan. However, a random sample and review of PMPM documents, cross referenced and listed in Appendix B, MA-3, Rev. 3, indicates that all the requirements of MA-3, Rev. 3 are not identified in the listed PMPM (see examples 1 & 2). The QAAP review, which is in progress will identify inconsistencies and documents which should have been listed. The review is expected to be complete by May 7, 1987. Examples: 1. Appendix B, page B-35, requirements 3.1 through 3.7 are not listed or clearly identified in the referenced PMPM 08-133. 2. Appendix B, page B-59, lists PMPM 08-103 as the reference where the MA-3 requirement is identified. Review of the current PMPM Manual indicates that PMPM 08-133 is not listed in the Table of Contents.
1.8-1	d) Does the evidence address each of the items listed in the QA Plan?	d) Appendix B of DRAFT RHO-QA-MA-3, Rev. 3 addresses items listed in the QA Plan. A cross reference index of requirements from various BWIP project documents ~~performed~~ by Rockwell in MAY, 1987. ~~The data obtained is in the process of being reviewed by Rockwell~~.

will be completed

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M. Petrus Date: 4/21/87

Walter L. Heckzer 4/21
4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.8-1	e) Did Rockwell provide a list of those items not addressd?	e) Rockwell did not provide a list of those items not addressed.
1.8-1	f) Did Rockwell provide the basis for excluding items?	f) Not evaluated because Rockwell did not provide the required information.
1.8-1	g) Did Rockwell provide a plan for compliance?	g) Not evaluated because Rockwell did not provide the required information.
1.8-1	h) Were all the imposed RL requirements and the OGR-3B and QA Plan, Rev. 1 covered in the matrix and included in the procedures?	h) No, see item a).
1.8-1	i) Have all the QAAPs been approved?	i) No. Fifteen of the applicable QAAPs have been reviewed to Rev. 2 of MA-3. Rockwell indicates that since Rev. 3 to MA-3 will be issued in the very near future, an in depth review is being conducted to list and cross reference QAAPs with the criteria in MA-3, Rev. 3. The data generated from this review will be incorporated in the Appendix B matrix through the issue of DCRs (refer to item a). Checklists have been developed and are being used to review the various criteria of MA-3. The checklists are available for review and will be part of the file documentation.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar A Peterson Date: 3/25/87
Rev. No. 3

Thomas Ertl 3/25/87
Walter A. Hedzik 3-25-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.8	CHARTERS, PLANS, MANUALS ADN PROCEDURES MUST BE EVALUATED FOR CONSISTENCY WITH THE BWIP QUALITY ASSURANCE PLAN, REV.1. WHERE DEVIATIONS OCCUR, ROCKWELL SHALL IDENTIFY THESE DEVIATIONS AND PROVIDE RECOMMENDATIONS AND SCHEDULE FOR RESOLUTION.	As indicated in item c) below, all the requirements were not evaluated in the PMPMs. In addition, Rockwell did not perform a review to determine consistency with the QA Plan. This area will be re-evaluated pending completion of the Rockwell review currently in process.
	Questions:	
1.8-1	a) Has Rockwell performed evaluations of their charters, plans, manuals and procedures to requirements of BWIP QA Plan, *Rev. 1? *Per agreement between DOE and RHO, latest revision can be used for evaluation, i.e., Rev. 2.	a) Rockwell has not performed a complete evaluation of their documents to the requirements of the BWIP QA Plan, Rev. 2. The current Rockwell evaluation is documented in Appendix B to RHO-QA-MA-3, Rev. 2. This evaluation did not include all applicable QAAPs required for the Readiness Review. DRAFT, Rev. 3 to RHO-QA-MA-3 has been generated and is expected to be approved and issued shortly. Document Change Requests (DCRs) will be issued for any changes which are found to be necessary. A partial review has been completed and is in the process of being evaluated by Rockwell. This review included the following documents: 1. 10 CFR 50, Appendix B 2. NQA-1-1986 3. NRC Review Plan 4. OGR/B-3 QA Plan 5. DOE-RL QA Plan, Rev. 2
1.8-1	b) How is this documented?	b) A matrix tracing each QA requirement to its source is documented in Appendix B of the DRAFT, RHO-QA-MA-3, Rev. 3 Manual. At present this does not include a QAAP

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Pitts Date: 3/25/87
Rev. No. 3

3/25/87
Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		review. The QAAP review is in process. The Rockwell letter #12100-86-174, dated October 23, 1986, documents that portion of the review and evaluation of Appendix B which has been completed (refer to item (a) above).
1.8-1	c) Are there any variances to the BWIP QA Plan?	c) Rockwell has not identified any variances to the BWIP QA Plan. However, a random sample and review of PMPM documents, cross referenced and listed in Appendix B, MA-3, Rev. 3, indicates that all the requirements of MA-3, Rev. 3 are not identified in the listed PMPM (see examples 1 & 2). The QAAP review, which is in progress will identify inconsistencies and documents which should have been listed. Examples: 1. Appendix B, page B-35, requirements 3.1 through 3.7 are not listed or clearly identified in the referenced PMPM 08-133. 2. Appendix B, page B-59, lists PMPM 08-103 as the reference where the MA-3 requirement is identified. Review of the current PMPM Manual indicates that PMPM 08-133 is not listed in the Table of Contents.
1.8-1	d) Does the evidence address each of the items listed in the QA Plan?	d) Appendix B of DRAFT RHO-QA-MA-3, Rev. 3 addresses items listed in the QA Plan. A cross reference index of requirements from various BWIP project documents was performed by Rockwell in January, 1987. The data obtained is in the process of being evaluated by Rockwell.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar B. Peterson Date: 3/27/87
Rev. No. 3

Howard L. Shaffer 3/31/87
Walter A. Holzik 3/31/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.8-1	e) Did Rockwell provide a list of those items not addressd?	e) Rockwell did not provide a list of those items not addressed.
1.8-1	f) Did Rockwell provide the basis for excluding items?	f) Not evaluated because Rockwell did not provide the required information.
1.8-1	g) Did Rockwell provide a plan for compliance?	g) Not evaluated because Rockwell did not provide the required information.
1.8-1	h) Were all the imposed RL requirements and the OGR-3B and QA Plan, Rev. 1 covered in the matrix and included in the procedures?	h) No, see item a).
1.8-1	i) Have all the QAAPs been approved?	i) No. Fifteen of the applicable QAAPs have been reviewed to Rev. 2 of MA-3. Rockwell indicates that since Rev. 3 to MA-3 will be issued in the very near future, an in depth review is being conducted to list and cross reference QAAPs with the criteria in MA-3, Rev. 3. The data generated from this review will be incorporated in the Appendix B matrix through the issue of DCRs (refer to item a). Checklists have been developed and are being used to review the various criteria of MA-3. The checklists are available for review and will be part of the file documentation.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Peterson Date: 3/25/87
Rev. No. 3

Samuel Chum 3/26/87
W. Alexander 3/26/87
[illegible] 3/26/87
Wm W. Dehn 3/26/87
[illegible] 3/26/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.8-2	FOR EACH ITEM IN THE NRC REVIEW PLAN, ROCKWELL IS TO DEMONSTRATE AN UNDERSTANDING OF REQUIREMENTS AND A POSITIVE ATTITUDE TOWARD~~S~~ COMPLIANCE. EWP 3/25/87	Overall, Rockwell technical and management personnal have an excellent awareness and understanding of the QA Program. With one or two exceptions, all Rockwell personnel interviewed exhibited an excellent attitude towards compliance with the program quality requirements.
1.8-2	a) Does an adequate number of Rockwell personnel who perform quality level work have an appropriate understanding of the Quality Assurance requirements?	a) Yes, 83 of 90 (92.2%) provided satisfactory answers to the checklist questions, thus demonstrating understanding of requirements and a positive attitude towards compliance. Based upon the sampling technique derived from MIL Standard 105d, this indicates that there is a 95% probability that the total population has the same ~~attitude.~~ ATTRIBUTES. EWP 3/25/87
1.8-2	b) Do the persons interviewed have an appropriate understanding of the QA requirements as they relate to their area of responsibilities?	b) Yes, as indicated in (a) above.
1.8-2	c) Does Rockwell management personnel have an appropriate understanding of QA requirements?	c) Yes, 15 of 15 (100%) of the manager/director personnel interviewed were judged very good to excellent in their responses, attitudes and overall knowledge of the Quality Assurance program. See attached summary for further discussion.
1.8-2		SUMMARY AND CONCLUSIONS Ninety (90) Rockwell personnel were interviewed by W. G. Alexander, W. W. Dehn, J. C. Mattimoe, J. E. Owens,

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 3/25/87
Rev. No. 3

James Ryene 3/26/87
W. Alexander 3/26/87
Arlen Hardy 3/26/87
3/26/87
J. C. Mathes 3/26/87

NO.

CHECKLIST/QUESTIONS REV. 3

RESPONSE/REFERENCE REV. 0

and A. L. Penchansky.

Eighty (80) of the interviewees were randomly selected from a population of 525. Four were added to obtain better coverage of organizational groups. Finally, to assure representative coverage of Rockwell BWIP management, six (6) individuals were randomly selected from the 79 managers not already on the interview list.

Interviewees were notified, through H.R. Gouge, Rockwell, in advance of the interview. They were provided with the NRC Standard Review Plan criteria from which questions were chosen for the interview.

INTERVIEW RESULTS

Results of the interviews are summarized below:

	#	# S	%	# Un-S	%
Managers	15	15	100.0	0	0.0
Scientific/ Technical	67	64	95.5	3	4.5
Clerical	8	4	50.0	4	50.0
TOTAL	90	83	92.2	7	7.8

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 3/25/87
Rev. No. 3

James L. Rhoads 3/26/87
W. Alexander 3/26/87
3/26/87
3/26/87

NO.

CHECKLIST/QUESTIONS REV. 3

RESPONSE/REFERENCE REV. 0

Note: # S = Number Satisfactory
Un-S = Number Unsatisfactory

Thus the interviews indicate a high degree of awareness of the QA Program.

Managers are very aware of the QA Program, including present and future objectives. Managers interviewed ranged from very good to excellent in their responses, attitudes and overall knowledge of the QA Program as demonstrated during several discussions.

Most scientific and technical personnel have a very good understanding of the QA Program as applicable to their respective areas. Many of these personnel are involved in the preparation and review of QA procedures. They are provided with lists of available procedures and are required to read those which pertain to their assignment. As a result, many of the employees demonstrated an understanding and appreciation of QA requirements not necessarily related to their areas of responsibility. Most personnel exhibited knowledge of how to obtain QA requirements.

Fifty percent (50%) of the clerical personnel interviewed had a very good awareness and understanding of the QA Program even in areas not applicable to their respective duties. The other fifty percent had little knowledge of the QA Program, requirements or procedures. QA requirements do not pertain directly to their duties.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pitman Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.9	OPEN NCRs MUST BE DISPOSITIONED.	The open NCRs have been evaluated. Disposition in accordance with Rockwell's recommendations has been accepted.
	Questions:	
1.9	NCRs	
	a) Are deficiencies adequately described?	a) Satisfactory. NCR deficiencies were adequately described to the satisfaction of the evaluation team in all but two (2) of 26 NCRs sampled. In these two, NCR 84-263 and 85-006, possibly based on familiarity with the specific problem, a disposition was made and effected to the satisfaction of Rockwell QA. 84-263 - The deficiency was stated that grout was mixed, not that grout was mixed without an approved procedure. The requirement referenced a procedure that did not address the mixing of grout. The requirement should have referenced NQA-1, i.e., work is to be performed to approved procedures. 85-002 referenced deficiencies identified in a letter. The letter was not attached to the NCR, but a CAR was. The CAR summarized the deficiencies. the disposition "Accept as is" was justified on the basis that traceability was satisfied. Nothing addressed missing documentation, one of the items on the CAR. This data will not be used for site characterization activities until it has been evaluated in accordance with requirements for the evaluations of data obtained

Concur 5/13/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: R H Peters Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		prior to full implementation of NQA-1 procedures governing this evaluation being prepared. Refer to to Rockwell letters #12100-87-MFN-070 and #12100-87-092.
1.9	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Satisfactory. Frequently, the requirement was listed only as a reference to a procedure or standard number. The nature of the requirement had to be discerned from the statement of nonconformance. Procedures 4-105 para. 6.1 and 4-106 para 6.1 now require that the NCR reference the requirement which was violated.
1.9	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Satisfactory. The dispositions were reasonable and appropriate for the item in 24 of 26 cases. In two cases, NCRs 84-200 and 84-353, the tehcnical justification for acceptance of the nonconformances, did not appear to recognize the importance of procedural discipline, nor did the justification provide a technical basis for the decision, e.g., 84-200 "All work was performed by qualified and reputable companies in the field using state-of-the-art equipment and procedures." Procedures which control these activities, 4-105 Rev. 0 para. 6.1 and 4-106 Rev. 0 para. 6.1 have been revised to clear up this area. All documentation associated with this data, including Nonconformance Reports (NCRs), will be assessed during the qualification process. The impact of these NCRs and their dispositons and justifications will be determined at that time. This particular data will not be used until

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		evaluated. Reference Rockwell letter #11200-87-MFN-070 and #12100-87-092.
1.9	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Satisfactory. Rework, repair, procedural development or revision was required in four (4) of the 26 NCRs sampled. In all of the dispositioned items except one, the required action was signed by QA as having been satisfactorily effected. The one, BNCR 85.007 was cancelled. Based on the results of the sample, required actions have been implemented. There should be no adverse effect on restart.
1.9	e) If not completed before restart, will such actions adversely impact restart?	e) Satisfactory. See (d) above.
1.9	f) Will the resolutions or dispositions affect past documentationof completed work?	f) Satisfactory. No. See (d) above.
1.9	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Satisfactory. There was no evidence in the sample of NCRs taken of failure to control nonconforming items, once identified. In a similar evaluation to this, but made of audit findings, the audit identified failure to identify and segregate nonconforming items, reference Audit E86.02.1. There was no evidence of lack of control of those items after the audit finding.
1.9	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with the procedures?	h) Satisfactory. Dispositions were made by appropriate personnel as evidenced by QA's acceptance of the disposition and its implementation.
1.9	i) Were the qualifications of workers and clearing	i) Satisfactory. The qualifications of workers and

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: _____ Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
	persons in accordance with procedural requirements?	clearing persons were satisfactory as evidenced by Quality Assurance acceptance of the effected disposition.
1.9	j) From the selected sample of audit or surveillance findings and NCRs, make the following evaluations: o Were they closed in accordance with appropriate procedures? o Is the closure still valid?	j) Satisfactory. In 24 of 26 cases sampled, NCRs appear to have been closed in accordance with procedures as evidenced by QA acceptance of the effected disposition. In the two cases noted in 1.9 (c) above, the technical justification for conditional acceptance was not clearly stated. NCR 84-100 provided a statement only that the companies performing the work were highly qualified and used state-of-the-art procedures and equipment. 84-353 conditionally accepted the data and then prohibited its use for design calculations supporting repository definitive design. In 24 of 26 cases the root cause was not addressed. All documentation associated with this data, including Nonconformance Reports (NCRs), will be assessed during the qualification process. The impact of these NCRs and their dispositions and justifications will be determined at that time. This particular data will not be used until evaluated. Reference Rockwell letters #12100-87-MFN-070 and #12100-87-092.
1.9	k) Ae there any open NCRs?	k) Per Volume 2, BWIP Restart Readiness Report, Appendix "C," there are 8 NCRs waiting closure based upon verfication of the implemented disposition. These are:

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: EMB Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		o BNCR 86.006 86.004 85.025 o CNCR B-314-113 B-314-114 B-314-115 B-314-116 B-315-117
1.9	1) If there are any open deficiency documents, should they be closed before restart? EMB 5/13/87	1) ~~Has not been resolved, Rockwell to provide information.~~ Has been resolved per Rockwell response to Action Item #RPAS-016 dated April 15, 1987. These deficiencies have been satisfactorily addressed.

W A. Hedzik 4/21/87
H B 4/21/87

DWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar Horton Date: 4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.9	OPEN NCRs MUST BE DISPOSITIONED Questions:	The open NCRs ~~are still being~~ have been evaluated. ~~Root causes were not evaluated, trend analysis was not performed and corrective action was not documented.~~ Disposition will be in accordance with RPAS-016 dated 4/15/87
1.9	NCRs a) Are deficiencies adequately described?	a) Satisfactory. NCR deficiencies were adequately described to the satisfaction of the evaluation team in all but two (2) of 26 NCRs sampled. In these two, NCR 84-263 and 85-002, possibly based on familiarity with the specific problem, a disposition was made and effected to the satisfaction of Rockwell QA. 84-263 - The deficiency was stated that grout was mixed, not that grout was mixed without an approved procedure. The requirement referenced a procedure that did not address the mixing of grout. The requirement should have referenced NQA.1, i.e., work is to be performed to approved procedures. 85-002 referenced deficiencies identified in a letter. The letter was not attached to the NCR, but a CAR was. The CAR summarized the deficiencies. The disposition "Accept as is" was justified on the basis that traceability was satisfied. Nothing addressed missing documentation, one of the items on the CAR. This data will not be used for site characterization activities until it has been evaluated in accordance with requirements for the evaluations of data obtained prior to full implementation of NQA-1. Procedures governing this evaluation being prepared. Refer to Rockwell letters #12100-87-MFN-070 and #12100-87-092.

EHP 4/21/87 Root Causes and Trends were evaluated in accordance with Rockwell IL #12100-87-MFN-070 dated March 23, 1987,

EHP 4/21/87 and IL #12100-87-092 dated April 7, 1987.

The above dispositions are considered satisfactory.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 4/21/87

W. A. Hedgick 4/21/87
W. B. Ford 4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.9	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Satisfactory. ~~Not consistently.~~ Frequently, the requirement was listed only as a reference to a procedure or standard number. The nature of the requirement had to be discerned from the statement of nonconformance. Procedures 4-105 para. 6.1 and 4-106 para 6.1 now require that the NCR reference the requirement which was violated. EHP 4/21/87
1.9	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Satisfactory. The dispositions were reasonable and appropriate for the item in 24 of 26 cases. In two cases, NCRs 84-200 and 84-353, the technical justification for acceptance of the nonconformances did not appear to recognize the importance of procedural discipline, nor did the justification provide a technical basis for the decision, e.g., 84-200 "All work was performed by qualified and reputable companies in the field using state-of-the-art equipment and procedures." Procedures which control these activities, 4-105 and 4-106 have been revised to clear up this area. All documentation associated with this data, including Nonconformance Reports (NCRs), will ~~some be~~ be assessed during the qualification process. The impact of these NCRs and their dispositions and justifications will be determined at that time. This particular data will not be used until evaluated. Reference Rockwell letter #11200-87-MFN-070 and #12100-87-092. EHP 4/21/87 Rev. 0 # 6.1 EHP 4/21/87
1.9	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such acitons have been completed before	d) Satisfactory. Rework, repair, procedural development or revision was required in four (4) of the 26 NCRs sampled. In all of the dispositioned items

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar A. Petersen Date: 4/21/87

W.A. Hedgile 4/21/87
Rob Smith 4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	restart?	except one, the required action was signed by QA as having been satisfactorily effected. The one, BNCR 85.007 was cancelled. Based on the results of the sample, required actions have been implemented. There should be no adverse effect on restart.
1.9	e) If not completed before restart, will such actions adversely impact restart?	e) Satisfactory. See (d) above.
1.9	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. No. See (d) above.
1.9	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Satisfactory. There was no evidence in the sample of NCRs taken of failure to control nonconforming items, once identified. In a similar evaluation to this, but made of audit findings, the auditor identified failure to identify and segregate nonconforming items, reference Audit E86.02.1. There was no evidence of lack of control of those items after the audit finding.
1.9	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with the procedures?	h) Satisfactory. Dispositions were made by appropriate personnel as evidenced by QA's acceptance of the disposition and its implementation.
1.9	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Satisfactory. The qualifications of workers and clearing persons were satisfactory as evidenced by Quality Assurance acceptance of the effected disposition.
1.9	j) From the selected sample of audit or surveillance findings and NCRs, make the following evaluations:	j) Satisfactory. In 24 of 26 cases sampled, NCRs appear to have been closed in accordance with procedure

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Elgin H. Petrie Date: 4/21/87

W.A. Hedzik 4/21/87
4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	o Were they closed in accordance with appropriate procedures? o Is the closure still valid?	as evidenced by QA acceptance of the effected disposition. In the two cases noted in 1.9 (c) above, the technical justification for conditional acceptance was not clearly stated. NCR 84-100 provided a statement only that the companies performing the work were highly qualified and used state-of-the-art procedures and equipment. 84-353 conditionally accepted the data and then prohibited its use for design calculations supporting repository definitive design. In 24 of 26 cases the root cause was not addressed. All documentation associated with this data, including Nonconformance Reports (NCRs), will ~~need to~~ be assessed during the qualification process. The impact of these NCRs and their dispositions and justifications will be determined at that time. This particular data will not be used until evaluated. Reference Rockwell letters #12100-87-MFN-070 and #12100-87-092.
1.9	k) Are there any open NCRs?	k) Per Volume 2, BWIP Restart Readiness Report, Appendix "C", there are 8 NCRs waiting closure based upon verification of the implemented disposition. These are: o BNCR 86.006 86.004 85.025 o CNCR B-314-113 B-314-114 B-314-115 B-314-116

DHP 4/21/87

DWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 4/21/87

W. A. Hedgik 4/21/87
[illegible] 4/21/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		B-315-117
1.9	1) If there are any open deficiency documents, should they be closed before restart?	1) Has not been resolved, RHO to provide information. Has been resolved. Per Rockwell EMP Response to Action Item # 4/21/87 RPAS-016 dated APRIL 15, 1987, These deficiencies have been Satisfactorily addressed.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Pitts Date: 3/25/87
Rev. No. 3

Walter C. Helzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.9	OPEN NCRs MUST BE DISPOSITIONED Questions:	The open NCRs are still being evaluated, root causes were not evaluated, trend analysis was not performed and corrective action was not documented.
1.9	NCRs a) Are deficiencies adequately described?	a) NCR deficiencies were adequately described to the satisfaction of the evaluation team in all but two (2) of 26 NCRs sampled. In these two, NCR 84-263 and 85-002, possibly based on familiarity with the specific problem, a disposition was made and effected to the satisfaction of Rockwell QA. 84-263 - The deficiency was stated that grout was mixed, not that grout was mixed without an approved procedure. The requirement referenced a procedure that did not address the mixing of grout. The requirement should have referenced NQA.1, i.e., work is to be performed to approved procedures. 85-002 referenced deficiencies identified in a letter. The letter was not attached to the NCR, but a CAR was. The CAR summarized the deficiencies. The disposition "Accept as is" was justified on the basis that traceability was satisfied. Nothing addressed missing documentation, one of the items on the CAR.
1.9	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Not consistently. Frequently, the requirement was listed only as a reference to a procedure or standard number. The nature of the requirement had to be discerned from the statement of nonconformance. Procedures 4-105 and 4-106 now require that the NCR

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peterson Date: 3/25/87
Rev. No. 3

Thomas A. Sy 3/25/87
Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		reference the requirement which was violated.
1.9	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) The dispositions were reasonable and appropriate for the item in 24 of 26 cases. In two cases, NCRs 84-200 and 84-353, the technical justification for acceptance of the nonconformances did not appear to recognize the importance of procedural discipline, nor did the justification provide a technical basis for the decision, e.g., 84-200 "All work was performed by qualified and reputable companies in the field using state-of-the-art equipment and procedures." Procedures which control these activities, 4-105 and 4-106 have been revised to clear up this area. EHP 3/25/87
1.9	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such acitons have been completed before restart?	d) Rework, repair, procedural development or revision was required in four (4) of the 26 NCRs sampled. In all of the dispositioned items except one, the required action was signed by QA as having been satisfactorily effected. The one, BNCR 85.007 was cancelled. Based on the results of the sample, required actions have been implemented. There should be no adverse effect on restart.
1.9	e) If not completed before restart, will such actions adversely impact restart?	e) See (d) above.
1.9	f) Will the resolutions or dispositions affect past documentation of completed work?	f) No. See (d) above.
1.9	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) There was no evidence in the sample of NCRs taken of failure to control nonconforming items, once

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Pitts Date: 3/25/87
Rev. No. 3

Kenneth Fry 3/25/87
Walter A. Hedel 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		identified. In a similar evaluation to this, but made of audit findings, the auditor identified failure to identify and segregate nonconforming items, reference Audit E86.02.1. There was no evidence of lack of control of those items after the audit finding.
1.9	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with the procedures?	h) Dispositions were made by appropriate personnel as evidenced by QA's acceptance of the disposition and its implementation.
1.9	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) The qualifications of workers and clearing persons were satisfactory as evidenced by Quality Assurance acceptance of the effected disposition.j
1.9	j) From the selected sample of audit or surveillance findings and NCRs, make the folloiwng evaluations: o Were they closed in accordance with appropriate procedures? o Is the closure still valid?	j) In 24 of 26 cases sampled, NCRs appear to have been closed in accordance with procedure as evidenced by QA acceptance of the effected disposition. In the two cases noted in 1.9 (c) above, the technical justification for conditional acceptance was not clearly stated. NCR 84-100 provided a statement only that the companies performing the work were highly qualified and used state-of-the-art procedures and equipment. 84-353 conditionally accepted the data and then prohibited its use for design calculations supporting repository definitive design. In 24 of 26 cases the root cause was not addressed.
1.9	k) Are there any open NCRs?	k) Per Volume 2, BWIP Restart Readiness Report, Appendix "C", there are 8 NCRs waiting closure based upon verification of the implemented disposition. These are:

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 3/25/87
Rev. No. 3

Kenneth J. Fig 3/25/87
Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		o BNCR 86.006 86.004 85.025 o CNCR B-314-113 B-314-114 B-314-115 B-314-116 B-315-117
1.9	1) If there are any open deficiency documents, should they be closed before restart?	1) Has not been resolved, RHO to provide information.

EHP
3/25/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C. H. Pettine Date: 5/7/87

Oji Bhm 5/7/87
R. J. Marcello 5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.3	c) Does the evidence provide sufficient support to the position that the requirements are included in project documents?	c) Yes. However, this determination is based on the completed matrices, reviews and the appraisal given in the Restart Report. A redetermination must be made at a later date when all project management requirements have been incorporated into the procedures. Approximately 50 elements included in the matrix for the SEMP were evaluated to determine if the requirements were located, however, 4 of the procedures listed did not contain the indicated requirement.

5/19/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: C. H. Peterson Date: 5/17/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
1.10	CARs, AUDIT AND SURVEILLANCE FINDINGS, ETC., MUST BE CLOSED AND DOCUMENTED. SPECIAL CASES MUST BE IDENTIFIED ALONG WITH THE IMPACT ON PREVIOUSLY COMPLETED WORK. Questions:	Deficiencies identified in Appendix C of the Restart Readiness Report have been closed except CAR BCAR-85-007 and 23 audit findings. It is noted that deficiencies have been identified since the release of Rockwell's Restart Readiness Report. These will be evaluated prior to the lift of the Stop Work Order to assist in the determination as to whether or not the prerequisites for lifting of the SWO as described in the DOE-RL letter to Rockwell of May 14, 198~~7~~6 are in place. The BCAR status is: CHP 5/17/87 BCAR-85-007 - The development and/or modification of software will be considered only for special cases until the identified procedures and training are complete as required by the Corrective Action. Criteria for Special Cases are delineated in IL #72000-86-046, from J. R. Kirkendall to all BWIP Project Managers. The following audit findings are open: Audit — Finding 84-02 — 1-5 84-06 — 1-2 84-10 — 1-4 85-10 — 1-5 86-03 — 1-3 86-04 — 2-3 86-07 — 1, 8

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E. H. Pastine Date: 5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		These are actions which are required to be resolved in order to lift the Stop Work Order. Although not administratively closed, the team evaluation indicates that the required actions are being taken.
1.10	CARs	
	a) Will the closure of the CAR provide non-recurrence of the condition?	a) No, however satisfactory. Rockwell has resolved this item by means of letters #12100-87-MFN-070 and #12100-87-092. Preventive corrective action for recurrence was not clearly identified. Closure of CARs was directed at the specific problem identified. Justification for closure was given and proper signatures for review were obtained. CARs which were reviewed by Rockwell Assessment Team did not exhibit evidence of their review, this was highlighted to them in an interview meeting at the Rockwell Hills Street offices on Friday, January 23, 1987. The team members concurred.
1.10	b) Has the root cause been determined?	b) No, however satisfactory. Rockwell has resolved this item by means of letters #12100-87-MFN-070 and #12100-87-092. There was no objective evidence identified to determine the problem root cause. Observations made during this Readiness Review, indicated that of the ten CARs selected, they exhibited conditions of poor understanding of procedural requirements and weak communications. Examples are CAR BCAR-84-003, CAR 84-024, both CAR documents are closed.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C J Peters Date: 5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
1.10	c) Will there be an impact on old or new work?	c) Satisfactory, based upon Rockwell letters #12100-87-MFN and #12100-87-092 dated 3/23/87 and 4/7/87. Of the CARs reviewed there appeared to be no significant impact on past work. The impact on new work is expected to be an improvement as all of the QAAPs are approved and in place.
1.10	d) Are there any special cases on the open findings?	d) One CAR, BCAR-86-002, dealing with Peer Review, was closed based on DOE Audit Report #8604. The unsatisfactory conditions identified in the CAR were not corrected before closure. Similar conditions identified in DOE Audit Report #8604 have not been resolved. Rockwell closed the CAR based on the unsatisfactory conditions being tracked using the DOE document. The problem of Peer Review was identified as early as 1983. There are two open CARs, BCAR-84-002 and BCAR-85-007, according to Rockwell report, RPAS-016. The disposition of these two CARs prior to restart is not required. The Restart Team agrees with this position. Surveillance Report 83-596 dated 9/30/83 (Closed - referred to as CAR 84-033) Surveillance Report 83-689 dated 11/10/83 (Closed) CAR 84-033 dated 9/25/84

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Bates Date: 5/19/87

5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		(Closed - based on BCAR-86-022 being issued) CAR BCAR 86-002 dated 3/27/86 (Closed - based on DOE Audit Report 8604 being issued) DOE Audit Report 8604
1.10	e) How are these open items to be handled?	e) Satisfactory. Refer to item (d) above. CAR BCAR 86-002 improperly closed. Rockwell provided satisfactory response in letter IL 12100-87-MJG-102 dated 4/15/87. Resolution of the open CAR by Rockwell is proposed as follows: BCAR-85-007 - The development and/or modification of software will be considered only for special cases until and the identified procedures and training are complete as required by the Corrective Action. Criteria for Special Cases are delineated in IL # 72000-86-046, from J. R. Kirkendall to all BWIP Project Managers.
1.10	f) Why could these open cases not be closed?	f) See item (e) above.
1.10	AUDIT FINDINGS	
	a) Are deficiencies adequately described?	a) Yes. Of the 22 audit findings sampled, the deficiencies were adequately described with one exception. Audit Finding 85-1-003 was not clearly stated. The scope of the audit per the Audit Plan was "Compliance to NQA-1, 1983, and addendum 1a and 1b."

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Bartine Date: 5/19/87

Howard B. 5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		It appeared that specific sentences of NQA-1, Criteria 6, 7, and 17, were used to provide a checklist. Per Rockwell internal letter 12190-85-030, dated September 6, 1986, a copy of Audit Finding number one (#1) was enclosed. The audit file did not include an Audit Finding form, but did include pages 56, 93, 97, 98, 99 and 100 of the checklist. It is not clear which one or all of the deficient checklist items constituted Audit Finding #1. The audit finding form is not included with the package. Refer to Rockwell letter 12100-87-RTS-066 second paragraph dated 3/16/87, R. T. Johnson to All BWIP QA Dept. Personnel.
1.10	b) Are the requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Yes. In general the requirements were clearly identified. In three instances, 8602-1, 2, and 3, the requirements consisted of a reference to NQA-1, Criteria 15, 17, and 8, respectively. The nature of the deficiency can, however, be discerned from the description.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Yes. The responses were generally appropriate for the specific deficiency noted. Exceptions were BWIP 85-I-003, E8602-1, E8302. These exceptions have ben satisfactorily closed. Please refer to letters referenced in the last paragraph of this item. The response for E8602-1 addressed preparing a procedure for the handling, storage and accountability of pitting samples. The larger problem of identification, control and segregation of nonconforming items was not specifically addressed.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pettis Date: 5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		BWIP 85-I-003 file did not show a response, although Appendix C of Volume 2 of the Restart Report shows corrective action for this audit to have been committed and waiting verification. Audit E-8302 was not available in the file at the time of evaluation. It has since been located, but has not been evaluated. While the action relative to a specific deficiency was appropriate, except as noted above, in eleven (11) of twenty-one (21) cases the underlying cause was either failure to follow procedures or inadequate procedures, and these causes were not addressed in the response. In nine (9) additional cases, procedural inadequacy was addressed, and in one (1) case procedural discipline was addressed. Audits and responses covered a number of different organizations and persons, and thereby, the adverse trend of poor procedural discipline and inadequate procedures might have escaped individual auditors; however, the overall trend should have been noted during the reassessment for restart and appropriate action indicated to resolve this problem. This data will not be used for site characterization activities until the data have been evaluated in accordance with requirements for the evaluation of data obtained prior to full implementation of NQA-1. Procedures governing this evaluation are being prepared. Refer to Rockwell letter #12100-87-MFN-070 and #12100-87-092.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E St Peter Date: 5/12/87

5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Satisfactory. Rockwell has furnished information, Ref RPAS-016 4/15/87.
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell furnished information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. Based on the dispositions reviewed, there should be no adverse affect on past documentation. Some of the dispositions required verification of calibration of instruments, which was accomplished (e.g., BWIP 84-02) or bringing files up to date (e.g., 85-002-3).
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Satisfactory. Audit Findings 8602-1 identified deficient items which had not been properly identified and segregated to preclude inadvertent usage. Action taken after the audit, specific to the cause of this deficiency was stated to be the failure of the user to read the report identifying the test samples as not passing the helium leak test. This misses the more evident cause which was the failure to identify nonconforming items by suitable tags on the item or their container and to segregate them to preclude inadvertent usage. Therefore, while the specific items may be controlled, the potential exists for a recurrence of this kind of deficiency. Procedure PMPM 4.105, para. 6.6, Rev. 1 addresses use of tagging, Rockwell letter IL -12100-87-MFN-070 addresses Root Cause Evaluation. This is considered satisfactory for

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E T Bertin Date: 5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		resolving this item.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes, satisfactory. Closure of the audit findings by Quality Assurance is evidence of their acceptance of the person making the description, or corrective action, the disposition and its implementation. The Audit Response Form identifies the person responsible for corrective action, and states the corrective action commitment. This form also is signed by the auditor and the closeout authority, usually the auditor or his supervisor.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes, satisfactory.
1.10	j) From the selected sample of audit findings make the following evaluations:	j) Satisfactory. Every third audit in the Rockwell closed audit file was sampled, and each deficiency in such audits was evaluated for a total of twenty-two (22) deficiencies with procedure in effect at that time.
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes, satisfactory.
1.10	2. Is the closure still valid?	2. Yes, satisfactory. Closures are still valid.
1.10	k) Are there any open audit findings?	k) Yes.

Audit	Findings
84-02	1-5

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C T Porter Date: 5/19/87

5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		84-06 1-2 84-10 1-4 85-10 1-5 86-03 1-3 86-04 2-3 86-07 1, B
1.10	1) If there are any open deficiency documents, should they be closed before restart?	1) ~~Open~~ YES CTP 5/19/87
1.10	SURVEILLANCE FINDINGS	
	a) Are deficiencies adequately described?	a) Satisfactory. All of closed 1983 surveillance reports were reviewed, and one (1) out of three (3) of subsequent years were reviewed as filed. Deficiencies were adequately identified in all but three (3) of 78 surveillance reports evaluated. The three (3) considered inadequate are: 86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file All checklists are in the file. Verified 4/28/87. Contact C. Tayler x6-7864.
1.10	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Satisfactory. The requirements were adequately identified in all cases. However, they were not clearly stated in 34 of the 78 surveillances reviewed. The problem is that in most of these cases only a reference to a standard or procedure paragraph was

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		given, and not a succinct restatement of the requirement itself. The required reference to the NQA-1 or procedure document was sufficient to lead one to the requirement. The requirement should be well enough stated to make reference to other documents unnecessary. This has been resolved by Rockwell by means of Internal Letter #12100-87-092.
1.10	c) Are the dispositons and/or corrective actions reasonable and appropriate for the item?	c) Satisfactory. Dispositions and corrective action were adequate to correct the specific item only on 45 of the 78 surveillances evaluated. The principal causes of deficiency were failure to follow procedure and inadequate procedures. Of the remaining 33, there were 14 cases of inadequate procedures, 10 cases of lack of procedural knowledge, and four (4) cases of lack of procedural discipline identified by the corrective action taken. The action taken was specific to the identified problems and not the generic problems of procedural adequacy and procedural discipline. This data will not be used for site characterization activities until it has been evaluated in accordance with requirements for the evaluation of data obtained prior to full implementation of NQA-1 Procedures governing this evaluation being prepared. Refer to Rockwell letters #12100-87-MFN-070 and #12100-87-092.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Rockwell provided information per #RPAS-16, transmitted with letter IL#12171-87-DPT dated 3/24/87. No surveillance open.

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Signature: E H Pastine Date: 5/19/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell provided information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. The revised procedures should not affect past dispositions.
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Yes, satisfactory. In the sample reviewed, there was not evidence of lack of control after a problem was identified.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes, satisfactory. The Surveillance Report Form identifies the appropriate action party. Closing out the surveillance report by Quality Assurance indicates satisfaction with the dispositioner, the disposition and its implementation. The surveillance report and any follow-up verification is normally by the originator of the report.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes, satisfactory.
1.10	j) From the selected sample of surveillance findings, make the following evaluations:	j) Satisfactory. From the sample of 78 surveillances reviewed, closure appeared to be appropriate in all but three instances. These are: 86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file All checklists are in file. Verified 4/28/87 contact

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		C. Tayler x6-7864.
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. While the file evaluated did not include all closeout data, Rockwell has subsequently demonstrated that these were properly closed. Files should be updated to show the closeout data. Files now include all data. SURVEILLANCE REPORT BWIP 84-008 Follow-up evaluation was shown to be inadequate on 7/1/85. Closure was shown on 7/1/85. BNCR 85-013 was referenced as a follow-on document, but was not included in the file. The reference to BNCR-85-013 is considered satisfactory.
1.10	k) Are there any open surveillance findings?	k) No. The following Surveillance Reports were shown as open in Appendix C to the Restart Report, Volume 2: BSRP 85-172 BSRP 86-316 BSRP 85-262 BSRP 86-321 BSRP 86-025 BSRP 86-324 BSRP 86-026 BSRP 86-325 BSRP 86-027 BSRP 86-357 BSRP 86-054 BSRP 86-364 BSRP 86-153 BSRP 86-374 BSRP 86-176 BSRP 86-387

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 3
		BSRP 86-261 BSRP 86-262 BSRP 86-265 BSRP 86-278 BSRP 86-388 BSRP 86-393 All are now closed per telecon C. Taylor, Rockwell, 4/23/87 and verified by W. Hedzik, 5/1/87.
1.10	1) If there are any open deficiency documents, should they be closed before restart?	1) Satisfactory. There are none.

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.10	CARs, AUDIT AND SURVEILLANCE FINDINGS, ETC., MUST BE CLOSED AND DOCUMENTED. SPECIAL CASES MUST BE IDENTIFIED ALONG WITH THE IMPACT ON PREVIOUSLY COMPLETED WORK. Questions: IT IS NOTED THAT DEFICIENCIES HAVE BEEN IDENTIFIED SINCE THE RELEASE OF THE ROCKWELL'S RESTART READINESS REPORT. THESE WILL BE EVALUATED PRIOR TO THE LIFT OF THE STOPWORK ORDER TO ASSIST IN THE DETERMINATION AS TO WHETHER OR NOT THE PREREQUISITES FOR LIFTING OF THE SWO AS DESCRIBED IN THE DOE-RL LETTER TO RHO OF MAY 14, 1987 ARE IN PLACE. ETP 5/14/87	ETP 5/14/87 IDENTIFIED IN APPENDIX C OF THE RESTART READINESS REPORT ~~All~~ Deficiencies have been closed except CAR ~~BCAR 84-002 and~~ BCAR-85-007 and audit findings _____. The BCAR status is: ~~BCAR-84-002 - The CAR covers past discrepancies, in records transmittal of "external work orders," to the BRMC. During discussion, in a meeting of L. T. Murphy, K. B. Davis, W. J. Hotarek, H. R. Tuthill and G. P. Trott on 3/12/87, it was voiced that the problem may be ongoing. R. I. Johnson has directed the Quality Assurance Surveillance Group to closely monitor the activities, which were the subject of the CAR, for the next six (6) months. PMPM 6-116, Procurement Document Control, is the governing procedure for the affected activities; and it will be the basis for monitoring activities by the QASG. If surveillance activities reveal that "self check" is not working, a system change will be considered.~~ BCAR-85-007 - ~~Activities shall be considered in Restart, only if they do not involve~~ The development and/or modification of software ~~(i.e., Special Cases),~~ ~~and~~ the identified procedures and training are complete as required by the Corrective Action. Criteria for Special Cases are delineated in IL #72000-86-046, from J. R. Kirkendall to all BWIP Project Managers. ETP 5/14/87 ETP 5/14/87 WILL BE CONSIDERED ONLY FOR SPECIAL CASES UNTIL The Audit status is:

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Signature: E H Pettis Date: 5/14/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.10	CARs	
	a) Will the closure of the CAR provide non-recurrence of the condition?	a) No, however satisfactory. Rockwell has resolved this item by means of letters #12100-87-MFN-070 and #12100-87-092. Preventive corrective action for recurrence was not clearly identified. Closure of CARs was directed at the specific problem identified. Justification for closure was given and proper signatures for review were obtained. CARs which were reviewed by Rockwell Assessment Team did not exhibit evidence of their review, this was highlighted to them in an interview meeting at the Rockwell Hills Street offices on Friday, January 23, 1987. The team members concurred.
1.10	b) Has the root cause been determined?	b) No, however satisfactory. Rockwell has resolved this item by means of letters #12100-87-MFN-070 and #12100-87-092. There was no objective evidence identified to determine the problem root cause. Observations made during this Readiness Review, indicated that of the ten CARs selected, they exhibited conditions of poor understanding of procedural requirements and weak communications. Examples are CAR BCAR-84-003, CAR 84-024, both CAR documents are closed.
1.10	c) Will there be an impact on old or new work?	c) Satisfactory, based upon Rockwell letters #12100-87-MFN and #12100-87-092 dated 3/23/87 and 4/7/87. Of the CARs reviewed there appeared to be no significant impact on past work. The impact on new work is expected to be an improvement as all of the

Edward [illegible] 5/14/87

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		QAAPs are approved and in place.
1.10	d) Are there any special cases on the open findings?	d) One CAR, BCAR-86-002, dealing with Peer Review, was closed based on DOE Audit Report #8604. The unsatisfactory conditions identified in the CAR were not corrected before closure. Similar conditions identified in DOE Audit Report #8604 have not been resolved. Rockwell closed the CAR based on the unsatisfactory conditions being tracked using the DOE document. The problem of Peer Review was identified as early as 1983. There are two open CARs, BCAR-84-002 and BCAR-85-007, according to Rockwell report, RPAS-016. The disposition of these two CARs prior to restart is not required. The Restart Team agrees with this position. Surveillance Report 83-596 dated 9/30/83 (Closed - referred to as CAR 84-033) Surveillance Report 83-689 dated 11/10/83 (Closed) CAR 84-033 dated 9/25/84 (Closed - based on BCAR-86-022 being issued) CAR BCAR 86-002 dated 3/27/86 (Closed - based on DOE Audit Report 8604 being issued)

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		DOE Audit Report 8604
1.10	e) How are these open items to be handled?	e) Satisfactory. Refer to item (d) above. CAR BCAR 86-002 improperly closed. Rockwell provided satisfactory response in letter IL 12100-87-MJG-102 dated 4/15/87. Resolution of the open CARs by Rockwell is proposed as follows:

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BCAR-84-002 - The CAR covers past discrepancies, in records transmittal of "external work orders," to the BRMC. During discussion, in a meeting of L. T. Murphy, K. B. Davis, W. J. Hotarek, H. R. Tuthill and D. P. Trott on 3/12/87, it was voiced that the problem may be ongoing. R. T. Johnson has directed the Quality Assurance Surveillance Group to closely monitor the activities, which were the subject of the CAR, for the next six (6) months. PMPM 6-116, Procurement Document Control, is the governing procedure for the affected activities, and it will be the basis for monitoring activities by the QASG. If surveillance activities reveal that "self check" is not working, a system change will be considered.

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WILL BE CONSIDERED ONLY FOR SPECIAL CASES UNTIL

BCAR-85-007 - ~~Activities shall be considered in Restart, only if they do not involve~~ The development and/or modification of software ~~(i.e., Special Cases),~~ ~~and~~ the identified procedures and training are complete as required by the Corrective Action. Criteria for Special Cases are delineated in IL # 72000-86-046, from J. R. Kirkendall to all BWIP Project Managers.

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Peters Date: 5/14/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.10	f) Why could these open cases not be closed?	f) See item (e) above.
1.10	AUDIT FINDINGS	
	a) Are deficiencies adequately described?	a) Yes. Of the 22 audit findings sampled, the deficiencies were adequately described with one exception. Audit Finding 85-1-003 was not clearly stated. The scope of the audit per the Audit Plan was "Compliance to NQA-1, 1983, and addendum 1a and 1b." It appeared that specific sentences of NQA-1, Criteria 6, 7, and 17, were used to provide a checklist. Per Rockwell internal letter 12190-85-030, dated September 6, 1986, a copy of Audit Finding number one (#1) was enclosed. The audit file did not include an Audit Finding form, but did include pages 56, 93, 97, 98, 99 and 100 of the checklist. It is not clear which one or all of the deficient checklist items constituted Audit Finding #1. The audit finding form is not included with the package. Refer to Rockwell letter 12100-87-RTS-066 second paragraph dated 3/16/87, R. T. Johnson to All BWIP QA Dept. Personnel.
1.10	b) Are the requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Yes. In general the requirements were clearly identified. In three instances, 8602-1, 2, and 3, the requirements consisted of a reference to NQA-1, Criteria 15, 17, and 8, respectively. The nature of the deficiency can, however, be discerned from the description.
1.10	c) Are the dispositions and/or corrective actions	c) Yes. The responses were generally appropriate for

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	reasonable and appropriate for the item?	the specific deficiency noted. Exceptions were BWIP 85-I-003, E8602-1, E8302. These exceptions have ben satisfactorily closed. Please refer to letters referenced in the last paragraph of this item. The response for E8602-1 addressed preparing a procedure for the handling, storage and accountability of pitting samples. The larger problem of identification, control and segregation of nonconforming items was not specifically addressed. BWIP 85-I-003 file did not show a response, although Appendix C of Volume 2 of the Restart Report shows corrective action for this audit to have been committed and waiting verification. Audit E-8302 was not available in the file at the time of evaluation. It has since been located, but has not been evaluated. While the action relative to a specific deficiency was appropriate, except as noted above, in eleven (11) of twenty-one (21) cases the underlying cause was either failure to follow procedures or inadequate procedures, and these causes were not addressed in the response. In nine (9) additional cases, procedural inadequacy was addressed, and in one (1) case procedural discipline was addressed. Audits and responses covered a number of different organizations and persons, and thereby, the adverse trend of poor procedural discipline and inadequate procedures might have escaped individual auditors;

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		however, the overall trend should have been noted during the reassessment for restart and appropriate action indicated to resolve this problem. This data will not be used for site characterization activities until the data have been evaluated in accordance with requirements for the evaluation of data obtained prior to full implementation of NQA-1. Procedures governing this evaluation are being prepared. Refer to Rockwell letter #12100-87-MFN-070 and #12100-87-092.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Satisfactory. Rockwell has furnished information, Ref RPAS-016 4/15/87.
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell furnished information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. Based on the dispositions reviewed, there should be no adverse affect on past documentation. Some of the dispositions required verification of calibration of instruments, which was accomplished (e.g., BWIP 84-02) or bringing files up to date (e.g., 85-002-3).
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Satisfactory. Audit Findings 8602-1 identified deficient items which had not been properly identified and segregated to preclude inadvertent usage. Action taken after the audit, specific to the cause of this deficiency was stated to be the failure of the user to read the report identifying the test samples as not passing the helium leak test. This misses the more

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		evident cause which was the failure to identify nonconforming items by suitable tags on the item or their container and to segregate them to preclude inadvertent usage. Therefore, while the specific items may be controlled, the potential exists for a recurrence of this kind of deficiency. Procedure PMPM 4.105, para. 6.6, Rev. 1 addresses use of tagging, Rockwell letter IL -12100-87-MFN-070 addresses Root Cause Evaluation. This is considered satisfactory for resolving this item.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes, satisfactory. Closure of the audit findings by Quality Assurance is evidence of their acceptance of the person making the description, or corrective action, the disposition and its implementation. The Audit Response Form identifies the person responsible for corrective action, and states the corrective action commitment. This form also is signed by the auditor and the closeout authority, usually the auditor or his supervisor.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes, satisfactory.
1.10	j) From the selected sample of audit findings make the following evaluations:	j) Satisfactory. Every third audit in the Rockwell closed audit file was sampled, and each deficiency in such audits was evaluated for a total of twenty-two (22) deficiencies with procedure in effect at that time.
1.10	1. Were they closed in accordance with appropriate	1. Yes, satisfactory.

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
	procedures?	
1.10	2. Is the closure still valid?	2. Yes, satisfactory. Closures are still valid.
1.10	k) Are there any open audit findings?	k) Open
1.10	l) If there are any open deficiency documents, should they be closed before restart?	l) Open
1.10	SURVEILLANCE FINDINGS	
	a) Are deficiencies adequately described?	a) Satisfactory. All of closed 1983 surveillance reports were reviewed, and one (1) out of three (3) of subsequent years were reviewed as filed. Deficiencies were adequately identified in all but three (3) of 78 surveillance reports evaluated. The three (3) considered inadequate are: 86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file All checklists are in the file. Verified 4/28/87. Contact C. Tayler x6-7864.
1.10	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Satisfactory. The requirements were adequately identified in all cases. However, they were not clearly stated in 34 of the 78 surveillances reviewed. The problem is that in most of these cases only a reference to a standard or procedure paragraph was given, and not a succinct restatement of the

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		requirement itself. The required reference to the NQA-1 or procedure document was sufficient to lead one to the requirement. The requirement should be well enough stated to make reference to other documents unnecessary. This has been resolved by Rockwell by means of Internal Letter #12100-87-092.
1.10	c) Are the dispositons and/or corrective actions reasonable and appropriate for the item?	c) Satisfactory. Dispositions and corrective action were adequate to correct the specific item only on 45 of the 78 surveillances evaluated. The principal causes of deficiency were failure to follow procedure and inadequate procedures. Of the remaining 33, there were 14 cases of inadequate procedures, 10 cases of lack of procedural knowledge, and four (4) cases of lack of procedural discipline identified by the corrective action taken. The action taken was specific to the identified problems and not the generic problems of procedural adequacy and procedural discipline. This data will not be used for site characterization activities until it has been evaluated in accordance with requirements for the evaluation of data obtained prior to full implementation of NQA-1 Procedures governing this evaluation being prepared. Refer to Rockwell letters #12100-87-MFN-070 and #12100-87-092.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Rockwell provided information per #RPAS-16, transmitted with letter 1L#12171-87-DPT dated 3/24/87. No surveillance open.
1.10	e) If not completed before restart, will such actions	e) Rockwell provided information, refer to d).

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
	adversely impact restart?	
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. The revised procedures should not affect past dispositions.
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Yes, satisfactory. In the sample reviewed, there was not evidence of lack of control after a problem was identified.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes, satisfactory. The Surveillance Report Form identifies the appropriate action party. Closing out the surveillance report by Quality Assurance indicates satisfaction with the dispositioner, the disposition and its implementation. The surveillance report and any follow-up verification is normally by the originator of the report.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes, satisfactory.
1.10	j) From the selected sample of surveillance findings, make the following evaluations:	j) Satisfactory. From the sample of 78 surveillances reviewed, closure appeared to be appropriate in all but three instances. These are: 86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file All checklists are in file. Verified 4/28/87 contact C. Tayler x6-7864.

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Signature: [illegible] Date: 5/14/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. While the file evaluated did not include all closeout data, Rockwell has subsequently demonstrated that these were properly closed. Files should be updated to show the closeout data. Files now include all data. SURVEILLANCE REPORT BWIP 84-008 Follow-up evaluation was shown to be inadequate on 7/1/85. Closure was shown on 7/1/85. BNCR 85-013 was referenced as a follow-on document, but was not included in the file. The reference to BNCR-85-013 is considered satisfactory.
1.10	k) Are there any open surveillance findings? [illegible] 5/14/87	k) ~~Yes.~~ No The following Surveillance Reports ~~are~~ WERE shown as open in Appendix C to the Restart Report, Volume 2: BSRP 85-172 BSRP 86-316 BSRP 85-262 BSRP 86-321 BSRP 86-025 BSRP 86-324 BSRP 86-026 BSRP 86-325 BSRP 86-027 BSRP 86-357 BSRP 86-054 BSRP 86-364 BSRP 86-153 BSRP 86-374 BSRP 86-176 BSRP 86-387 BSRP 86-261 BSRP 86-388

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		BSRP 86-262 BSRP 86-393 BSRP 86-265 BSRP 86-278 All are now closed per telecon C. Taylor, Rockwell, 4/23/87 and verified by W. Hedzik, 5/1/87.
1.10	1) If there are any open deficiency documents, should they be closed before restart?	1) Satisfactory. There are none.

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.10	CARs, AUDIT AND SURVEILLANCE FINDINGS, ETC., MUST BE CLOSED AND DOCUMENTED. SPECIAL CASES MUST BE IDENTIFIED ALONG WITH THE IMPACT ON PREVIOUSLY COMPLETED WORK.	A substantial number of open deficiencies for which Rockwell will provide information will be evaluated as part of Revision 1. In several instances, incomplete information was provided to the reviewer. Root causes were not identified nor was trending performed.
	Questions	
	CARs	
1.10	a) Will the closure of the CAR provide non-recurrence of the condition?	a) No, however satisfactory. Rockwell has resolved this item by means of letters #12100-87-MFN-070 and #12100-87-092. Preventive corrective action for recurrence was not clearly identified. Closure of CARs was directed at the specific problem identified. Justification for closure was given and proper signatures for review were obtained. CARs which were reviewed by Rockwell Assessment Team did not exhibit evidence of their review, this was highlighted to them in an interview meeting at the Rockwell Hill Street Offices on Friday, January 23, 1987. The team members concurred.
1.10	b) Has the root cause been determined?	b) No, however satisfactory. Rockwell has resolved this item by means of letters #12100-87-MFN-070 and #12100-87-092. There was no objective evidence identified to determine the problem root cause. Observations made during this Readiness Review, indicated that of the ten CARs selected, they exhibited conditions of poor understanding of procedural requirements and weak communications. Examples are CAR BCAR-84-003, and CAR 84-024, both CAR documents are

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		closed.
1.10	c) Will there be an impact on old or new work?	c) Satisfactory based upon Rockwell letters #12100-87-MFN and #12100-87-092 dated 3/23/87 and 4/7/87. Of the CARs reviewed there appeared to be no significant impact on past work. The potential impact of new work is expected to be an improvement [illegible] as all applicable QAAPs (i.e., root cause and trend analysis) have ~~not~~ been ~~reviewed and~~ approved and are being implemented.
1.10	d) Are there any special cases on the open findings?	d) One CAR, BCAR 86-002, dealing with Peer Review, was closed based on DOE Audit Report #8604. The unsatisfactory conditions identified in the CAR were not corrected before closure. Similar conditions identified in DOE Audit Report #8604 have not been resolved. Rockwell closed the CAR based on the unsatisfactory conditions being tracked using the DOE document. The problem of Peer Review was identified as early as 1983. Surveillance Report 83-596 dated 9/30/83 (Closed - referred to as CAR 84-033) Surveillance Report 83-689 dated 11/10/83 (Closed) CAR 84-033 dated 9/25/84 (Closed - based on BCAR-86-022 being issued)

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		CAR BCAR 86-002 dated 3/27/86 (Closed - based on DOE Audit Report 8604 being issued) DOE Audit Report 8604
1.10	e) How are these open items to be handled?	e) Satisfactory. Refer to item (d) above. CAR BCAR 86-002 improperly closed. Rockwell provided satisfactory response in letter IL 12100-87-MJG-11 dated 4/15/87.
1.10	f) Why could these open cases not be closed?	f) CAR, BCAR 86-002 should have remained open until Rockwell satisfactorily resolved the unsatisfactory conditions. It should not have been closed based on a document issued by another organization unless the condition had been satisfactorily resolved. See item (e) above.
1.10	AUDIT FINDINGS a) Are deficiencies adequately described?	a) Yes. Of the 22 audit findings sampled, the deficiencies were adequately described with one exception. Audit Finding 85-1-003 was not clearly stated. The scope of the audit per the Audit Plan was "Compliance to NQA-1, 1983, and addendum 1a and 1b." It appeared that specific sentences of NQA-1, Criteria 6, 7, and 17, were used to provide a checklist. Per Rockwell internal letter 12190-85-030, dated September 6, 1986, a copy of Audit Finding number one (#1) was enclosed. The audit file did not include an Audit Finding form, but did include pages 56, 93, 97, 98, 99 and 100 of the checklist. It is not clear which one or all of the deficient checklist items consituted Audit Finding #1. The audit finding form is now included

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C H Peterson Date: 5/1/87

5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		with the package. Refer to Rockwell letter 12100-87-RTS-066 third paragraph dated 3/16/87, R. T. Johnson to All Bwip QA Dept. Personnel.
1.10	b) Are the requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Yes. In general the requirements were clearly identified. In three instances, B602-1, 2, and 3, the requirements consisted of a reference to NQA-1, Criteria 15, 17, and 8, respectively. The nature of the deficiency can, however, be discerned from the description.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Yes. The responses were generally appropriate for the specific deficiency noted. Exceptions were BWIP 85-I-003, EB602-1, EB302. The response for EB602-1 addressed preparing a procedure for the handling, storage and accountability of pitting samples. The larger problem of identification, control and segregation of nonconforming items was not specifically addressed. BWIP 85-I-003 file did not show a response, although Appendix C of Volume 2 of the Restart Report shows corrective action for this audit to have been committed and waiting verificaiton. Audit E-B302 was not available in the file at the time of evaluation. It has since been located, but has not been evaluated. While the action relative to a specific deficiency was appropriate, except as noted above, in eleven (11) of twenty-one (21) cases the underlying cause was either failure to follow procedures or inadequate procedures,

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Signature: E W Peterson Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		and these causes were not addressed in the reponse. In nine (9) additional cases, procedural inadequacy was addressed, and in one (1) case procedural discipline was addressed. Audits and responses covered a number of different organizations and persons, and thereby, the adverse trend of poor procedural discipline and inadequate procedures might have escaped individual auditors; however, the overall trend should have been noted during the reassessment for restart and appropriate action indicated to resolve this problem. This data will not be used for site characterization activities until the data have been evaluated in accordance with requirements for the evaluation of data obtained prior to full implementation of NQA-1. Procedures governing this evaluation are being prepared. Refer to Rockwell letter #12100-87-MFN-070 and #12100-87-092.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Satisfactory Rockwell has furnished information, REf RPAS-016 4/15/87..
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell furnished information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. Based on the dispositions reviewed, there should be no adverse affect on past documentation. Some of the dispositions required verification of calibration of instruments, which was accomplished (e.g., BWIP 84-02) or bringing files up to

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BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C H Peters Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		date (e.g., 85-002-3).
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Satisfactory. Audit Findings 8602-1 identified deficient items which had not been properly identified and segregated to preclude inadvertent usage. Action taken after the audit, specific to the deficient items, was adequate for their control. The cause of this deficiency was stated to be the failure of the user to read the report identifying the test samples as not passing the helium leak test. This misses the more evident cause which was the failure to identify nonconforming items by suitable tags on the item or their container and to segregate them to preclude inadvertent usage. Therefore, while the specific items may be controlled, the potential exists for a recurrence of this kind of deficiency. Procedure PMPM 4.105, para. 6.6, Rev. 1 addresses use of tagging, Rockwell letter IL-12100-87-MFN-070 addresses Root Cause evaluation. This is considered satisfactory for resolving this item.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes, satisfactory. Closure of the audit findings by Quality Assurance is evidence of their acceptance of the person making the description, or corrective action, the disposition and its implementation. The Audit Response Form identifies the person responsible for corrective action, and states the corrective action commitment. This form also is signed by the auditor and the closeout authority, usually the auditor or his supervisor.
1.10	i) Were the qualifications of workers and clearing	i) Yes, satisfactory.

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BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	persons in accordance with procedural requirements?	
1.10	j) From the selected sample of audit findings make the following evaluations:	j) Satisfactory. Every third audit in the Rockwell closed audit file was sampled, and each deficiency in such audits was evaluated for a total of twenty-two (22) deficiencies with procedure in effect at that time.
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes, satisfactory.
1.10	2. Is the closure still valid?	2. Yes, satisfactory. Closures are all still valid.
1.10	k) Are there any open audit findings?	k) The following audits did not show evidence of closure: BWIP 85-1-003 BWIP 85-1-001 BWIP 8605-1, 2, 3 and 4 BWIP 8602-1, 2, and 3 BWIP 8607-1 [note: Items above are shown as open in the Restart Report.] BWIP 8607, item 1 is shown open in Appendix D, but was not a part of the audits sampled. Rockwell is tracking

8/1/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E McCutcheon Date: 8/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		all open deficiencies by computer. The computer run shows this to be the only open audit findings.
1.10	1) If there are any open deficiency documents, should they be closed before restart?	1) Rockwell provided additional information which require closing of several audit findings prior to restart, reference RPAS-016, 4/15/87.
1.10	SURVEILLANCE FINDINGS a) Are deficiencies adequately described?	a) All of closed 1983 surveillance reports were reviewed, and one (1) out of three (3) of subsequent years were reviewed as filed. Deficiencies were adequately identified in all but three (3) of 78 surveillance reports evaluated. The three (3) considered inadequate are: 86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file
1.10	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) The requirements were adequately identified in all cases. However, they were not clearly stated in 34 of the 78 surveillances reviewed. The problem is that in most of these cases only a reference to a standard or procedure paragraph was given, and not a succinct restatement of the requirement itself. The required reference to the NQA-1 or procedure document was sufficient to lead one to the requirement. The requirement should be well enough stated to make reference to other documents unnecessary.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Satisfactory. Dispositions and corrective action were adequate to correct the specific item only on 45 of the 78 surveillances evaluated. The principal

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E. W. Ostrom Date: 5/1/87

5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		causes of deficiency were failure to follow procedure and inadequate procedures. Of the remaining 33, there were 14 cases of inadequate procedures, 10 cases of lack of procedural knowledge, and four (4) cases of lack of procedural discipline identified by the corrective action taken. The action taken was specific to the identified problems and not the generic problems of procedural adequacy and procedural discipline. This data will not be used for site characterization activities until it has been evaluated in accordance with requirements for the evaluation of data obtained prior to full implementation of NQA-1 Procedures governing this evaluation being prepared. Refer to Rockwell letters #12100-87-MFN-070 and #12100-87-092.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Rockwell provided information per #RPAS-16, transmitted with letter IL#12171-87-DPT dated 3/24/87. No surveillances open.
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell provided information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory. The revised procedures should not affect past dispositions.
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Yes, satisfactory. In the sample reviewed, there was no evidence of lack of control after a problem was identified.
1.10	h) Were the dispositions, resolutions or corrective	h) Yes, satisfactroy. The Surveillance Report Form

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/1/87

5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	action commitments made by a person authorized in accordance with procedures?	identifies the appropriate action party. Closing out the surveillance report by Quality Assurance indicates satisfaction with the dispositioner, the disposition and its implementation. The surveillance report and any follow-up verification is normally by the originator of the report.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes, satisfactory.
1.10	j) From the selected sample of surveillance findings, make the following evaluations:	j) From the sample of 78 surveillances reviewed, closure appeared to be appropriate in all but three instances. These are: 86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. While the file evaluated did not include all closeout data, Rockwell has subsequently demonstrated that these were properly closed. Files should be updated to show the closeout data.
1.10		SURVEILLANCE REPORT BWIP 84-008 Follow-up evaluation was shown to be inadequate on 7/1/85. Closure was shown on 7/1/85. BNCR 85-013 was referenced as a follow-on document, but was not included in the file.

5/1/87

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Bates Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
1.10	k) Are there any open surveillance findings?	k) Yes. The following Surveillance Reports are shown as open in Appendix C to the Restart Report, Volume 2: BSRP 85-172 BSRP 85-262 BSRP 86-025 BSRP 86-026 BSRP 86-027 BSRP 86-054 BSRP 86-153 BSRP 86-176 BSRP 86-261 BSRP 86-262 BSRP 86-265 BSRP 86-278 BSRP 86-316 BSRP 86-321 BSRP 86-324 BSRP 86-325 BSRP 86-357 BSRP 86-364 BSRP 86-374 BSRP 86-387 BSRP 86-388 * BSRP 86-393 All are shown pending verification of corrective action. * Dispositioned. Corrective Action has not been done.
1.10	l) If there are any open deficiency documents, should they be closed before restart?	l) Rockwell to provide information.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Peterson Date: 3/25/87
Rev. No. 3

Walter A. Hedgis 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	CARs, AUDIT AND SURVEILLANCE FINDINGS, ETC., MUST BE CLOSED AND DOCUMENTED. SPECIAL CASES MUST BE IDENTIFIED ALONG WITH THE IMPACT ON PREVIOUSLY COMPLETED WORK.	A substantial number of open deficiencies for which Rockwell will provide information will be evaluated as part of Revision 1. In several instances, incomplete information was provided to the reviewer. Root causes were not identified nor was trending performed.
	Questions	
	CARs	
1.10	a) Will the closure of the CAR provide non-recurrence of the condition?	a) Satisfactory No. However, Rockwell has evaluated ~~the corrective~~ Preventive corrective action for recurrence was not clearly identified. Closure of CARs was directed at the specific problem identified. Justification for closure was given and proper signatures for review were obtained. CARs which were reviewed by Rockwell Assessment Team did not exhibit evidence of their review, this was highlighted to them in an interview meeting at the Rockwell Hill Street Offices on Friday, January 23, 1987. The team members concurred.
1.10	b) Has the root cause been determined?	b) Satisfactory No, there was no objective evidence identified to determine the problem root cause. Observations made during this Readiness Review, indicated that of the ten CARs selected, they exhibited conditions of poor understanding of procedural requirements and weak communications. Examples are CAR BCAR-84-003, and CAR 84-024, both CAR documents are closed.
1.10	c) Will there be an impact on old or new work?	c) wait to review procedures Of the CARs reviewed there appeared to be no significant impact on old work. The potential impact

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M. Sutie Date: 3/25/87 Kenneth Rup 3/25/87
Rev. No. 3
Walter A. Hedgir 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		of new work has yet to be determined as all applicable QAAPs (i.e., root cause and trend analysis) have not been reviewed and approved.
1.10	d) Are there any special cases on the open findings?	1.10-7 d) One CAR, BCAR 86-002, dealing with Peer Review, was closed based on DOE Audit Report #8604. The unsatisfactory conditions identified in the CAR were not corrected before closure. Similar conditions identified in DOE Audit Report #8604 have not been resolved. Rockwell closed the CAR based on the unsatisfactory conditions being tracked using the DOE document. The problem of Peer Review was identified as early as 1983. Surveillance Report 83-596 dated 9/30/83 (Closed - referred to as CAR 84-033) Surveillance Report 83-689 dated 11/10/83 (Closed) CAR 84-033 dated 9/25/84 (Closed - based on BCAR-86-022 being issued) CAR BCAR 86-002 dated 3/27/86 (Closed - based on DOE Audit Report 8604 being issued) DOE Audit Report 8604

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Beter Date: 3/25/87 Maurice Bo 3/25/87
Rev. No. 3
Walter C. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		(Open) ~~CAR BCAR 86-002~~ CTH 3/25/87
1.10	e) How are these open items to be handled? same as (d)	e) Refer to item (d) above. CAR BCAR 86-002 improperly closed. Rockwell to provide response on how it should be handled.
1.10	f) Why could these open cases not be closed? same as (d) (wait did they satisfy the commitment to DOE)	f) CAR, BCAR 86-002 should have remained open until Rockwell satisfactorily resolved the unsatisfactory conditions. It should not have been closed based on a document issued by another organization unless the condition had been satisfactorily resolved.
1.10	AUDIT FINDINGS CTH 3/25/87 a) Are deficiencies adequately described?	a) YES Of the 22 audit findings sampled, the deficiencies were adequately described with one exception. Audit Finding 85-1-003 was not clearly stated. The scope of the audit per the Audit Plan was "Compliance to NQA-1, 1983, and addendum 1a and 1b." It appeared that specific sentences of NQA-1, Criteria 6, 7, and 17, were used to provide a checklist. Per Rockwell internal letter 12190-85-030, dated September 6, 1986, a copy of Audit Finding number one (#1) was enclosed. The audit file did not include an Audit Finding form, but did include pages 56, 93, 97, 98, 99 and 100 of the checklist. It is not clear which one or all of the deficient checklist items consituted Audit Finding #1. The audit finding form is now included with the package. Refer to Rockwell letter 12100-87-RTS-066 dated 3/16/87, R. T. Johnson to All Bwip QA Dept. Personnel.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Pitner Date: 3/25/87
Rev. No. 3

Kenneth [illegible] 3/25/87
Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	b) Are the requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) YES In general the requirements were clearly identified. In three instances, 8602-1, 2, and 3, the requirements consisted of a reference to NQA-1, Criteria 15, 17, and 8, respectively. The nature of the deficiency can, however, be discerned from the description.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) YES The responses were generally appropriate for the specific deficiency noted. Exceptions were BWIP 85-I-003, E8602-1, E8302.

validate procedure and evaluate

The response for E8602-1 addressed preparing a procedure for the handling, storage and accountability of pitting samples. The larger problem of identification, control and segregation of nonconforming items was not specifically addressed.

See if the re-evaluation by RATO has been done by ATO if so go evaluate

BWIP 85-I-003 file did not show a response, although Appendix C of Volume 2 of the Restart Report shows corrective action for this audit to have been committed and waiting verificaiton. Audit E-8302 was not available in the file at the time of evaluation. It has since been located, but has not been evaluated.

While the action relative to a specific deficiency was appropriate, except as noted above, in eleven (11) of twenty-one (21) cases the underlying cause was either failure to follow procedures or inadequate procedures, and these causes were not addressed in the reponse. In nine (9) additional cases, procedural inadequacy was

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar A. Pitre Date: 3/25/87 3/25/87
Rev. No. 3
Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		addressed, and in one (1) case procedural discipline was addressed.
1.10		Audits and responses covered a number of different organizations and persons, and thereby, the adverse trend of poor procedural discipline and inadequate procedures might have escaped individual auditors; however, the overall trend should have been noted during the reassessment for restart and appropriate action indicated to resolve this problem.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Rockwell to furnish information.
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell to furnish information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Satisfactory Based on the dispositions reviewed, there should be no adverse affect on past documentation. Some of the dispositions required verification of calibration of instruments, which was accomplished (e.g., BWIP 84-02) or bringing files up to date (e.g., 85-002-3).
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) ~~Satisfactory~~ Audit Findings 8602-1 identified deficient items which had not been properly identified and segregated to preclude inadvertent usage. Action taken after the audit, specific to the deficient items, was adequate for their control. The cause of this deficiency was stated to be the failure of the user to read the report

Walt to check probably K. Hoyt report

Walt needs to sight the applicable procedure & reviewing thereto

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 3/25/87 [illegible] 3/25/87
Rev. No. 3
Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		identifying the test samples as not passing the helium leak test. This misses the more evident cause which was the failure to identify nonconforming items by suitable tags on the item or their container and to segregate them to preclude inadvertent usage. Therefore, while the specific items may be controlled, the potential exists for a recurrence of this kind of deficiency.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) yes SATISFACTORY Closure of the audit findings by Quality Assurance is evidence of their acceptance of the person making the description, or corrective action, the disposition and its implementation. The Audit Response Form identifies the person responsible for corrective action, and states the corrective action commitment. This form also is signed by the auditor and the closeout authority, usually the auditor or his supervisor.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes. SATISFACTORY
1.10	j) From the selected sample of audit ~~[illegible]~~ findings ~~and NSRs~~, make the following evaluations:	j) SATISFACTORY Every third audit in the Rockwell closed audit file was sampled, and each deficiency in such audits was evaluated for a total of twenty-two (22) deficiencies with procedure in effect at that time.
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. Yes, closures are all still valid.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Cortez Date: 3/25/87
Rev. No. 3

Walter A. Holzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	k) Are there any open audit ~~or surveillance~~ findings ~~or NCRs~~?	k) The following audits did not show evidence of closure: BWIP 85-1-003 BWIP 85-1-001 BWIP 8805-1, 2, 3 and 4 BWIP 8602-1, 2, and 3 BWIP 8607-1 [note: Items above are shown as open in the Restart Report.] BWIP 8607, Item 1 is shown open in Appendix C, but was not a part of the audits sampled. Rockwell is tracking all open deficiencies by computer. The computer run shows this to be the only open audit findings.
1.10	l) If there are any open deficiency documents, should they be closed before restart?	l) Rockwell will provide information.
1.10,2	SURVEILLANCE FINDINGS a) Are deficiencies adequately described?	a) All of closed 1983 surveillance reports were reviewed, and one (1) out of three (3) were reviewed of subsequent years was filed. Deficiencies were adequately identified in all but three (3) of 78 surveillance reports evaluated. The three (3) considered inadequate are:

EWP 3/25/87

K. Hy's Report

EWP 3/25/87

Walt need the objective evidence to support closure

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peterson Date: 3/25/87 Leander H. Ell 3/25/87
Rev. No. 3
Walter A. Hedgith 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file
1.10	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) Satisfactory The requirements were adequately identified in all cases. However, they were not clearly stated in 34 of the 78 surveillances reviewed. The problem is that in most of these cases only a reference to a standard or procedure paragraph was given, and not a succinct restatement of the requirement itself. The required reference to the NQA-1 or procedure document was sufficient to lead one to the requirement. The requirement should be well enough stated to make reference to other documents unnecessary.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Dispositions and corrective action were adequate to correct the specific item only on 45 of the 78 surveillances evaluated. The principal causes of deficiency were failure to follow procedure and inadequate procedures. Of the remaining 33, there were 14 cases of inadequate procedures, 10 cases of lack of procedural knowledge, and four (4) cases of lack of procedural discipline identified by the corrective action taken. The action taken was specific to the identified problems and not the generic problems of procedural adequacy and procedural discipline.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before	d) Rockwell to provide information.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Elyan Pitre Date: 3/25/87 Walter A. Holzik 3/25/87
Rev. No. 3

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	restart?	
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell to provide information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) The revised procedures should not affect past dispositions.
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Yes. In the sample reviewed, there was no evidence of lack of control after a problem was identified.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes. The Surveillance Report Form identifies the appropriate action party. Closing out the surveillance report by Quality Assurance indicates satisfaction with the dispositioner, the disposition and its implementation. The surveillance report and any follow-up verification is normally by the originator of the report.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes.
1.10	j) From the selected sample of ~~audits or~~ surveillance findings ~~and NCRs~~, make the following evaluations:	j) Yes. From the sample of 78 surveillances reviewed, closure appeared to be appropriate in all but three instances. These are: Reference item "a".
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. While the file evaluated did not include all closeout data, Rockwell has subsequently demonstrated

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar McCutcheon Date: 3/25/87
Rev. No. 3

J. Cannell 5/25/87
Walter A. Hedzel 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		that these were properly closed. Files should be updated to show the closeout data.
1.10		SURVEILLANCE REPORT BWIP 84-008
		Follow-up evaluation was shown to be inadequate on 7/1/85. Closure was shown on 7/1/85. BNCR 85-013 was referenced as a follow-on document, but was not included in the file.
1.10	k) Are there any open ~~audit~~ surveillance findings ~~or NCRs~~?	k) The following Surveillance Reports are shown as open in Appendix C to the Restart Report, Volume 2:

EJH 3/25/87

walt check files

Kitty's Report

BSRP 85-172	BSRP 86-316
BSRP 85-262	BSRP 86-321
BSRP 86-025	BSRP 86-324
BSRP 86-026	BSRP 86-325
BSRP 86-027	BSRP 86-357
BSRP 86-054	BSRP 86-364
BSRP 86-153	BSRP 86-374
BSRP 86-176	BSRP 86-387
BSRP 86-261	BSRP 86-388
BSRP 86-262	* BSRP 86-393
BSRP 86-265	
BSRP 86-278	

All are shown pending verification of corrective action.

EJH 3/25/87

* Dispositioned. ~~CA~~ CORRECTIVE ACTION has not been done.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar [illegible] Date: 3/27/87
Rev. No. 3

[illegible] 3/31/87
Walter A. Hedzik 3/31/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	1) If there are any open deficiency documents, should they be closed before restart?	1) Rockwell to provide information.

K. Hy's Report

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 3/25/87
Rev. No. 3

Walter A. Hedges 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	CARs, AUDIT AND SURVEILLANCE FINDINGS, ETC., MUST BE CLOSED AND DOCUMENTED. SPECIAL CASES MUST BE IDENTIFIED ALONG WITH THE IMPACT ON PREVIOUSLY COMPLETED WORK. Questions CARs	A substantial number of open deficiencies for which Rockwell will provide information will be evaluated as part of Revision 1. In several instances, incomplete information was provided to the reviewer. Root causes were not identified nor was trending performed.
1.10	a) Will the closure of the CAR provide non-recurrence of the condition?	a) No. Preventive corrective action for recurrence was not clearly identified. Closure of CARs was directed at the specific problem identified. Justification for closure was given and proper signatures for review were obtained. CARs which were reviewed by Rockwell Assessment Team did not exhibit evidence of their review, this was highlighted to them in an interview meeting at the Rockwell Hill Street Offices on Friday, January 23, 1987. The team members concurred.
1.10	b) Has the root cause been determined?	b) No, there was no objective evidence identified to determine the problem root cause. Observations made during this Readiness Review, indicated that of the ten CARs selected, they exhibited conditions of poor understanding of procedural requirements and weak communications. Examples are CAR BCAR-84-003, and CAR 84-024, both CAR documents are closed.
1.10	c) Will there be an impact on old or new work?	c) Of the CARs reviewed there appeared to be no significant impact on old work. The potential impact

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		of new work has yet to be determined as all applicable QAAPs (i.e., root cause and trend analysis) have not been reviewed and approved.
1.10	d) Are there any special cases on the open findings?	d) One CAR, BCAR 86-002, dealing with Peer Review, was closed based on DOE Audit Report #8604. The unsatisfactory conditions identified in the CAR were not corrected before closure. Similar conditions identified in DOE Audit Report #8604 have not been resolved. Rockwell closed the CAR based on the unsatisfactory conditions being tracked using the DOE document. The problem of Peer Review was identified as early as 1983. Surveillance Report 83-596 dated 9/30/83 (Closed - referred to as CAR 84-033) Surveillance Report 83-689 dated 11/10/83 (Closed) CAR 84-033 dated 9/25/84 (Closed - based on BCAR-86-022 being issued) CAR BCAR 86-002 dated 3/27/86 (Closed - based on DOE Audit Report 8604 being issued) DOE Audit Report 8604

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Signature: Edgar W. Pitts Date: 3/25/87
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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		~~(Open).~~ CTH 3/25/87 ~~CAR BCAR 86-002~~
1.10	e) How are these open items to be handled?	e) Refer to item (d) above. CAR BCAR 86-002 improperly closed. Rockwell to provide response on how it should be handled.
1.10	f) Why could these open cases not be closed?	f) CAR, BCAR 86-002 should have remained open until Rockwell satisfactorily resolved the unsatisfactory conditions. It should not have been closed based on a document issued by another organization unless the condition had been satisfactorily resolved.
1.10	AUDIT FINDINGS CTH 3/25/87 a) Are deficiencies adequately described?	a) YES, Of the 22 audit findings sampled, the deficiencies were adequately described with one exception. Audit Finding 85-1-003 was not clearly stated. The scope of the audit per the Audit Plan was "Compliance to NQA-1, 1983, and addendum 1a and 1b." It appeared that specific sentences of NQA-1, Criteria 6, 7, and 17, were used to provide a checklist. Per Rockwell internal letter 12190-85-030, dated September 6, 1986, a copy of Audit Finding number one (#1) was enclosed. The audit file did not include an Audit Finding form, but did include pages 56, 93, 97, 98, 99 and 100 of the checklist. It is not clear which one or all of the deficient checklist items consituted Audit Finding #1. The audit finding form is now included with the package. Refer to Rockwell letter 12100-87-RTS-066 dated 3/16/87, R. T. Johnson to All Bwip QA Dept. Personnel.

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Signature: Edgar A. Pitre Date: 3/25/87
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Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	b) Are the requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) In general the requirements were clearly identified. In three instances, B602-1, 2, and 3, the requirements consisted of a reference to NQA-1, Criteria 15, 17, and 8, respectively. The nature of the deficiency can, however, be discerned from the description.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) The responses were generally appropriate for the specific deficiency noted. Exceptions were BWIP 85-I-003, E8602-1, E8302. The response for E8602-1 addressed preparing a procedure for the handling, storage and accountability of pitting samples. The larger problem of identification, control and segregation of nonconforming items was not specifically addressed. BWIP 85-I-003 file did not show a response, although Appendix C of Volume 2 of the Restart Report shows corrective action for this audit to have been committed and waiting verificaiton. Audit E-8302 was not available in the file at the time of evaluation. It has since been located, but has not been evaluated. While the action relative to a specific deficiency was appropriate, except as noted above, in eleven (11) of twenty-one (21) cases the underlying cause was either failure to follow procedures or inadequate procedures, and these causes were not addressed in the reponse. In nine (9) additional cases, procedural inadequacy was

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Signature: Edgar A. Pitman Date: 3/25/87 3/25/87
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Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		addressed, and in one (1) case procedural discipline was addressed.
1.10		Audits and responses covered a number of different organizations and persons, and thereby, the adverse trend of poor procedural discipline and inadequate procedures might have escaped individual auditors; however, the overall trend should have been noted during the reassessment for restart and appropriate action indicated to resolve this problem.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before restart?	d) Rockwell to furnish information.
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell to furnish information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) Based on the dispositions reviewed, there should be no adverse affect on past documentation. Some of the dispositions required verification of calibration of instruments, which was accomplished (e.g., BWIP 84-02) or bringing files up to date (e.g., 85-002-3).
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Audit Findings 8602-1 identified deficient items which had not been properly identified and segregated to preclude inadvertent usage. Action taken after the audit, specific to the deficient items, was adequate for their control. The cause of this deficiency was stated to be the failure of the user to read the report

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar T. Oates Date: 3/25/87 Leonard B. Wolf 3/25/87
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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		identifying the test samples as not passing the helium leak test. This misses the more evident cause which was the failure to identify nonconforming items by suitable tags on the item or their container and to segregate them to preclude inadvertent usage. Therefore, while the specific items may be controlled, the potential exists for a recurrence of this kind of deficiency.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Closure of the audit findings by Quality Assurance is evidence of their acceptance of the person making the description, or corrective action, the disposition and its implementation. The Audit Response Form identifies the person responsible for corrective action, and states the corrective action commitment. This form also is signed by the auditor and the closeout authority, usually the auditor or his supervisor.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes.
1.10	j) From the selected sample of audit [redacted] findings [redacted], make the following evaluations:	j) Every third audit in the Rockwell closed audit file was sampled, and each deficiency in such audits was evaluated for a total of twenty-two (22) deficiencies with procedure in effect at that time.
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. Yes, closures are all still valid.

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Signature: Edgar H. Cristman Date: 3/25/87 Leonard J. Fox 3/25/87
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Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10 EHP 3/25/87	k) Are there any open audit ~~or surveillance~~ findings ~~or NCRs~~?	k) The following audits did not show evidence of closure: BWIP 85-1-003 BWIP 85-1-001 BWIP 8805-1, 2, 3 and 4 BWIP 8602-1, 2, and 3 BWIP 8607-1 [note: Items above are shown as open in the Restart Report.] BWIP 8607, Item 1 is shown open in Appendix C, but was not a part of the audits sampled. Rockwell is tracking all open deficiencies by computer. The computer run shows this to be the only open audit findings.
1.10	l) If there are any open deficiency documents, should they be closed before restart?	l) Rockwell will provide information.
1.10	SURVEILLANCE FINDINGS a) Are deficiencies adequately described? EHP 3/25/87	a) All of closed 1983 surveillance reports were reviewed, and one (1) out of three (3) were reviewed of subsequent years was filed. Deficiencies were adequately identified in all but three (3) of 78 surveillance reports evaluated. The three (3) considered inadequate are:

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Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		86-316 Checklist not attached in file 86-321 Checklist not attached in file 86-324 Checklist not attached in file
1.10	b) Are requirements clearly identified and related to a programmatic document (e.g., NQA-1, BWIP Quality Assurance Plan, etc.)?	b) The requirements were adequately identified in all cases. However, they were not clearly stated in 34 of the 78 surveillances reviewed. The problem is that in most of these cases only a reference to a standard or procedure paragraph was given, and not a succinct restatement of the requirement itself. The required reference to the NQA-1 or procedure document was sufficient to lead one to the requirement. The requirement should be well enough stated to make reference to other documents unnecessary.
1.10	c) Are the dispositions and/or corrective actions reasonable and appropriate for the item?	c) Dispositions and corrective action were adequate to correct the specific item only on 45 of the 78 surveillances evaluated. The principal causes of deficiency were failure to follow procedure and inadequate procedures. Of the remaining 33, there were 14 cases of inadequate procedures, 10 cases of lack of procedural knowledge, and four (4) cases of lack of procedural discipline identified by the corrective action taken. The action taken was specific to the identified problems and not the generic problems of procedural adequacy and procedural discipline.
1.10	d) If the resolutions or dispositions require repair, rework, procedural development or revision, or training will such actions have been completed before	d) Rockwell to provide information.

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Walter A. Holzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	restart?	
1.10	e) If not completed before restart, will such actions adversely impact restart?	e) Rockwell to provide information, refer to d).
1.10	f) Will the resolutions or dispositions affect past documentation of completed work?	f) The revised procedures should not affect past dispositions.
1.10	g) Were the deficient items adequately identified and controlled until a proper disposition was made?	g) Yes. In the sample reviewed, there was no evidence of lack of control after a problem was identified.
1.10	h) Were the dispositions, resolutions or corrective action commitments made by a person authorized in accordance with procedures?	h) Yes. The Surveillance Report Form identifies the appropriate action party. Closing out the surveillance report by Quality Assurance indicates satisfaction with the dispositioner, the disposition and its implementation. The surveillance report and any follow-up verification is normally by the originator of the report.
1.10	i) Were the qualifications of workers and clearing persons in accordance with procedural requirements?	i) Yes.
1.10	j) From the selected sample of ~~audits or~~ surveillance findings ~~and NCRs~~, make the following evaluations:	j) Yes. From the sample of 78 surveillances reviewed, closure appeared to be appropriate in all but three instances. These are:
1.10	1. Were they closed in accordance with appropriate procedures?	1. Yes.
1.10	2. Is the closure still valid?	2. While the file evaluated did not include all closeout data, Rockwell has subsequently demonstrated

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		that these were properly closed. Files should be updated to show the closeout data.
1.10		SURVEILLANCE REPORT BWIP 84-008 Follow-up evaluation was shown to be inadequate on 7/1/85. Closure was shown on 7/1/85. BNCR 85-013 was referenced as a follow-on document, but was not included in the file.
1.10 EHP 3/25/87	k) Are there any open ~~audit~~ surveillance findings ~~or NCRs~~?	k) The following Surveillance Reports are shown as open in Appendix C to the Restart Report, Volume 2: BSRP 85-172 BSRP 85-262 BSRP 86-025 BSRP 86-026 BSRP 86-027 BSRP 86-054 BSRP 86-153 BSRP 86-176 BSRP 86-261 BSRP 86-262 BSRP 86-265 BSRP 86-278 BSRP 86-316 BSRP 86-321 BSRP 86-324 BSRP 86-325 BSRP 86-357 BSRP 86-364 BSRP 86-374 BSRP 86-387 BSRP 86-388 * BSRP 86-393 All are shown pending verification of corrective action. EHP 3/25/87 * Dispositioned. ~~CA~~ CORRECTIVE ACTION has not been done.

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar [illegible] Date: 3/27/87
Rev. No. 3

Kenneth [illegible] 3/31/87
Walter A. Hedzie 3/31/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.10	1) If there are any open deficiency documents, should they be closed before restart?	1) Rockwell to provide information.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C J Dietz Date: 5/8/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2 Rodney D Jones 5-8, 87
1.11	ROCKWELL MUST HAVE PERFORMED AN APPRAISAL OF THE OTHER MPPS (PNL, WHC, KE/PB, M-K, BCSR).	Rockwell has satisfactorily performed appraisal with respect to the QA aspects and the business aspects in accordance with in place participant systems. Appraisal with respect to BWIP documents (SEMP, PMP, etc.) will be performed when the documents are imposed on the participants.
1.11	a) Were the responses and closure of the Discrepancy Reports adequate?	a) Yes, all Discrepancy Reports generated by RHO during their appraisal of the other MPPs (PNL, WHC, M-K, KE/PB, and BCSR) that were closed at the time of the review were reviewed by the Review Team for acceptable/adequate responses to the identified discrepancy and for acceptable/adequate verification of closure of the Discrepancy Report. The Review Team found all responses and verification and close out to be adequate and acceptable. During the review process, the Review Team questioned why the resolutions to the DRs did not address pask work (backfit). Per discussion with RHO's Joe Rivera, it is RHO's position that the appraisals were to determine if adequate management systems are in place. It was not intended to review and correct any past work that does not meet the requirements of the new management systems (procedures). Past work will be evaluated in accordance with procedures to be established to meet project requirements as defined in the SEMP.
1.11	b) Was the appraisal process primarily programmatic or was implementation appraisal also performed?	b) Based on the Review Team's review of Rockwell's Summary Appraisal Report, Interim Appraisal Reports and

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2 Rodney D Jones 5.8.87
		associated Discrepancy Reports on the other MPPs, the Team drew the conclusion that the Rockwell appraisals were more programmatic/systems-in-place oriented that implementation oriented. This conclusion was supported by discussions with Rockwell's Joe Rivera on 2/4/87. Rockwell assumed zero (0) implementation of the programs/systems by the MPPs. This was assumed because the programs were new, adequate time had not passed for implementation, the MPP's work activities are minimal at this time, and Rockwell's main concern was to verify that adequate management systems are in place to support the Project. Rockwell did clarify that some implementation was verified in the areas of training, document control and records. Rockwell's position is that implementation and past work will be evaluated during the audit/surveillance process. Rockwell's approach is considered acceptable.
1.11	c) How does Rockwell plan to closely monitor WHC Design Control and Records Management Systems as stated in the appraisal summary (over and above normal audit/surveillance?)	c) RHO Rich Meznarich has agreed to change "plan to closely monitor" in the next revision to the Restart Readiness Report.
1.11	d) What action has Rockwell taken/planned regarding the lack of sufficient detail in WHC Administrative Procedures as identified in the summary report?	d) Per discussions with Rockwell's Joe Rivera on 2/4/87, no additional action has been taken or is planned. It is Rockwell's position that resolution of the Discrepancy Reports will resolve the concern. The Review Team discussed this position with Rockwell's J. A. Ulseth, the Appraisal Team Leader, who made the statement, and he agreed that resolution of the

RESPONSE: 1.11 C)
PER DISCUSSION WITH RHO's J. RIVERA AND R. VIENS, RHO HAS NOT SCHEDULED ADDITIONAL AUDITS/SURVEILLANCES FOR WHC, RHO'S POSITION IS THAT WHEN THE NORMALLY SCHEDULED AUDITS/SURVEILLANCES ARE PERFORMED, RHO WILL CONCENTRATE THEIR EFFORTS IN THE AREAS OF THE APPRAISAL DISCREPANCIES. THE REVIEW TEAM ACCEPTS THIS METHOD BY RHO. HOWEVER

RAJ 5.8.87
5/8/87

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Peters Date: 5/8/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2 Rodney D Jones 5.8.87
		discrepancies would resolve his concern.
1.11	e) What action has Rockwell taken/planned to assure KE/PB can effectively provide A/E services to the Project? Section IX of the KE/PB Interim Report identifies this as a concern.	e) The RHO Senior Management Appraisal Review Team (SMART) re-evaluated KE/PB Administrative systems and concluded KE/PB can effectively provide A/E services to the Project.
1.11	f) What is Rockwell's position regarding constraints to Restart with the MPPs? (i.e., do all Discrepancy Reports have to be closed?)	f) Per discussions with RHO's Joe Rivera, Dicrepancy Reports issued to the other MPPs have no impact on the restart of Rockwell. The Review Team concurs with this position.
1.11	g) Review Rockwell's Appraisal Checklist vs. BWI Readiness Review Team Checklist and determine if all areas were evaluated.	g) Not all items of the BWI Readiness Review Team Checklist were evaluated when compared to the Rockwell Appraisal Checklist. Although the Rockwell Appraisal Checklist did not evaluate all the items on the BWI Checklist, other functions within Rockwell covered some of the BWI items (i.e., review of MPPs programs and procedures for compliance to the BQARD). Due to the fact that some of the upper-tier documents (QAP, PP, PMP, IRMP, SEMP, etc.) have not been imposed on the MPPs to date, Rockwell did not evaluate their program against these documents. The Review Team has concluded that the Rockwell Appraisal Checklist and other functions of the Rockwell organization have adequately addressed the primary items of the BWI Checklist.
1.11	h) Does the Audit Plan provide for a systematic evaluation of all aspects of user QA and business performance?	h) RHO's Audit/Surveillance Plan adequately addresses the QA aspects of the MPPs, however, the business performance is not addressed. Per discussions with RHO's J. Rivera on 2/17/87, RHO has no current plans to

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Signature: E H Peterson Date: 5/8/87

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
		overview the business side (i.e., plan and scheduling, etc.) of the other MPPs. Once the upper-tier documents (e.g., PMP, SEMP, IRM, etc.) are issued and imposed on the MPPs, RHO will do overviews in accordance with the requirements of the upper-tier documents. Per discussions with Bob Viens (Manager QA Audits) on 2/13/87, RHO has reviewed management administrative documents in previous audits. The areas covered were non-quality contract commitments.

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Petrie Date: 5/1/87

~~Clean up. So we don't need a Rev. 2~~ jeph 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1 Rodney D Jones 5.5.87
1.11	ROCKWELL MUST HAVE PERFORMED AN APPRAISAL OF THE OTHER MPPs (PNL, WHC, KE/PB, M-K, BCSR). Questions:	Rockwell has performed appraisal with respect to the QA aspects and the business aspects in accordance with in place participant systems. Appraisal with respect to BWIP documents (SEMP, PMP, etc.) will be performed when the documents are imposed on the participants. ~~Note that the unsubstantiated appraisal finding in item 1.11 a) must be resolved, and the Readiness Report~~ EHP 5/1/87 Revision of Item c evaluated.
1.11	a) Were the responses and closure of the Discrepancy Reports adequate?	a) Yes, all Discrepancy Reports generated by RHO during their appraisal of the other MPPs (PNL, WHC, M-K, KE/PB and BCSR) that were closed at the time of the review were reviewed by the Review Team for acceptable/adequate responses to the identified discrepancy and for acceptable/adequate verification and closure of the Discrepancy Report. The Review Team found all responses and verification and close out to be adequate and acceptable. During the review process, the Review Team questioned why the resolutions to the DRs did not address past work (backfit). Per discussion with RHO's Joe Rivera, it is RHO's position that the appraisals were to determine if adequate management systems are in place. It was not intended to review and correct any past work that does not meet the requirements of the new management systems (procedures). Past work will be evaluated in accordance with procedures to be established to meet project requirements as defined in the SEMP.
1.11	b) Was the appraisal process primarily programmatic	b) Based on the Review Team's review of Rockwell's

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Signature: E M Peter Date: 5/1/87

Rodney D Jones 5.5.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	or was implementation appraisal also performed?	Summary Appraisal Report, Interim Appraisal Reports and associated Discrepancy Reports on the other MPPs, the Team drew the conclusion that the Rockwell appraisals were more programmatic/systems-in-place oriented than implementation oriented. This conclusion was supported by discussions with Rockwell's Joe Rivera on 2/4/87. Rockwell assumed zero (0) implementation of the programs/systems by the MPPs. This was assumed because the programs were new, adequate time had not passed for implementation, the MPPs work activities are minimal at this time, and Rockwell's main concern was to verify that adequate management systems are in place to support the Project. Rockwell did clarify that some implemenation was verified in the areas of training, document control and records. Rockwell's position is that implemenation and past work will be evaluated during the audit/surveillance process. Rockwell's approach is considered acceptable.
1.11	c) How does Rockwell plan to closely monitor WHC Design Control and Records Management Systems as stated in the appraisal summary (over and above normal audit/surveillance)?	c) Per discussion with RHO's J. Rivera and R. Viens, RHO has not scheduled additional audits/surveillances for WHC, RHO's position is that when the normally scheduled audits/surveillances are performed, RHO will concentrate their efforts in the areas of the appraisal discrepancies. The Review Team accepts this method by RHO. However, RHO should revise the Readiness Report to clearly define their intentions. RHO J. Rivera has ~~agreed to~~ clarified the statement in the ~~Readiness Report revision~~ letter. EMP 5/1/87
1.11	d) What action has Rockwell taken/planned regarding	d) Per discussions with Rockwell's Joe Rivera on

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Signature: E W Pitts Date: 5/1/87

Rodney D Jones 5.5.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	the lack of sufficient detail in WHC Administrative Procedures as identified in the summary report?	2/4/87, no additional action has been taken or is planned. It is Rockwell's position that resolution of the Discrepancy Reports will resolve the concern. The Review Team discussed this position with Rockwell's J. A. Ulseth, the appraisal Team Leader, who made the statement, and he agreed that resolution of the discrepancies would resolve his concern.
1.11	e) What action has Rockwell taken/planned to assure KE/PB can effectively provide A/E services to the Project? Seciton IX of the KE/PB Interim Report identifies this as a concern.	e) No evidence was provided by the assessor to support the statement made in the Interim Report. Rockwell must provide supporting evidence or ~~revise~~ supplement the report accordingly.
1.11	f) What is Rockwell's position regarding contraints to Restart with the MPPs? (i.e., Do all Discrepancy Reports have to be closed?)	EWP 5/1/87 f) Per discussions with RHO's Joe Rivera, Discrepancy Reports issued to the other MPPs have no impact on the restart of Rockwell. The review team concurs with this position.
1.11	g) Review Rockwell's Appraisal Checklist vs. BWI Readiness Review TEam Checklist and determine if all areas were evaluated.	g) Not all items of the BWI Readiness Review Team Checklist were evaluated when compared to the Rockwell Appraisal Checklist. Although the Rockwell Appraisal Checklist did not evaluate all the items on the BWI Checklist other functions within Rockwell covered some of the BWI items (i.e., review of MPPs' programs and procedures for compliance to the BQARD). Due to the fact that some of the upper-tier documents (QAP, PP, PMP, IRMP, SEMP, etc.) have not been imposed on the MPPs, to date, Rockwell did not evaluate their program against these documents. The Review Team has concluded that the Rockwell Appraisal Checklist and other functions of the Rockwell organization have adequately addressed the primary items of the BWI Checklist.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Petrie Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1 Rodney D Jones 5.5.87
1.11	h) Does the Audit Plan provide for a systematic evaluation fo all aspects of user QA and business performance?	h) RHO's Audit/Surveillance Plan adequately addresses the QA aspects of the MPPs, however the business performance is not addressed. Per discussions with RHO's J. Rivera on 2-17-87, RHO has no current plans to overview the business side (i.e., plan and scheduling, etc.) of the other MPPs. Once the upper tier documents (i.e., PMP, SEMP, IRM, etc.) are issued and imposed on the MPPs, RHO will do overviews in accordance with the requirements of the upper tier documents. Per discussions with Bob Viens (Manager QA Audits) on 2-13-87, RHO has reviewed management administrative documents in previous audits. The areas covered were non-quality contract commitments.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 3/31/87
Rev. No. 3

Susan R. Mounson 3-31-87
Rodney D. Jones 3·31·87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.11	ROCKWELL MUST HAVE PERFORMED AN APPRAISAL OF THE OTHER MPPs (PNL, WHC, KE/PB, M-K, BCSR). Questions:	Rockwell has performed appraisal with respect to the QA aspects and the business aspects in accordance with in place participant systems. Appraisal with respect to BWIP documents (SEMP, PMP, etc.) will be performed when the documents are imposed on the participants. Note that the unsubstantiated appraisal finding in item 1.11 e) must be resolved.
1.11	a) Were the responses and closure of the Discrepancy Reports adequate?	a) Yes, all Discrepancy Reports generated by RHO during their appraisal of the other MPPs (PNL, WHC, M-K, KE/PB and BCSR) that were closed at the time of the review were reviewed by the Review Team for acceptable/adequate responses to the identified discrepancy and for acceptable/adequate verification and closure of the Discrepancy Report. The Review Team found all responses and verification and close out to be adequate and acceptable. During the review process, the Review Team questioned why the resolutions to the DRs did not address past work (backfit). Per discussion with RHO's Joe Rivera, it is RHO's position that the appraisals were to determine if adequate management systems are in place. It was not intended to review and correct any past work that does not meet the requirements of the new management systems (procedures). Past work will be evaluated in accordance with procedures to be established to meet project requirements as defined in the SEMP.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E.H. Peterson Date: 3/31/87
Rev. No. 3

Blair R. Morrison 3-31-87
Rodney D. Jones 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.11	b) Was the appraisal process primarily programmatic or was implementation appraisal also performed?	b) Based on the Review Team's review of Rockwell's Summary Appraisal Report, Interim Appraisal Reports and associated Discrepancy Reports on the other MPPs, the Team drew the conclusion that the Rockwell appraisals were more programmatic/systems-in-place oriented than implementation oriented. This conclusion was supported by discussions with Rockwell's Joe Rivera on 2/4/87. Rockwell assumed zero (0) implementation of the programs/systems by the MPPs. This was assumed because the programs were new, adequate time had not passed for implementation, the MPPs work activities are minimal at this time, and Rockwell's main concern was to verify that adequate management systems are in place to support the Project. Rockwell did clarify that some implemenation was verified in the areas of training, document control and records. Rockwell's position is that implemenation and past work will be evaluated during the audit/surveillance process. Rockwell's approach is considered acceptable.
1.11	c) How does Rockwell plan to closely monitor WHC Design Control and Records Management Systems as stated in the appraisal summary (over and above normal audit/surveillance)?	c) Per discussion with RHO's J. Rivera and R. Viens, RHO has not scheduled additional audits/surveillances for WHC, RHO's position is that when the normally scheduled audits/surveillances are performed, RHO will concentrate their efforts in the areas of the appraisal discrepancies. The Review Team accepts this method by RHO. However, RHO should revise the Summary Report to clearly define their intentions.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E.T. Petrie Date: 3/31/87
Rev. No. 3

Duane R. Monson 3-31-87
Rodney D. Jones 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
1.11	d) What action has Rockwell taken/planned regarding the lack of sufficient detail in WHC Administrative Procedures as identified in the summary report?	d) Per discussions with Rockwell's Joe Rivera on 2/4/87, no additional action has been taken or is planned. It is Rockwell's position that resolution of the Discrepancy Reports will resolve the concern. The Review Team discussed this position with Rockwell's J. A. Ulseth, the appraisal Team Leader, who made the statement, and he agreed that resolution of the discrepancies would resolve his concern.
1.11	e) What action has Rockwell taken/planned to assure KE/PB can effectively provide A/E services to the Project? Section IX of the KE/PB Interim Report identifies this as a concern.	e) No evidence was provided by the assessor to support the statement made in the Interim Report. Rockwell must provide supporting evidence or revise the report accordingly. Re-evaluation of this item will be provided in Rev. 1.
1.11	f) What is Rockwell's position regarding contraints to Restart with the MPPs? (i.e., Do all Discrepancy Reports have to be closed?)	f) Per discussions with RHO's Joe Rivera, Discrepancy Reports issued to the other MPPs have no impact on the restart of Rockwell. The review team concurs with this position.
1.11	g) Review Rockwell's Appraisal Checklist vs. BWI Readiness Review TEam Checklist and determine if all areas were evaluated.	g) Not all items of the BWI Readiness Review Team Checklist were evaluated when compared to the Rockwell Appraisal Checklist. Although the Rockwell Appraisal Checklist did not evaluate all the items on the BWI Checklist other functions within Rockwell covered some of the BWI items (i.e., review of MPPs' programs and procedures for compliance to the BQARD). Due to the fact that some of the upper-tier documents (QAP, PP, PMP, IRMP, SEMP, etc.) have not been imposed on the MPPs, to date, Rockwell did not evaluate their program

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 1
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E W Peters Date: 3/31/87
Rev. No. 3

Susan K. Monsain 3-31-87
Rodney D. Jones 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		against these documents. The Review Team has concluded that the Rockwell Appraisal Checklist and other functions of the Rockwell organization have adequately addressed the primary items of the BWI Checklist.
1.11	h) Does the Audit Plan provide for a systematic evaluation fo all aspects of user QA and business performance?	h) RHO's Audit/Surveillance Plan adequately addresses the QA aspects of the MPPs, however the business performance is not addressed. Per discussions with RHO's J. Rivera on 2-17-87, RHO has no current plans to overview the business side (i.e., plan and scheduling, etc.) of the other MPPs. Once the upper tier documents (i.e., PMP, SEMP, IRM, etc.) are issued and imposed on the MPPs, RHO will do overviews in accordance with the requirements of the upper tier documents. Per discussions with Bob Viens (Manager QA Audits) on 2-13-87, RHO has reviewed management administrative documents in previous audits. The areas covered were non-quality contract commitments.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Peterson Date: 5/7/87

5/7/87
5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
2.1	THOSE PROJECT MANAGEMENT DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	The status of these documents could not be determined from the information furnished with the Restart Readiness Report or other lists submitted by Rockwell. Subsequently, a Master Document List (MDL) was provided. This was compared with the list of documents required for restart (Appendix F of the Restart Report) and it was determined that 12 of 89 documents have not been released.
2.1	a) Is a Master List of documents provided?	a) Yes. A list of all Rockwell documents was provided. In addition, DOE-RL documents are also listed.
2.1	b) Does the list include the project management documents which are identified as "required for restart"?	b) Yes. However, in order to ensure document approval is required prior to restart, Letter 87-QSB-09 is used.
2.1	c) Are the project management documents required for restart identified as being "released for project use?"	c) Yes. The MDL identifies when a document has been released by a date entry in the "issue" column.
2.1	d) Are the participant level documents, other than Rockwell documents, identified as "required for restart"?	d) Yes.
2.1	e) Have documents been released through Document Control?	e) Yes. The CDL dated 3/20/87 indicates that 77 of 89 project level documents have been released by Rockwell ~~DCC.~~ BDC Verification of the CDL information for 9 of 88 documents was performed and found to be satisfactory.
2.1	f) What is the basis for the designation of the	f) Appendix "F" of the Restart Report is a list of

EWP 5/7/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C M Petrie Date: 5/7/87

5/7/87
N J Mandeller 5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
	documents as being required for restart?	those documents selected by Rockwell as required for a full or partial restart.
2.1	g) Is there a list of documents which has been approved by an appropriate Rockwell authority?	g) Yes. Appendix "F" of Restart Report.
2.1	h) Is there a documented approval of the list?	h) No. Appendix "F" was not approved by DOE. Approval of this planning list by DOE-RL was not required. The final determination of complete coverage of requirements is made in Checklists 2.3 and 2.4.

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 4/6/87

Bill Mun 4/6/87
T J Marcella 4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.1	THOSE PROJECT MANAGEMENT DOCUMENTS REQUIRED FOR RESTART. AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	The status of these documents could not be determined from the information furnished with the Restart Readiness Report or other lists submitted by Rockwell. Subsequently, a "Controlled Document List" (CDL) was provided. This was compared with the list of documents required for restart (Appendix F of the Restart Report) and it was determined that 4 of 92 documents have not been released.
2.1	a) Is a Master List of documents provided?	a) Yes. A list of all Rockwell documents was provided. In addition, DOE-RL documents are also listed.
2.1	b) Does the list include the project management documents which are identified as "required for restart"?	b) Yes. However, in order to ensure document approval is required prior to restart, Letter 87-QSB-09 is used.
2.1	c) Are the project management documents required for restart identified as being "released for project use"?	c) Yes. The CDL identifies when a document has been "issued"; to determine if document release is required prior to restart, reference to Letter 87-QSB-09 is necessary.
2.1	d) Are the participant level documents, other than Rockwell documents, identified as "required for restart"?	d) Yes. However (only DOE-RL) referral to Letter 87-QSB-09 is required to determine if document is required to be released prior to restart.
2.1	e) Have documents been released through Document Control?	e) Yes. The CDL indicates that 88 of 92 project level documents have been released by RHO DCC. Verification of CDL information for 9 of 88 documents was performed and found to be satisfactory.

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Petersen Date: 4/6/87

BJ Bam 4/6/87
T.J. Marcella 4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.1	f) What is the basis for the designation of the documents as being required for restart?	f) Appendix "F" of the Restart Report is a list of those documents selected by RHO as required for a full or partial restart.
2.1	g) Is there a list of documents which has been approved by an appropriate Rockwell authority?	g) Yes. Appendix "F" of Restart Report.
2.1	h) Is there a documented approval of the list?	h) No. Appendix "F" was not approved by DOE. Approval of this planning list by DOE/RL was not required. The final determination of complete coverage of requirements is partial for in items 2.3 and 2.4. EHP 4/6/87

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar A Peterson Date: 3/20/87
Rev. No. _____

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0 J J Manella 3-20-87
2.1	THOSE PROJECT MANAGEMENT DOCUMENTS REQUIRED FOR RESTART. AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST BE RELEASED FOR PROJECT USE. Questions:	The status of these documents could not be determined from the information supplied with the Restart Readiness Report or other reports available from Rockwell. Subsequently, a "Controlled Document List" was provided and was also found inadequate as a Master List. The Control Document List is discussed in Rev. 1 response to this checklist.
2.1	a) Is a Master List of documents provided?	a) No. Only a status list of documents required for restart was provided in Appendix F of the Restart Readiness Report. The list is not acceptable as it is not a controlled list.
2.1	b) Does the list include the project management documents which are identified as "required for restart"?	b) Master List was not provided. Review Team utilized Appendix F as the list of documents required for restart.
2.1	c) Are the project management documents required for restart identified as being "released for project use"?	c) Partially. Numerous documents are not released for project use. Appendix F and MA-17 indicate those documents which have been released.
2.1	d) Are the participant level documents, other than Rockwell documents, identified as "required for restart"?	d) Yes. Participant documents are included as necessary (i.e., DOE only). Of the 7 documents required, none have been approved and issued.
2.1	e) Have documents been released through Document Control?	e) Numerous documents are not released, however, approved documents are released by Rockwell Document Control.
2.1	f) What is the basis for the designation of the	f) All plans and procedures were categorized relative

'BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: CMO Peterson Date: 3/24/87
Rev. No. _____

Bri Bohm 3/24/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0 T. Moncella 3/24/87
	documents as being required for restart?	to their initial application: (1) required for lift of Stop Work Order, (2) required for transition work, (3) required for initiation of new work, or (4) required for ongoing activities commencing in fiscal year 1988 or later or required for administrative activities not related to categories 1, 2, and 3. Appendix F of the Restart Report is a list of those documents chosen by RHO ~~(concurred by DOE)~~ as required for a full or partial lifting of the Stop Work Order.
2.1	g) Is there a list of documents which has been approved by an appropriate Rockwell authority?	g) Yes. Appendix F.
2.1	h) Is there a documented approval of the list?	h) No. List was not approved by DOE-RL. DOE-RL has not identified procedures/documents required for restart other than those identified in Letter 87-QSB-09.

CMP 3/24/87 Bri Bohm

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/7/87

[illegible] 5/7/87
[illegible] 5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
2.2	THOSE PROJECT MANAGEMENT DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST HAVE BEEN APPROVED BY DOE-RL BWIP WHERE APPROVAL IS REQUIRED. Questions:	The documents required for restart which require DOE approval are identified in Letter 87-QSB-09. The Master Document List (MDL),dated 5/1/87, was compared with the list of documents required for restart (Appendix F of the Restart Report) and it was determined that 12 of 24 documents have not been approved (reference Item f and g). DOE-RL has not provided Rockwell with a signature authority list. DOE-RL approval is documented by transmittal letter for each document and signed by a branch chief.
2.2	a) Does the master list indicate which project management documents require DOE-RL BWI approval prior to restart?	a) Satisfactory. The MDL presented by Rockwell indicates which documents require DOE-RL approval. Documents requiring approval are also listed in letter 87-QSB-09.
2.2	b) Has evidence of DOE approval of these documents been included? Referenced?	b) Yes. Upon approval of documents, "issue dates" are identified.
2.2	c) Has the list of documents requiring DOE approval been approved? How is approval of the list indicated?	c) Yes. DOE-RL Letter 87-QSB-09 dated 1/14/87 identifies documents requiring DOE-RL approval prior to restart. (Reference Item d)
2.2	d) Is DOE approval of participant documents, other than Rockwell's, indicated?	d) Yes. The MDL has a column which identifies if DOE-RL approval is required. (Reference Item c)
2.2	e) Does Rockwell have the documented basis for the approval authority?	e) Yes. Approval authority is documented in DOE-RL Letter 87-QSB-09.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C J R Peterson Date: 5/7/87

5/7/87
5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
2.2	f) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE?	f) For documents approved by DOE, Rockwell maintains the DOE transmittal letter in the document history file. Not all documents requiring approval have been approved.
2.2	g) Has the DOE approval been provided by a documented DOE approval authority?	g) No. DOE-RL has not provided Rockwell with a signature authority list. DOE-RL approval is documented by transmittal letter for each document and signed by a branch chief.

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Patton Date: 4/6/87

4/6/87
4-6-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.2	THOSE PROJECT MANAGEMENT DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST HAVE BEEN APPROVED BY DOE-RL BWIP WHERE APPROVAL IS REQUIRED. Questions:	The documents required for restart which require DOE approval are identified in Letter 87-QSB-09. The Control Document List (CDL) was compared with the list of documents required for restart (Appendix F of the Restart Report) and it was determined that 14 of 19 documents have not been ~~released.~~ approved. (REF ITEM F and G) EHP 4/6/87
2.2	a) Does the master list indicate which project management documents require DOE-RL BWI approval prior to restart?	SATISFACTORY EHP 4/6/87 a) The CDL presented by RHO as a "Master List" does not directly indicate which documents require DOE-RL approval. Documents requiring approval are listed in letter 87-QSB-09.
2.2	b) Has evidence of DOE approval of these documents been included? Referenced?	b) Yes. Upon approval of documents, "issue dates" are identified. To determine if approval of a document is required for restart, referral to letter 87-QSB-09 is necessary.
2.2	c) Has the list of documents requiring DOE approval been approved? How is approval of the list indicated?	c) Yes. DOE-RL Letter 87-QSB-09 dated 1/14/87 identifies documents requiring DOE-RL approval prior to restart. (REF. ITEM d) EHP 4/6/87
2.2	d) Is DOE approval of participant documents, other than Rockwell's, indicated?	d) Yes. The CDL has a column which identifies if DOE-RL approval is required. However, the list does not identify those documents requiring DOE approval for restart. (REF. ITEM e) EHP 4/6/87
2.2	e) Does Rockwell have the documented basis for the approval authority?	e) Yes. Approval authority is documented in DOE-RL Letter 87-QSB-09.
2.2	f) Does Rockwell have documented evidence that each	f) For documents approved by DOE, RHO maintains the

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peters Date: 4/6/87

Bill Bhm 4/6/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1 T J Mancella 4-6-87
	of the documents requiring DOE approval has been approved by DOE?	DOE transmittal letter in the document history file. Not all documents requiring approval have been approved.
2.2	g) Has the DOE approval been provided by a documented DOE approval authority?	g) No. DOE-RL has not provided RHO with a signature authority list. DOE-RL approval is documented by transmittal letter for each document and signed by a branch chief.

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar Bolton Date: 3/19/87
Rev. No. _____

Dri Bohn 3/19/87
J. Francella 3/19/87

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0
2.2	THOSE PROJECT MANAGEMENT DOCUMENTS REQUIRED FOR RESTART AS IDENTIFIED IN THE MASTER LIST OF BASALT PROJECT LEVEL AND PARTICIPANT LEVEL DOCUMENTS MUST HAVE BEEN APPROVED BY DOE-RL BWIP WHERE APPROVAL IS REQUIRED.	The documents required for restart which require DOE approval are identified in Letter 87-QSB-09. For documents which have been approved, RHO maintains the DOE transmittal letter in the document history files. 21 of 43 non-QA documents require DOE approval. As of 1/5/87 (date of report issuance), none had been approved.
	Questions:	
2.2	a) Does the master list indicate which project management documents require DOE-RL BWI approval prior to restart?	a) The Status List (Appendix F) presented by RHO as the "Master List" does not directly indicate which documents require DOE-RL approval. Documents requiring this approval are listed in Letter 87-QSB-09.
2.2	b) Has evidence of DOE approval of these documents been included? Referenced?	b) Yes. The Status List has a column which records document submittal/approval dates from DOE.
2.2	c) Has the list of documents requiring DOE approval been approved? How is approval of the list indicated?	c) Yes. DOE-RL letter 87-QSB-09 dated 1/14/87 identifies documents requiring DOE-RL approval prior to restart.
2.2	d) Is DOE approval of participant documents, other than Rockwell's, indicated?	d) Yes, the Status List has a column which records document submittal/approval dates from DOE. EJHP 3/19/87
2.2	e) Does Rockwell have the documented basis for the approval authority?	e) Yes. The Letter 87-QSB-09 documents DOE as the approval authority.
2.2	f) Does Rockwell have documented evidence that each of the documents requiring DOE approval has been approved by DOE?	f) For documents approved by DOE, RHO maintains the DOE transmittal letter in the document history file.

'BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar W. Cotson Date: 3/19/87
Rev. No. _____

3/19/87
3/19/87

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0
2.2	g) Has the DOE approval been provided by a documented DOE approval authority?	g) No. DOE-RL has not provided RHO with a signature authority list. DOE approval is documented by transmittal letter signed by a branch chief.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Petrus Date: 5/7/87

5/7/87
5/7/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.3	THE DOCUMENTS IDENTIFIED IN ITEM 2.1, I.E., CHARTERS, PLANS, MANUALS AND PROCEDURES MUST INCORPORATE THE APPLICABLE REQUIREMENTS OF PP, PMP, SEMP AND OTHER APPLICABLE UPPER LEVEL REQUIREMENTS DOCUMENTS. Questions:	Their evaluation indicated that of the 250 elements checked out, all but 4 were included in procedures. This item is considered satisfactory for partial restart. Rockwell provided evidence in the Restart Report Appendix G, that the requirements of the PMP and SEMP were included in subtier documents. Also included was the correlation between DOE Order 4700 and the PMP and SEMP. EMP 5/7/87 Rockwell is continuing their work to include the determination that all applicable requirements of upper level documents are included in working level documents, i.e., charters, plans, manuals, and procedures. This effort is scheduled to be completed before lifting of the SWO (reference Checklist 2.4) Based upon the Review Team's evaluation of the work that has been performed by Rockwell, it is considered a low probability that any significant requirement will be excluded from working level documents.
2.3	a) Is evidence provided by Rockwell to ensure that applicable requirements of project upper level documents are included in charters, plans, manuals and procedures?	a) Rockwell has provided a matrix of the major requirements of the DOE Order 4700 to the PMP and the SEMP, and a matrix of the major requiremetns in the PMP and SEMP to the implementing procedures. The matrices are included in Appendix G of the Restart Report. In addition, Rockwell performed an appraisal of the overall management system adequacy by analyzing a 25 percent sample of requirements in the PMP and SEMP to the implementing procedures. The appraisal

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Petrie Date: 5/7/87

5/7/87
5-7-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
		documentation is included in Appendix 1 of the Restart Report. Note: Appendix G outlines the purpose, approach and results for the reviews conducted. It is stated therein that the PP was not reviewed against Order 4700, some requirements are to be included in PMP annexes which are still preliminary drafts, and other requirements will be addressed later as they were not critical to the restart of work.
2.3	b) What is the form of this evidence? Checklists? Surveillances? Assessments? Other evidence?	b) The evidence provided consists of the matrix for the Order 4700 to PMP and SEMP reviews. The document, entitled "DOE Order 4700-PMP-SEMP-BQARD Correlation,"lists the requirement and the corresponding document and paragraph for implementation. For the management appraisal, the Restart Report includes an extensive summary of the appraisal and the resulting discrepancies. According to Rockwell personnel, checklists were utilized for the appraisal but they were not included in the report. The review checklist consisted of approximately 200 items of which 19 resulted in discrepancies in the following categories: 4 - Requirement not adequately reflected in procedure 4 - Requirement in procedure but not yet released 11 - Requirement to be included in procedure to be developed 19 - Total

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Pitrie Date: 3/24/87
Rev. No. _____

3/24/87
3/24/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.3	THE DOCUMENTS IDENTIFIED IN ITEM 2.1, I.E., CHARTERS, PLANS, MANUALS AND PROCEDURES MUST INCORPORATE THE APPLICABLE REQUIREMENTS OF PP, PMP, SEMP AND OTHER APPLICABLE UPPER LEVEL REQUIREMENTS DOCUMENTS. Questions:	The evaluation indicated that of the 250 elements checked all but four (4) were included in procedures. This is considered adequate for partial restart depending on the specific work which is included in the partial restart. (This work is not as yet identified). When Rockwell identifies the work covered by partial restart, this will be re-evaluated.
2.3	a) Is evidence provided by Rockwell to ensure that applicable requirements of project upper level documents are included in charters, plans, manuals and procedures?	a) Rockwell has provided a matrix of the major requirements in the DOE Order 4700 to the PMP and the SEMP, and a matrix of the major requirements in the PMP and SEMP to the implementing procedures. The matrices are included in Appendix G of the Restart Report. In addition, RHO performed an appraisal of the overall management system adequacy by analyzing a 25% sample of requirements in the PMP and SEMP to the implementing procedures. The appraisal documentation is included in Appendix I of the Restart Report. Note: Appendix G outlines the purpose, approach and results for the reviews conducted. It is stated therein that the PP was not reviewed against Order 4700, some requirements are to be included in PMP annexes which are still preliminary drafts, and other requirements will be addressed later as they were not critical to the restart of work.
2.3	b) What is the form of this evidence? Checklists? Surveillances? Assessments? Other evidence?	b) The evidence provided consists of the matrix for the Order 4700 to PMP and SEMP reviews. The document, entitled "DOE Order 4700-PMP-SEMP-BOARD Correlation,"

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Colton Date: 3/24/87
Rev. No. _____

3/24/87
T.J. Mancella 3/24/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		lists the requirement and the corresponding document and paragraph for implementation. For the management appraisal, the Restart Report includes an extensive summary of the appraisal and the resulting discrepancies. According to RHO personnel, checklists were utilized for the appraisal but they were not included in the report. The review checklist consisted of approximately 200 items of which 19 resulted in descrepancies in the following categories: 4 - Requirement not adequately reflected in procedure 4 - Requirement in procedure but not yet released 11 - Requirement to be included in procedure to be developed 19 - Total
2.3	c) Does the evidence provide sufficient support to the position that the requirements are included in project documents?	c) Yes. However, this determination is based on the completed matrices, reviews and the appraisal given in the Restart Report. A redetermination must be made at a later date when all project management requirements have been incorporated into the procedures. Approximately fifty (50) elements included in the matrix for the SEMP were evaluated to determine if the requirements were included in the procedures indicated. All requirements were located, however, four (4) of the procedures listed did not contain the indicated requirement.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E 20 Stein Date: 5/7/87

5/7/87
T J Marcella 5-7-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.4	A REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX TO BE PROVIDED BY ROCKWELL, WHICH IDENTIFIES SOURCE, REQUIREMENTS, AND IMPLEMENTING PROCEDURES MUST BE AVAILABLE FOR USE.	A Requirements and Implementing Procedures Index for project management documents has not been provided as the index is presently being prepared by Rockwell. Scheduled submittal date is September 1987. Based upon the evaluation of Checklist 2.3, it is considered that work can be allowed to proceed. The Index will be evaluated when it is available. It should be noted that a procedure to cover the development and maintenance of the Index is required.
2.4	a) Has a Requirements and Implementing Procedures Index been provided?	a) No. Rockwell to provide by September 1987.
2.4	b) Does the Index identify Source, Requirements and Implementing Procedures?	b) Not applicable since index has not been provided.
2.4	c) Has the Index been released through Document Control?	c) Not applicable.
2.4	d) Has Rockwell determined that the requirements are adequately reflected in the procedures?	d) This activity is in process.
2.4	e) Is the determination adequately documented and in accordance with Rockwell procedure?	e) Procedure not available.
2.4	f) Select a random sample (number TBD) of the requirements, and make a determination as to whether or not the referenced procedure adequately reflects the	f) Not applicable. Verification of requirements in procedures for the purposes of determining Rockwell readiness for a partial restart is documented in

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Petrus Date: 5/7/87

5/7/87
T. J. Maneda 5-7-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	requirement.	Checklist 2.3.

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar Wheeler Date: 5/20/87
Rev. No. _____

NO.	CHECKLIST/QUESTIONS REV 3	RESPONSE/REFERENCE REV 0 T J Morrella 3-20-87
2.4	A REQUIREMENTS AND IMPLEMENTING PROCEDURES INDEX TO BE PROVIDED BY ROCKWELL, WHICH IDENTIFIES SOURCE, REQUIREMENTS, AND IMPLEMENTING PROCEDURES MUST BE AVAILABLE FOR USE.	A Requirements and Implementing Procedures Index for project management documents has not been provided as the index is presently being prepared by Rockwell. Scheduled submittal date is September 1987.
	Questions:	
2.4	a) Has a Requirements and Implementing Procedures Index been provided?	a) No. RHO to provide by September 1987.
2.4	b) Does the Index identify Source, Requirements and Implementing procedures?	b) Not applicable since index has not been provided.
2.4	c) Has the Index been released through Document Control?	c) Not applicable.
2.4	d) Has Rockwell determined that the requirements are adequately reflected in the procedures?	d) This activity is in process.
2.4	e) Is the determination adequately documented and in accordance with Rockwell procedure?	e) Not applicable.
2.4	f) Select a random sample (number TBD) of the requirements, and make a determination as to whether or not the referenced procedure adequately reflects the requirement.	f) Not applicable. Verification of requirements in procedures for the purposes of determining RHO readiness for a partial restart is documented in Checklist 2.3.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E M Pitts Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 2
2.5	THE PROJECT ORGANIZATION MUST BE DEFINED THAT WILL IMPLEMENT THE PROJECT REQUIREMENTS. A PLAN TO FILL ANY VACANT KEY POSITIONS MUST BE DEVELOPED. Questions: THE EXTERNAL INTERFACES BETWEEN ORGANIZATIONS MUST BE CLEARLY DEFINED. THIS IS CONSIDERED TO BE THE ONLY OPEN ITEM IN THIS AREA. EMP 5/13/87	A project organization is defined which could implement the project requirements. Implementation will determine the effectiveness of this organization. All major management positions have been filled except Chief Scientist. Contract Services will provide services in this area until this position is filled. ~~The Management and Integration Plan must be released prior to restart. Evaluation of this document will be included in Revision 1 of these responses.~~
2.5	a) Did Rockwell determine that the QA organization has direct access to responsible management, at a level where appropriate action can be affected?	a) Yes, satisfactory. See Figure 2-7 of Restart Report; QA reports to Rockwell Director of Safety and QA independent of BWIP project Director.
2.5	b) Did Rockwell determine that the QA organization reports to a management level such that required authority and organzational freedom are provided?	b) Yes, satisfactory, by organzation chart, Figure 2-7 of Restart Report, QA is independent of Project Director. Director of QA and Safety is at same level as Project Director. ORG 1.1
2.5	c) Did Rockwell determine that the QA organization has sufficient independence from cost and schedule concerns?	c) Yes, satisfactory. Reporting line is independent of cost and schedule. However, cost and schedule are defined in the QA Plan with respect to Quality Levels. Cost and schedule consideration only upgrade the quality levels and thus will not have a negative affect on quality levels.
2.5	1. Quality is achieved and maintained by those responsible for performing the work.	1. Yes, per ORG 1.1 Rev. 1 para. 4.1.5. Responsibilities for functional organizations within BWIP state that they are responsible for implementing and complying with BQARD and for establishing standards

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J H Retzo Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 2
		of work and for assuring completed work meets standards. Statements are adequate but could be more clear.
2.5	e) Did Rockwell determine that the external interfaces between organizations are clearly documented? EJH 5/13/87	e) ~~No.~~ OPEN PMPM 6-101 covers interface control. Procedure does not include specifics for Westinghouse and PNL. ORG 1.1 is very general in this regard. ORG 1.1 states that department missions are established by the *BWIP Management and Integration Plan. We were informed that this document is not yet released. * BWIP Management and Integration Plan not issued.
2.5	f) Did Rockwell determine that the QA organization has sufficient authority, access to work areas, and organizational freedom to: o Identify quality problems o Initiate, recommend, or provide soulutions to quality problems through designated channels o Verify implementation as solutions EJH 5/13/87 o Assure that activities associated with nonconformances, deficiencies or unsatisfactory conditions are controlled until proper disposition has occurred and that responsibility for control is designated in writing.	f) Yes. Per ORG 1.1, Rev. 1, Org chart attachment #1 and QA Department Charter Attachment #3, last paragraph, the Rockwell Quality Assurance organization has sufficient authority, access to work areas, and organizaitonal freedom to identify quality problems, recommend or provide solutions, verify implementation and assure that nonconforming conditions are controlled. This is accomplished primarily through surveillance and audits. ALL DESCRIBED IN CRITERION I of MA-3 ¶ 3.15 & 3.16 AND THROUGH SELECTED QAAP'S COVERING NCR PROCESSING IN MA-17, PMPM 4-105 AND OTHER SPECIFIC PROCEDURES GOVERNING AUDITS, SURVEILLANCES, STOP WORK, etc.
2.5	g) Did Rockwell determine that responsibility for	g) Satisfactory. Responsibility for delegated work is

5/13/87

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E T Preston Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 2
	delegated work is retained by the responsible organization. MA-3, CRITERION I, PP 3.6 & 3.11 (AND MA-17, PMPM 4-105 REV. 2 AND 1.121 REV. 0. ETP 5/13/87	~~expected~~ to be covered in ~~"The BWIP Management and Integration Plan" which has not been evaluated, #SD-BWI-PMD-006, Section 3.1,~~ and accomplished through ~~statements of work, letters of instruction and procurement documents. The procedure for preparing statements of work and letters of instruction has been released, 4-105 Rev. 2. The procedure for a Graded Quality Assurance Program has been issued, 1-121 Rev. 0.~~
2.5	h) Did Rockwell determine that the responsibilities and authorities of each organization involved in the execution of activities is clearly established and documented? IN ADDITION, MA-3 PP 3.7 AS well as selected PMPM procedures IN MA-17 define specific authorities AND RESPONSIBILITIES. ETP 5/13/87	h) Yes, ORG 1.1 Rev. 1 identifies responsibilities and authorities. The Rockwell BWIP charters and responsibilities are generally described in ORG 1.1. ~~The responsibilities and charters of the principal project participants are to be defined in the BWIP management and Integration Plan which is not yet released.~~ The charters and responsibilities of the various Quality Assurance Groups are defined by memo R. T. Johnson to distribution dated August 29, 1986, subject: Distribution of New Quality Assurance Group and Unit Charters. *The BWIP Management and Integration Plan should be issued before restart. * BWIP Management and Integration plan not issued.
2.5	i) Did Rockwell determine that the internal interfaces between organizational units are clearly documented?	i) Yes, ORG 1.1 Rev 1, para 4.1.4 defines the organizatioal interfaces.
2.5	j) If any of the above were excluded from the Rockwell self-evaluation, did Rockwell identify them?	j) There were no exclusions.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Beitin Date: 5/13/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 2
2.5	k) Are the exclusions appropriate?	k) Not applicable. See above.

5/1/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E.W. Peterson Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 1
2.5	THE PROJECT ORGANIZATION MUST BE DEFINED THAT WILL IMPLEMENT THE PROJECT REQUIREMENTS. A PLAN TO FILL ANY VACANT KEY POSITIONS MUST BE DEVELOPED. Questions:	A project organization is defined which could implement the project requirements. Implementation will determine the effectivess of this organization. All major management positions have been filled except Chief Scientist. Contract Services will provide services in this area until this position is filled. The Management and Integration Plan must be released prior to restart. ~~Evaluation of this document will be included in Revision 1 of these responses.~~ EWP 5/1/87
2.5	a) Did Rockwell determine that the QA organization has direct access to responsible management, at a level where appropriate action can be affected?	a) Yes, satisfactory. See Figure 2-7 of Restart Report; QA reports to Rockwell Director of Safety and QA independent of BWIP Project Director.
2.5	b) Did Rockwell determine that the QA organization reports to a management level such that required authority and organizational freedom are provided?	b) Yes, satisfactory, by organization chart, Figure 2-7 of Restart Report, QA is independent of Project Director. Director of QA and Safety is at same level as Project Director. ORG 1.1
2.5	c) Did Rockwell determine that the QA organization has sufficient independence from cost and schedule concerns?	c) Yes, satisfactory. Reporting line is independent of cost and schedule. However, cost and schedule are defined in the QA Plan with respect to Quality Levels. Cost and schedule consideration only upgrade the quality levels and thus will not have a negative affect on quality levels.
2.5	d) Did Rockwell determine that the organizational structure and the responsibility assignments are such that:	d) Not clearly stated in Chapter 3.0, Section 3.1 of the Restart Program.
2.5	1. Quality is achieved and maintained by those	1. Yes, per ORG 1.1 Rev. 1 para. 4.1.5.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C W Stine Date: 5/1/87

5/1/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 1
	responsible for performing the work.	~~Responsibilities for functional organizations within BWIP state that they are responsible for implementing and complying with RSAPS and for establishing standards of work and for assuring completed work meets standards. Statements are adquate but could be more clear.~~ EWB 5/1/87
2.5	2. Quality achievement is verified by persons or organizations not directly responsible for performing the work.	2. Yes, per ORG 1.1, Rev. 1, 4.1.5.
2.5	e) Did Rockwell determine that the external interfaces between organizations are clearly documented?	e) No. PMPM 6-101 covers interface control. Procedure does not include specifics for Westinghouse and PNL. ORG 1.1 is very general in this regard. ORG 1.1 states that department missions are established by the BWIP Management and Integration Plan. We were informed that this document is not yet released.
2.5	f) Did Rockwell determine that the QA organization has sufficient authority, access to work areas, and organizational freedom to: o Identify quality problems. o Initiate, recommend, or provide solutions to quality problesm through designated channels. o Verify implementation as solutions. o Assure that activities associated with nonconformances, deficiencies or unsatisfactory conditions are controlled until proper disposition has	CTB 5/1/87 f) OPEN. ~~Yes.~~ Per ORG 1.1, Rev. 1, ORG chart attachment #1 and QA Department Charter Attachment #3, last paragraph, the Rockwell Quality Assurance organization has sufficient authority, access to work areas, and organizational freedom to identify quality problems, recommend or provide solutions, verify implementation and assure that nonconforming conditions are controlled. This is accomplished primarily through surveillance and audits.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E9T8 Date: 5/1/87

5/1/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 1
	occurred and that responsibility for control is designated in writing.	
2.5	g) Did Rockwell determine that responsibility for delegated work is retained by the responsible organization?	EWP 5/1/87 OPEN g) ~~Satisfactory~~. Responsibility for delegated work is expected to be covered in "The BWIP Management and Integration Plan" which has not been evaluated, #SD-BWI-PMD-006, Section 3.1, and accomplished through statements of work, letters of instruction and procurement documents. The procedure for preparing statements of work and letters of instruction has been released, 4-105 Rev. 2. The procedure for a Graded Quality Assurance Program has been issued, 1-121 Rev. 0.
2.5	h) Did Rockwell determine that the responsibilities and authorities of each organization involved in the execution of activities is clearly established and documented.	EWP 5/1/87 OPEN h) ~~Yes~~ ORG 1.1 Rev. 1 identifies responsibilities and authorities. The Rockwell BWIP charters and responsibilities are generally described in ORG 1.1. The responsibilities and charters of the principal project participants are to be defined in the BWIP Management and Integration Plan which is not yet released. The charters and responsibilities of the various Quality Assurance Groups are defined by memo R. T. Johnson to distribution dated August 29, 1986, subject: Distribution of New Quality Assurance Group and Unit Charters. The BWIP Management and Integration Plan should be issued before restart.
2.5	i) Did Rockwell determine that the internal interfaces between organizational units are clearly documented.	i) Yes, ORG 1.1 Rev 1, para. 4.1.4 defines the organizational interfaces.
2.5	j) If any of the above were excluded from the	j) There were no exclusions.

5/1/87

SWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: [illegible] Date: 5/1/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 1
	Rockwell self-evaluation, did Rockwell identify them?	
2.5	k) Are the exclusions appropriate?	k) Not applicable. See above.

'BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Pitman Date: 3/25/87
Rev. No. _____

Walter A. Hedzel 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.5 EHP 3/25/87	THE PROJECT ORGANIZATION MUST BE DEFINED THAT WILL IMPLEMENT THE PROJECT REQUIREMENTS. A PLAN TO FILL ANY VACANT KEY POSITIONS MUST BE DEVELOPED. Questions:	A project organization is defined which could implement the project requirements. Implementation will determine the effectivess of this organization. All major management positions have been filled except Chief Scientist. Contract Services will provide services in this area until this position is filled. The Management and Integration Plan must be released prior to restart. Evaluation of this document will be included in Revision 1 of these responses.
2.5	a) Did Rockwell determine that the QA organization has direct access to responsible management, at a level where appropriate action can be affected?	a) Yes, see Figure 2-7 of Restart Report; QA reports to Rockwell Director of Safety and QA independent of BWIP Project Director.
2.5	b) Did Rockwell determine that the QA organization reports to a management level such that required authority and organizational freedom are provided?	b) Yes, by organization chart, Figure 2-7 of Restart Report, QA is independent of Project Director. Director of QA and Safety is at same level as Project Director. ORG 1.1
2.5	c) Did Rockwell determine that the QA organization has sufficient independence from cost and schedule concerns?	c) Yes. Reporting line is independent of cost and schedule. However, cost and schedule are defined in the QA Plan with respect to Quality Levels. This aspect should be deleted from the QA Manual and placed in the SEMP.
2.5	d) Did Rockwell determine that the organizational structure and the responsibility assignments are such that:	d) Not clearly stated in Section 3.1 of the Restart Program.
2.5	1. Quality is achieved and maintained by those	1. Responsibilities for functional organizations

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Peterson Date: 3/25/87
Rev. No. _____

Walter A. Hedzik 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	responsible for performing the work.	within BWIP state that they are responsible for implementing and complying with BQARD and for establishing standards of work and for assuring completed work meets standards. Statements are adquate but could be more clear. Examples: Readiness Restart Report, Section 3.0, page 3-0, item 3, states, ". . . and quality is clearly the responsibility of everyone." Section 3.1, page 3-1&2 discuss what activities have taken place, i.e., ". . . establish a complete document hierarchy . . . etc., train personnel . . . etc., establish and implement a program . . . etc., establish a quality program for basalt . . . etc., develop a quality assurance program that meets all U.S. NRC and DOE requirements . . . etc." There is no apparent clean statement of accepted responsibility by organization. Responsibility is an implied general responsibility.
2.5	2. Quality achievement is verified by persons or organizations not directly responsible for performing the work.	2. Not clearly stated in ORG 1.1, Rev. 0. Example: It's implied but not stated in exact words. Refer to ORG 1.1, Rev. 0, Sections 2.0 and 4.0.
2.5	e) Did Rockwell determine that the external interfaces between organizations are clearly documented?	e) No. PMPM 6-101 covers interface control. Procedure does not include specifics for Westinghouse and PNL. ORG 1.1 is very general in this regard. ORG 1.1 states that department missions are established by the BWIP Management and Integration Plan. We were

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QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Petrie Date: 3/25/87
Rev. No. _____

Walter G. Hedgh 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		informed that this document is not yet released.
2.5	f) Did Rockwell determine that the QA organization has sufficient authority, access to work areas, and organizational freedom to: o Identify quality problems. o Initiate, recommend, or provide solutions to quality problesm through designated channels. o Verify implementation as solutions. EHP 3/25/87 * o Assure that activities associated with nonconformances, deficiencies or unsatisfactory conditions are controlled until proper disposition has occurred and that responsibility for control is designated in writing.	EHP 3/25/87 f) Yes.* Per ORG 1.1, the Rockwell Quality Assurance organization has sufficient authority, access to work areas, and organizational freedom to identify quality problems, recommend or provide solutions, verify implementation and assure that nonconforming conditions are controlled. This is accomplished primarily through surveillance and audits. EHP 3/25/87 * Item 4 will be evaluated in Rev. 1.
2.5	g) Did Rockwell determine that responsibility for delegated work is retained by the responsible organization?	g) Responsibility for delegated work is expected to be covered in "The BWIP Management and Integration Plan" which has not been evaluated, #SD-BWI-PMD-006, Section 3.1, and accomplished through statements of work, letters of instruction and procurement documents. The procedure for preparing statements of work and letters of instruction has not been released. The procedure for a Graded Quality Assurance Program has not yet been issued. Issuance of both of these document should precede restart.
2.5	h) Did Rockwell determine that the responsibilities	h) The Rockwell BWIP charters and responsibilities are

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Signature: Edgar J. Pitman Date: 3/25/87 Kenneth 3/25/87
Rev. No. _____
Walter A. Holzer 3/25/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	and authorities of each organization involved in the execution of activities is clearly established and documented.	generally described in ORG 1.1. The responsibilities and charters of the principal project participants are to be defined in the BWIP Management and Integration Plan which is not yet released. The charters and responsibilities of the various Quality Assurance Groups are defined by memo R. T. Johnson to distribution dated August 29, 1986, subject: Distribution of New Quality Assurance Group and Unit Charters. The BWIP Management and Integration Plan should be issued before restart. The Quality Assurance Group and Unit Charters should be included in the Basalt Waste Isolation Project Quality Assurance Program Requirements Manual, MA-3.
2.5	i) Did Rockwell determine that the internal interfaces between organizational units are clearly documented.	i) ORG 1.1 defines the organizational interfaces in general terms, e.g., "Management and Integration Function Interfaces." "Dominant among relevant interfaces are the . . . interfaces among the . . . BWIP Director, the line organizations and their cost account managers, their direct funded contractor counterparts and DOE-RL." While adequate, these interfaces could be defined more specifically.
2.5	j) If any of the above were excluded from the Rockwell self-evaluation, did Rockwell identify them?	j) There were no exclusions.
2.5	k) Are the exclusions appropriate?	k) Not applicable. See above.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Bertram Date: 5/8/87

Rodney D Jones 5.8.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.6	PERSONNEL MUST BE QUALIFIED, AS APPROPRIATE, TO PERFORM SPECIFIC TECHNICAL TASKS.	Qualification for specific tasks is established in the Position Description/Job Task Analysis (JTA). The preparation of the JTAs are in process with a scheduled completion date of July 30, 1987. In the interim, Rockwell is utilizing General Job Position Descriptions as a method of establishing personnel qualification requirements for the support groups. Rockwell will submit individual work packages for DOE/RL approval. The work packages will contain personnel qualifications in accordance with the Job Position Descriptions. This alternative is considered to be acceptable for partial lifting of the Stop Work Order.
2.6	a) Has Rockwell identified the methodology for assuring that personnel are properly	a) See Response/Reference to Checklist/Question Item 1.5;

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Peters Date: 5/8/87

Rodney D Jones 5.8.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	qualified/certified to perform work/task?(i.e., do procedures or other documents identify minimum requirements for qualification/clarification?)	same responses are applicable to this item.
2.6	b) Do the Rockwell minimum qualification/certification requirements meet applicable requirements (e.g., BQARD, codes, standards)?	
2.6	c) Select a sample (number TBD) of Employee Qualification/Certification/Training files and make a determination as to whether:	
2.6	1. The employee meets the qualification requirements for his job position, based on Rockwell procedures/documents addressed in question a) and the records contained in the file.	
2.6	2. Where certification is required, has the employee been certified by the appropriate certifying authority as described in procedures?	
2.6	3. The records consistent with procedure/document requirements.	
2.6	d) Has Rockwell investigated (background check) the credentials of the employee to verify accuracy?	

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Signature: Edgar H Pitine Date: 3/25/87
Rev. No. _____

Joseph J. Kuzyar 3/27/87
Brian R. Mousson 3-25-87
Rodney O Jones 3.25.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.6	PERSONNEL MUST BE QUALITIFED, AS APPROPRIATE, TO PERFORM SPECIFIC TECHNICAL TASKS.	See Response/Reference to Checklist/Question Item 1.5; same responses are applicable to this item.
	Questions:	
2.6	a) Has Rockwell identified the methodology for assuring that personnel are properly qualified/certified to perform work/task. (i.e., Do procedures or other documents identify minimum requirements for qualification/clarification?)	
2.6	b) Do the Rockwell minimum qualification/certification requirements meet applicable requirements (i.e., BQARD, codes, standards).	
2.6	c) Select a sample (number TBD) of Employee Qualification/Certification/Training files and make a determination whether:	
	1. The employee meets the qualification requirements for his job position, based Rockwell procedures/documents addressed in question a and the records contained in the file.	
2.6	2. Where certification is required, has the employee been certified by the appropriate certifying authority as described in procedrues.	
2.6	3. The records are consistent with	

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Signature: Edgar H Petrie Date: 3/25/87
Rev. No. _____

Joseph J. Kruper 3/27/87
Duane R. Monnain 3-25-87
Rodney D Jones 3.25.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	procedure/document requirements.	
2.6	d) Has Rockwell investigated (background check) the credentials of the employee to verify accuracy?	

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
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Signature: E H Petrie Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.7	TRAINING MUST HAVE BEEN PERFORMED AND DOCUMENTED, IN ACCORDANCE WITH CURRENT REVISION OF THE APPLICABLE DOCUMENTS.	All general formal training (classroom) has been completed and documented in accordance with applicable documents. A sample of records of reading assignments, which are part of the employees training, were examined. Reading records of QA and project administration were examined by the team. Project administration reading records were found to be satisfactory. QA reading records need to be brought current. QA are currently updating their reading assignments and records and will notify the ~~Restart Team~~ DOE-RL when they are completed. Evidence of required training and completed training records must be indicated in each work package submitted for work initiation prior to lifting of the Stop Work Order. EHP 5/15/87
2.7	a) Are training records maintained? Who is responsible for maintaining the records?	a) See Response/Reference to Checklist Questions Item 1.6; same responses are applicable to this item.
2.7	b) Does Rockwell have a method to determine that employees have completed required training prior to assigning him to a task?	
2.7	c) Are tests given to employees to determine their level of understanding of the training?	
2.7	d) How is it determined what training an employee must receive?	
2.7	e) Are training sessions appraised? Select a sample of appraisals and determine the feedback given (i.e.,	

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pitts Date: 5/15/87

Rodney D. Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
	good, poor, too easy, difficult). Was any corrective action taken for sessions that had unsatisfactory appraisals?	
2.7	f) Are there provisions for make-up training sessions for those who did not attend or successfully complete the session?	
2.7	g) When applicable documents are revised, are there provisions for training in the revisions?	
2.7	h) Will training of new personnel to BWIP be conducted? Timeframe?	
2.7	i) Select a sample (number TBD) of employee training records and make a determination as to whether or not:	
2.7	1. Training has been accomplished of the latest revision of the appropriate document.	
2.7	2. Has the appropriate document been released for project use?	
2.7	3. Has the employee completed assigned required training? (As a minimum, has the General Employee Training, Management Systems Training Phase I and II, and the Required Reading as identified in Chapter 4.0 of the BWIP Restart Readiness Report been completed?	
2.7	4. Are the records in the file to document completion of the training?	

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E H Pastrie Date: 5/15/87

Rodney D Jones 5.15.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.7	j) Are there provisions for periodic refresher training?	

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Pitre Date: 3/25/87
Rev. No. _____

Joseph J. Kuspar 3/27/87
Susie K. Morrison 3-26-87
Rodney D Jones 3.25.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.7	TRAINING MUST HAVE BEEN PERFORMED AND DOCUMETNED, IN ACCORDANCE WITH CURRENT REVISION OF THE APPLICABLE DOCUMENTS.	See Response/Reference to Checklist/Questions Item 1.6; same responses are applicable to this item.
	Questions:	
2.7	a) Are training records maintinaed? Who is responsible for maintaining the records?	
2.7	b) Does Rockwell have a method to determine that employees have completed required training prior to assigning him to a task?	
2.7	c) Are tests given to employees to determine their level of understanding of the training?	
2.7	d) How is it determined what training an employee must receive?	
2.7	e) Are training sessions appraised? Select a sample of appraisals and determine the feedback given (i.e., good, poor, too easy, difficult). Was nay corrective action taken for sessions that had unsatisfacotry appraisals?	
2.7	f) Are there provisions for make-up training sessions for those who did not attend or successfully complete the session?	
2.7	g) When applicable documetns are revised. Are there	

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Cature Date: 3/25/87
Rev. No. _____

Joseph J. Krupar 3/27/87
Susie R. Monson 3-25-87
Rodney D Jones 3.25.87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	provisions for training in the revisions?	
2.7	h) Will training of new personnel to BWIP be conducted? Timeframe?	
2.7	i) Select a sample (number TBD) of employee training records and make a determination as to whether or not:	
	1. Training has been accoplished ot the latest revision of the appropriate document.	
2.7	2. Has the appropriate documetn been released for project use?	
2.7	3. Has the employee completed assigned required trainin. (As a min., has the General Employee Training, Management Systems Training Phase I & II, and the Required reading as identified in Chapter 4.0 of the BWIP Restart Readiness Reprot been completed)?	
2.7	4. Are the records in the file to documetn completion of the training?	
2.7	j) Are there provisions for periodic refresher training?	

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: E M Peters Date: 5/5/87

J. L. Madden 5-5-87

NO.	CHECKLIST/QUESTIONS REV. ~~3~~ 4 CTP 5/5/87	RESPONSE/REFERENCE REV. 1 CTP 5/5/87
2.8	PROJECT LOGICS AND SCHEDULES MUST HAVE BEEN DEVELOPED AND APPROVED BY CONTRACTOR PERSONNEL IN ACCORDANCE WITH THEIR PROCEDURES AND RELEASED FOR PROJECT USE.	PROJECT LOGICS & SCHEDULES, LEVELS 1 & 2, HAVE BEEN DEVELOPED, APPROVED AND RELEASED FOR PROJECT USE. THESE ARE ACCOMPLISHED IN ACCORDANCE WITH PLANNING PROCEDURES, STATUS INFORMATION HAS NOT BEEN ENTERED INTO THE SYSTEM. OPERATION OF THE SCHEDULING SYSTEM IS STILL TO BE EVALUATED (OPEN) e.g. MAINTENANCE OF STATUS.
2.8	a) Has a list of scheduling procedures for ~~each~~ CTP 5/5/87 the INTEGRATING contractor been submitted? Selected procedures will be reviewed for consistency and DOE Order 4700 (draft) and 2250.1B.	a) ~~A list of scheduling procedures for each Direct Funded Contractor was not submitted~~. The scheduling procedure for Rockwell is PMPM 09-101. ~~Since the DFCs are not on the Step Work Order, their internal procedures were not subject to review as part of the restart process~~. The Rockwell interface to the DFCs is, ~~however,~~ part of the required review. CTP 5/5/87 CTP 5/5/87
		FINDINGS:
		1. Approval authorities for the various schedule levels areinternally inconsistent. Paragraphs 4.4 and 4.5 do not match the approval levels shown in Figure 1, Schedule Hierarchy. Until the approval levels are made consistent, the evaluation of schedules for proper authority cannot be made.
		RE-EVALUATION TO BE MADE WHEN THE ROCKWELL BUSINESS MANAGEMENT PLAN (BWI-PDB-002) AND SCHEDULING PROCEDURE (PMPM 9-101) IS UPDATED TO REFLECT DOE COMMENTS. THIS ITEM ALSO REQURIES THE ISSUANCE OF THE PROJECT MANAGEMENT PLAN (PMP).
		References: PMPM 9-101, BWI-PDB-002
2.8	b) Has traceability of the procedural requirements to	b) ~~Procedure PMPM 9-101 contains references to~~ REFERENCE CHECKLIST ITEM 2.4 FOR TRACEABILITY REQUIREMENTS. CTP 5/5/87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: EJH Date: 5/5/87

J. J. Madden 5-5-87

NO.	CHECKLIST/QUESTIONS REV. ~~3~~ 4	RESPONSE/REFERENCE REV. 1
	the governing plans been shown?	~~CD BWI-PDB-002, BWIP Business Management System Plan (BBMP) is the requirements source document for scheduling. The procedure does not adequately implement the requirements.~~ EJH 5/5/87 ~~FINDINGS:~~ 1. Procedure Section 6.0 contains a cross-reference table to the BBMP. The BBMP paragraph references are not in same format as BBMP. 2. Procedure does not implement the BBMP schedule formats. Procedure primarily discusses milestones and their traceability. 3. Procedure Figure 4 Approval Levels is inconsistent with BBMP Figure 2-11 Approval Levels. 4. Guidance or criteria for the Controlled Distribution List is missing. See status comment on a) (above). References: PMPM 9-101, BWI-PDB-002 EJH 5/5/87
2.8	c) Is each procedure approved by the appropriate authority?	SATISFACTORY c) The procedure is approved by signature of the IC Project Director. According to PMPM 01-101 the approval is appropriate. ~~(the Procedure Review Sheet must be checked for sub level approvals)~~ EJH 5/5/87 References: PMPM 1-101, PMPM 9-101

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: E7P8 Date: 5/5/87 J. L. Madden 5-5-87

NO.	CHECKLIST/QUESTIONS REV. ~~3~~ 4 E7P8 5/5/87	RESPONSE/REFERENCE REV. 1
2.8	d) Have schedules been developed in accordance with procedure? (Requires submittal of schedules and spot check.)	OPEN E7P8 5/5/87 d) Requires procedure to be updated per checklist item 2.8a and re-evaluation.
2.8	e) Are baseline milestones shown in the schedules?	e) The Level 1 (Project Master Schedule) and the Level 2 (Project Integration Schedule) contain all Programmatic and Major milestones in accordance with the fiscal year 1987 Guidance Letter. Reference: RW-0067
2.8	f) Do schedules show status? E7P8 5/5/87 HOWEVER, STATUS IS NOT BEING ENTERED INTO THE PROJECT/2 SCHEDULING SYSTEM AS OF THE DATE OF THIS REPORT.	OPEN E7P8 5/5/87 f) The schedules reside on the Project/2 scheduling system and therefore can be statused and status presented in several ways. ~~The schedules must be updated to reflect current planning and then status must be established.~~
2.8	g) Is the underlying logic that supports the schedule shown in some manner?	SATISFACTORY E7P8 5/5/87 g) The level 1 and 2 schedules contain the underlying logic.
2.8	h) Are the Rockwell and Direct Funded Contractor Baseline Schedules approved by Rockwell and available?	SATISFACTORY E7P8 5/5/87 (AND CONSISTENT WITH Item e) h) Level 1 and 2 shedules prepared and approved by Rockwell are available. ~~These schedules must be updated to current status but are sufficient for control if updated in a timely manner.~~ E7P8 5/5/87
2.8	i) Is the method for integrating the schedules across organizational boundaries clear from the procedure and working?	OPEN E7P8 5/5/87 i) The method for integrating the schedules across organizational boundaries is not clear from the procedure. Para. 4.7.2 Management and Integration does not address schedule integration responsibility. Para. 6.2 Level 2 schedule, presumably where detail

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar Postma Date: 5/5/87

J.L. Madsen 5-5-87

NO.	CHECKLIST/QUESTIONS REV. ~~1~~ 4 EHP 5/5/87	RESPONSE/REFERENCE REV. 1
		integration of work would occur, does not discuss integration. In essence, the procedure calls only for lower level organization to submit milestone listings so the M&I Director can check consistency and compatibility with upper level milestones. This process is not adequate. Nowhere does the procedure require the Integrating Contractor to develop the overall detailed approach to the project, analyze the interfaces and integrating logic, or define the scheduling vehicle or mechanism for performing this process. See status comment in 2.8a (above). Reference: PMPM 09-101
2.8	j) Are the schedules resource loaded and levelled?	j) No. HOWEVER, SATISFACTORY FOR RESTART. REFERENCE CHECKLIST ITEM 1.7 EHP 5/5/87
2.8	k) Do the schedule(s) represent the complete scope of work and are they organized by WBS?	k) The schedules are organized by WBS level. Completeness relative to the scope of work is to be evaluated by the BWI Branch Chiefs.
2.8	l) Do the schedules meet CSCS requirements?	l) The Project Master Schedule and Project Integration Schedule adequately meets CSCS requirements.
2.8	m) Have logics been prepared in accordance with procedures? EHP 5/5/87	m) OPEN REQUIRES UPDATE OF PROCEDURE PER ITEM 2.8a (above).
2.8	n) Are the schedules structured in accordance with PMPM requirements?	n) The Project Master Schedule and Project Integration Schedule are structured in accordance with PMP requirements.

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: C 9t Ostrie Date: 3/31/87
Rev. No. _____

J L Madison 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.8	PROJECT LOGICS AND SCHEDULES MUST HAVE BEEN DEVELOPED AND APPROVED BY CONTRACTOR PERSONNEL IN ACCORDANCE WITH THEIR PROCEDURES AND RELEASED FOR PROJECT USE. Questions:	THE PROCEDURE HAS BEEN RELEASED FOR PROJECT USE BUT IS INADEQUATE. INCONSISTENCIES EXIST BETWEEN DOCUMENTS IN THE HIERARCHY. PROJECT LOGICS & SCHEDULES WHICH HAD BEEN DEVELOPED WERE INADEQUATE AND HAVE NOT BEEN APPROVED. CGO 3/31/87
2.8	a) Has a list of scheduling procedures for each contractor been submitted? Selected procedures will be reviewed for consistency and completeness with respect to DOE Order 4700 (Draft) and 2250.1B. The number to be determined during the review.	a) A list of scheduling procedures for each Direct Funded Contractor was not submitted. The scheduling procedure for Rockwell is PMPM 09-101. Since the DFCs are not on the Stop Work Order, their internal procedures were not subject to review as part of the restart process. The Rockwell interface to the DFCs is, however, part of the required review. FINDINGS: 1. Approval authorities for the various schedule levels are internally inconsistent. Paragraph 4.4 and 4.5 do not match the approval levels shown in Figure 1, Schedule Hierarchy. Until the approval levels are made consistent, the evaluation of schedules for proper authority cannot be made. Re-evaluation to be made when the RHO Business Management Management Plan (BWI-PDB-002) and Scheduling Procedure (PMPM 9-101) is updated to reflect DOE comments. This item also requires the issuance of the Project Management Plan (PMP).
2.8	b) Has the traceability of the procedural	b) Procedure PMPM 9-101 contains reference to

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E J Peterson Date: 3/31/87
Rev. No. _____

J. L. Madsen 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
	requirements to the governing plans been shown?	SD-BWI-PDB-002, BWIP Business Management Systems Plan (BBMP) as the requirements source document for scheduling. The procedure doe not adequately implement the requirements. FINDINGS: 1. Procedure Section 6.0 contains a cross-reference table to the BBMP. The BBMP paragraph references are not in the same format as BBMP. 2. Procedure does not implement the BBMP schedule formats. Procedure primarily discusses milestones and their traceability. 3. Procedure Figure 4 Approval Levels is inconsistent with BBMP Figure 2-11 Approval Levels. 4. Guidance or criteria for the Controlled Distribution List is missing. See status comment on a. (above)
2.8	c) Is each procedure approved by the appropriate authority?	c) The procedure is approved by signature of the IC Project Director. According to PMPM 01-101 the approval is appropriate. (The Procedure Review Sheet must be checked for sub-level approvals).
2.8	d) Have schedules been developed in accordance with procedure? (Requires submittal of schedules and spot check.)	d) Requires procedure to be updated per checklist item 2.8a and re-evaluation. EJP 3/31/87

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E.J. Petersen Date: 3/31/87
Rev. No. _____

J. L. Madson 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.8	e) Are baseline milestones shown in the schedules?	e) Several program milestones are missing from the schedules. End function schedules being developed for submittal to DOE. Upon Submittal this item will be evaluated.
2.8	f) Do schedules show status?	f) Not adequate. Summary Planning Schedule has status shown on the bar but the status is not accurate. Method of status determination and display will be re-evaluated when end function schedules are submitted.
2.8	g) Is the underlying logic that supports the schedule shown in some manner?	g) Underlying logic that supports the Summary Planning Schedule in Appendix L is not included. Traceability between the schedule and logic in Appendix L is not adequate. End function schedules should show major logic. This item will be re-evaluated when end function schedules are submitted. EJP 3/87
2.8	h) Are the Rockwell and Direct Funded Contractor Baseline Schedules approved by Rockwell and available?	h) No.
2.8	i) Is the method for integrating the schedules across organizatonal boundaries clear from the procedure and working?	i) The method for integrating the schedules across organizational boundaries is not clear from the procedure. Paragraph 4.7.2 Management and Integration does not address schedule integration responsibility. Paragraph 6.2 Level 2 schedule, presumably where detail integration of work would occur. does not discuss

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar G. Peters Date: 3/31/87
Rev. No. _____

J. L. Madsen 3-31-87

No.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
		integration. In essence, the procedure calls only for lower level organizations to submit milestones listings so the M&I Director can check consistency and compatibility with upper level milestones. This process is not adequate. Nowhere does the procedure require the Integrating Contractor to develop the overall detailed approach to the project, analyze the interfaces and integrating logic, or define the scheduling vehicle or mechanism for performing this process. See status comment in 2.8a (above).
2.8	j) Are the schedules resource loaded and leveled?	j) No.
2.8	k) Do the schedule(s) represent the complete scope of work and are they organized by WBS?	k) Pending end function schedule submittal for re-evaluation.
2.8	l) Do the schedules meet CSCS requirements?	l) Pending end function schedule submittal for re-evaluation.
2.8	m) Have logics been prepared in accordance with procedures?	m) Requires update of procedure per item 2.8a (above).
2.8	b) Are the schedule structured in accordance with PMP requirements?	n) Pending end function schedule submittal and issuance of PMP.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E. W. Peter Date: 5/19/87

J. L. Madsen 5-19-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 2
2.9	THE PROJECT LOGICS AND SCHEDULES OF ITEM 2.8 MUST HAVE BEEN APPROVED TO LEVEL 2 BY DOE-BWI.	Logics and schedules within Rockwell have been approved in accordance with planned procedures. DOE-RL approval will be accomplished by means of the PP, PMP and the M&IP
2.9	A) Is Rockwell's Baseline Schedule approved by DOE?	a) Open. The Project Master Schedule and Project Integration Schedule will be reviewed by the BWI Branch Chiefs. Acceptance will be by inclusion in the PMP and M&IP respectively.
2.9	b) Have the project logics been approved by DOE to levels 0, 1, and 2?	b) Open. Level 0 and 1 (Project Master Schedule) approval by DOE will be accomplished by incorporation into the pp and PMP. Level 2 will be approved with the M&IP. Reference: 87-AMC-11
2.9	c) Are all schedules and logics at the various levels approved by the proper authorities in accordance with approved procedures?	c) Satisfactory. Level 1 and 2 logics supporting the schedules have been prepared and approved by Rockwell. In addition, Level 4 logics have been prepared by Rockwell. The Level 1 and 2 logics have been checked for consistency between levels and are satisfactory.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: E H Petrie Date: 5/5/87

J. J. Madden 5-5-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.9	THE PROJECT LOGICS AND SCHEDULES OF ITEM 2.8 MUST HAVE BEEN APPROVED TO LEVEL 2 BY DOE-BWI.	LOGICS & SCHEDULES WITHIN ROCKWELL HAVE BEEN APPROVED IN ACCORDANCE WITH PLANNED PROCEDURES. DOE/RL APPROVAL WILL BE ACCOMPLISHED BY MEANS OF THE PMP & THE M&IP. EHP 5/5/87
2.9	A) Is Rockwell's Baseline Schedule approved by DOE? EHP 5/5/87	a) OPEN The Project Master Schedule and Project Integration Schedule will be reviewed by the BWI Branch Chiefs. Acceptance will be by inclusion in the PMP and M&IP respectively. EHP 5/5/87
2.9	b) Have the project logics been approved by DOE to levels 0, 1, and 2?	b) Level 0 and 1 (Project Master Schedule) has been approved. LEVEL 2 WILL BE APPROVED WITH THE M&IP. EHP 5/5/87 Reference: 87-AMC-11 EHP 5/5/87
2.9	c) Are all schedules and logics at the various levels approved by the proper authorities in accordance with approved procedures?	SATISFACTORY EHP 5/5/87 c) Level 1 and 2 logics supporting the schedules have been prepared and approved by Rockwell. In addition, Level 4 logics have been prepared by Rockwell. The Level 1 and 2 logics have been checked for consistency between levels and are satisfactory. ~~The content of the Level 1 and 2 schedules must be reviewed and approved by the DOE Branch Chiefs.~~ EHP 5/5/87

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H Dalton Date: 3/31/87
Rev. No. _____

J. L. Madsen
3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.9	THE PROJECT LOGICS AND SCHEDULES OF ITEM 2.8 MUST HAVE BEEN APPROVED TO LEVEL 2 BY DOE-BWI.	THE PROJECT LOGICS AND SCHEDULES WERE APPROVED FOR LEVELS 0 & 1 BUT NOT FOR LEVEL 2.
	Questions:	
2.9	a) Is Rockwell's Baseline Schedule approved by DOE?	a) Pending end function schedule submittal for re-evaluation.
2.9	b) Have the project logics been approved by DOE to levels 0, 1 and 2?	b) Level 0 and 1 (Project Master Schedule) has been approved.
2.9	c) Are all schedules and logics at the various levels approved by the proper authorities in accordance with approved procedures?	c) No. Schedules and logics at all required levels have not been prepared.

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: Colyn McNeill Date: 5/5/87

J.L. Madsen 5-5-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 1
2.10	AN IMPLEMENTATION PLAN WHICH IDENTIFIES REQUIRED RESOURCES MUST BE PROVIDED. ADDITIONAL RESOURCES NEEDED TO EFFECTIVELY IMPLEMENT PROCEDURAL REQUIREMENTS MUST BE IDENTIFIED.	Reference 1.7 for responses to this section.
2.10	a) Has Rockwell provided the resource requirements, including those specifically required for restart?	
2.10	b) Has Rockwell identified the source requirements for a Resource Implementation Plan?	
2.10	c) Is the Resource Implementation Plan included? Approved? Released through Document Control?	
2.10	d) Obtain signed concurrence from the appropriate Branch Chief/Division Manager indicating that the implementation plan is satisfactory.	
2.10	e) Are resource requirements specific relative to labor category, quantity and material?	
2.10	f) Is the Resource Plan consistent with the resource-loaded schedule of checklist item 2.8(j)?	

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE

Signature: Edgar Martinez Date: 4/29/87

J.L. Madsen 4/29/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 1
2.10	AN IMPLEMENTATION PLAN WHICH IDENTIFIES REQUIRED RESOURCES MUST BE PROVIDED. ADDITIONAL RESOURCES NEEDED TO EFFECTIVELY IMPLEMENT PROCEDURAL REQUIREMENTS MUST BE IDENTIFIED. Questions:	THE IMPLEMENTATION PLAN AS REFERRED TO IN THE CHECKLIST WAS COMPLETED AND EVALUATED TO ASSURE TRACEABILITY TO THE CAPS. THE SPECIFIC RESOURCE REQUIREMENT (CAPS) AND RESOURCE AVAILABILITY NEED TO BE SPECIFICALLY PROVIDED IN ORDER TO ALLOW EVALUATION BY THE DOE-RL BRANCH CHIEFS. (Refer to Section 1.7 for responses)
2.10	a) Has Rockwell provided the resource requirements, including those specifically required for restart? Are additional resources which are needed to implement procedural requirements identified?	
2.10	b) Has Rockwell identified the source requirement for a Resource Implementation Plan?	
2.10	c) Is the Resource Implementation Plan included? Approved? Released through Document Control?	
2.10	d) Obtain signed concurrence from the appropriate DOE Branch Chief/Division Manager indicating that the implementation plan is satisfactory.	
2.10	e) Are resource requirements specific relative to labor category, quantity, and material?	
2.10	f) Is the Resource Plan consistent with the resource load of checklist item 2.8 (j)?	

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar M. Petrie Date: 3/31/87
Rev. No. _____

J. L. Madsen
3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.10	AN IMPLEMENTATION PLAN WHICH IDENTIFIES REQUIRED RESOURCES MUST BE PROVIDED. ADDITIONAL RESOURCES NEEDED TO EFFECTIVELY IMPLEMENT PROCEDURAL REQUIREMENTS MUST BE IDENTIFIED.	THE IMPLEMENTATION PLAN AS REFERRED TO IN THE CHECKLIST WAS COMPLETED AND EVALUATED TO ASSURE TRACEABILITY TO THE CAP'S. THE SPECIFIC RESOURCE REQUIREMENT (CAP'S) AND RESOURCE AVAILABILITY NEED TO BE SPECIFICALLY PROVIDED IN ORDER TO ALLOW EVALUATION BY THE DOE-RL BRANCH CHIEFS.
	Questions:	
2.10	a) Has Rockwell provided the resource requirements, including those specifically required for restart? Are additional resources which are needed to implement procedural requirements identified?	a) A gross identification of resource requirements appears in Appendix E of the Restart Package. CAAs and CAPs associated with Appendix E requirements were randomly selected to verify traceability between Appendix E and the plan. Traceability of requirements into the plan was successfully verified.
2.10	b) Has Rockwell identified the source requirement for a Resource Implementation Plan?	b) The CAPS are summarized via the Financial Data System and converted from manhours to equivalent men to determine the required time-phased profiles. The required labor category requirements have been separately determined at the organization level and personnel requisitions processed where required.
2.10	c) Is the Resource Implementation Plan included? Approved? Released through Document Control?	c) The Resource Implementation Plan is composed of the CAPs, associated FDS summaries, and the personnel requisitions. RELEASE INFORMATION WILL BE INCLUDED IN REV. 1.
2.10	d) Obtain signed concurrence from the appropriate DOE Branch Chief/Division Manager indicating that the implementation plan is satisfactory.	d) DOE (Petrie) has requested a matrix listing the CAPs associated with each management system, the available and required manpower for each CAP. The branch chief will evaluate the levels to make an independent determination of the adequacy of the loading.

BWIP READINESS REVIEW TEAM - CATEGORY I, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: Edgar H. Pitts Date: 3/31/87
Rev. No. _____

J. L. Madsen 3-31-87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.10	e) Are resource requirements specific relative to labor category, quantity, and material?	e) Specific resource requirements are specific in the Restart Readiness Report. Traceability between the Restart Readiness Report and the CAPs was established in 2.10a.
2.10	f) Is the Resource Plan consistent with the resource load of checklist item 2.8 (j)?	f) Resource loaded schedules are not available. However, each CAP's resource requirements have been determined and time-phased loading has been established. Traceability from the top level schedules to the CAP does not exist due to the lack of End Function Schedules, however, the support work is primarily level of Effort, (LOE), therefore the lack of a schedule is not critical to the acceptance of this checklist item.

R. D. Crisp 5-14-87

BWIP READINESS REVIEW TEAM - CATEGORY 1, SECTION 2
QUESTIONS RELATED TO ROCKWELL RESTART PACKAGE
Signature: E W Stone Date: 5/14/87

NO.	CHECKLIST/QUESTIONS REV. 5	RESPONSE/REFERENCE REV. 2
2.11	INFORMATION MANAGEMENT SYSTEMS TO SUPPORT THE WORK MUST BE IDENTIFIED AND IN PLACE. Questions:	Information Management Systems required for restart were not identified by Rockwell. However, the Team interviewed Rockwell managers ~~for~~ of the 14 management systems and, based on their appraisals, it was determined that sufficient information management systems are in place or planned to support lift of the SWO EWP 5/14/87 The open items are: 1. The procedures are in place to cover deliverables between IC and vendors, subcontractors and Project Participants. There are no procedures in place which provide for identification and management of deliverables (software and hardware) between DOE and IC. Also, there is no summary management oriented listing of deliverables between project participants and IC or between DOE and IC. EWP 5/14/87 2. All procedures have been approved and released except Configuration ~~Summary~~ VERIFICATION PROCESS PMPM 5-102. 3. EWP 5/14/87 ~~3. PMPM 4-121 provides for Graded QA. PMPM 5-102 requires quality level indicator on the Configuration Summary. This is in process of being implemented.~~ EWP 5/14/87 3. ~~4.~~ Unique identifiers are controlled by a series of reports and logs which are utilized throughout the project. ~~Test identifiers are integrated through SD numbers. Drawings identifiers are integrated by block~~ EWP 5/14/87

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		EHP 5/14/87 ~~numbers issued by Rockwell and controlled by the participants. Components, equipment and facility identifiers are controlled by the AE.~~ A mine/bore location IDENTIFICATION SYSTEM will be required by PMPM 7-102. ~~Also, reference PMPM 8-106 and 8-121.~~
		4 ~~5.~~ DOE has approved the authorization to construct a NQA-1 vault and, in the interim ~~basis~~, the following measures are being accomplished. There are three sets of microfilmed records and the hard copy is maintained. Master copies of microfilm are located in the Federal Building vault and the working copies of microfilm are located at 345 Hills Street; hard copies are located at 2101-M 200E area. However one-of-a-kind records and records (microfilm) subject to deterioration as well as accidental destruction are stored in one location without an approved NQA-1 records storage facility. EHP 5/14/87
		5 ~~6.~~ ~~The "Master Document List" will be used per PMPM 8-134, and the "Action Tracking System" (ATS) is used for this purpose. Reference item No. 1.~~ Actions required of participants by Rockwell are not currently TRACKED. ~~included on the ATS.~~ EHP 5/14/87
		6 ~~7.~~ The process of incorporating change and updating the Master Document List ~~and other logs~~ will be added to the new procedure PMPM 8-134. A project directive has been issued as an interim measure. Reference PD-87-002 AND ITEM 1.1. EHP 5/16/87 R. D. C 5-19-87 EHP 5/14/87
		7 ~~8.~~ Rockwell is currently putting together a list of

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		EWP 5/14/87 All instruments that require calibration. ~~The computer record contains fields for record number, BWIP identification number, instrument name, description, Westinghouse lab number and serial number. Other fields will be added as required.~~ However, this system is not necessary to assure properly calibrated equipment is used in quality effecting activities. EWP 5/14/87 ~~Therefore, it is not required to be in place for restart.~~
		EWP 5/14/87 8.~~7~~.1 Procedures are ~~presently being developed~~. ~~Comments on initial drafts of procedures being incorporated. Due to PRC by June 15, 1987.~~ ADDITIONAL REQUIRED FOR THE TECHNICAL DATA BASE.
	9. THE INFORMATION MANAGEMENT SYSTEMS REQUIRED FOR RESTART HAVE NOT BEEN IDENTIFIED. A LIST OF REQUIRED SYSTEMS SHOULD BE PREPARED AND STATUSED. RDC 5-19-87	EWP 5/14/87 ~~10. There is a master index in all manuals listing all procedures and their current revisions. However, they have not listed the information systems required for restart.~~
2.11	a) Is there a Configuration and Change Control System developed by Rockwell?	a) (Accept) - PMPM-5-101 identifies change control; they utilize Design Field Changes (DFCs) for Field Changes and Engineering Orders (EOs) for overall design and as-built changes. They have an automated "Configuration Summary" which identifies drawings, specs. changes, etc., for project use. Verification of block numbers is accomplished by review of the Configuration Summary.
2.11	b) Are the applicable procedures for the above mentioned system approved and release?	b) (Accept) - PMPM 5-101, Rev. 1 (Released); PMPM 2-102; PMPM 2-104; PMPM 2-107; PMPM 8-106. EWP 5/14/87

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NO.	CHECKLIST/QUESTIONS REV. 5	RESPONSE/REFERENCE REV. 2
2.11	c) Has Rockwell identified a Disaster Recovery and Contingency Plan in the IRM Execution Plans?	c) (Accept) - Rockwell has not adequately addressed these items and the Execution Plan was not approved by DOE. Rockwell has stated that this Plan is not required for restart. The Team agrees that it is not needed for restart; backup for data loss is in place.
2.11	d) Has "Security," (as identified in the IRMP) been properly addressed in the IRM Execution Plan?	d) (Accept) - It is identified in the Execution Plan (DRAFT) from Rockwell. This plan is not essential to restart since the system is in place and backup for data loss is in place.
2.11	e) How are vendor, DOE and Rockwell deliverables managed to and from the Integrating Contractor (IC)?	e) (Accept for Partial Restart) - The procedures are in place to cover deliverables between the IC and vendors, subcontractors and Project Participants. There are no procedures in place which provide for identification and management of deliverables (software and hardware) between DOE and IC. Also, there is no summary management oriented listing of deliverables between Project Particpants and IC or between DOE and the IC.
2.11A	ANNEXES TO THE IRMP	
2.11A	a) Software Management Plan - Is this plan approved and released?	a) See Checklist item 2.1 and 2.2.
2.11A	b) Configuration Management Plan - Is this plan approved and released?	b) See Checklist item 2.1 and 2.2.
2.11A	c) Management Integration Plan - Is this plan approved	c) See Checklist item 2.1 and 2.2.

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	and released?	
2.11B	QUESTIONS:	
2.11B	a) CONFIGURATION MANAGEMENT	a) CONFIGURATION MANAGEMENT
	1. Has the configuration management system been identified by Rockwell?	1. (Accept) - Yes. Reference the Configuration Management Plan SD-BWI-CM-001 Rev. 3.
2.11B	2. Does Rockwell have implementing procedures for the above item and have they been released? ETP 5/14/87	2. (Accept for partial restart) - All procedures have been approved and released except Configuration ~~Summary~~ VERIFICATION PROCESS PMPM 5-103. Reference the following procedures: VERIFICATION AND ACCOUNTING SYSTEM ETP 5/14/87 PMPM 5-102 Configuration ~~Summary~~ PMPM 5-101 Change ~~Control Summary~~ PROPOSAL PROCESSING PMPM 2-102 ~~In Process~~ TECHNICAL DOCUMENT Review PMPM 6-105 ~~Procurement Interface~~ DIRECTION OF TECHNICAL WORK PMPM 2-104 Design Field Change PMPM 2-107 BWIP Engineering Order System
2.11B	3. Is there a configuration change control system in place and operable by Rockwell? Who is responsible for keeping it current?	3. (Accept) - See above comment. The manager of Configuration Management is responsible for keeping current.
2.11B	4. Has Engineering developed a system for identifying quality levels of items and activities? Is there an implementing procedure delineating the requirements of this system?	4. (Accept ~~for partial restart~~) - PMPM 4-121 provides for Graded QA. PMPM 5-102 requires quality level indicator on the Configuration Summary. ~~this is in the process of being implemented~~. ETP 5/14/87 ETP 5/14/87
2.11B	5. Is there a system in place to manage a Q-List	5. (Accept) - See item 2.11B 4., SD-BWI-TA-025

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	and Quality Levels? Is this system automated? How is it maintained, updated and distributed?	provides the Q-List.
2.11B	6. Who has the responsibility of providing input, incorporating changes and controlling the Q-List records system?	6. (Accept) - The Science and Engineering Department is responsible for changes and controlling the Q-Lists. Initial evaluations are performed by the QEB or Technical Review Board (TRB).
2.11B	7. Is the IRM process of the Quality Levels controlled by implementing procedures and are they released?	7. (Accept) - Yes. PMPM 4-121 is approved and released.
2.11B	8. How are samples, tests, drawings, components, equipment, facility, mine locations, etc. uniquely identified? Are procedures in place and are the systems integrated with other contractor unique identifiers?	8. (Accept for Partial Restart) - the unique identifiers are controlled by a series of reports and logs which are utilized throughout the project. Test identifiers are integrated through SD numbers. Drawings identifiers are integrated by block of numbers issued by Rockwell and controlled by the participants. Components, equipment and facility identifiers are controlled by the AE. Mine/bore location log will be provided by PMPM 7-107. Reference PMPM 8-106 and 8-121.
2.11B	9. Do the Configuration Management (CM) Plan or implementing procedures properly address the control of vendors and subcontractors?	9. (Accept) - Reference PMPM 6-121, Vendor Data Submittal System and PMPM 6-105, Direction of Technical Work.
2.11B	10. How are the doucments which are required for the Technical Baseline controlled and managed?	10. (Accept) - PMPM 5-101 provides for control of baseline documents.
2.11B	11. Is there a system in place to manage in process	11. (Accept) - See item No. 10 above.

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	changes of the Technical Baseline?	
2.11B	QUESTIONS:	b) RECORDS MANAGEMENT
	b) RECORDS MANAGEMENT	
2.11B	1. Does Records Management provide for identification, revision, data collection, storage, location, retrievability of records and material in accordance with NQA-1? Are there implementing procedures addressing these activities?	b) The following is a detailed explanation of this question broken down into key items or activities.
2.11B		1. (Accept) - Identification of records is either predetermined by being listed on the Master Document List and/or Document Type List. Also, when a transmittal is received, the documents are listed and identified.
2.11B		2. (Accept) - Revision or addition to a package once microfilmed is covered in the implementing procedures. Reference PMPM 8-103, which has been released.
2.11B		3. (Accept) - Data collection is covered in 8-103, para. 6.1 and DI 72122.
2.11B		4. (Deficient for one-of-a-kind records and records [microfilm] subject to deterioration as well as accidental destruction) - DOE has approved the authorization to construct a NQA-1 vault and in the interim basis the following measures are being

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		accomplished. There are three sets of microfilmed records and the hard copy is maintained. Master copies of microfilm are located in the Federal Building vault, and the working copies of microfilm are located at 345 Hills Street, hard copies (originals) are located at 2101-M 200E area.
2.11B		5. (Accept) - Location is covered in PMPM-8-103.
2.11B		6. (Accept) - Retrievability of material is covered in PMPM -8-103, para. 6.5.1.
2.11B		7. (Accept) - The requirements and accept/reject criteria were moved from Desk Instructions to implementing procedures. Reference the closure of Appraisal No. RHO-RA-006 by S. Moist 4/1/87.
2.11B	c) DOCUMENT CONTROL	c) DOCUMENT CONTROL
	1. How does the initiating organization use the document management system to input and obtain current document status?	1. (Accept) - PMPM 8-134 is being developed to control the Master Document List and in the interim Project Directive No. PD-87-002 is being used.
2.11B	2. How are incomplete or open items within issued documents managed? Do they have an automated system or controlled logs, etc.?	2. (OPEN) ~~(Accept)~~ - A Desk Instruction has been initiated to track this activity by configuration management. A DESK INSTRUCTION OR PROJECT DIRECTIVE IS REQUIRED FOR RESTART. A PROCEDURE IS REQUIRED FOR THE FULL LIFT OF THE SWO. pdl 5-19-87 EHP 5/16/87
2.11B	3. How is the integration of the document management system accomplished between the participants, DOE, and internal departments within	3. (Accept for Partial Restart) - The "Master Document List" will be used per PMPM 8-134 and the "Action Tracking System" is used for this purpose.

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NO.	CHECKLIST/QUESTIONS REV. 5	RESPONSE/REFERENCE REV. 2
	Rockwell?	Reference item No. 1. Actions required of participants by Rockwell are not currently included on the ATS.
2.11B	4. Are the above requirements delineated in implementing procedures?	4. (Accept) - Based on interviews with R. Richardson and R. May.
2.11B	5. Are all automated programs and/or manual information management systems properly identified in implementing procedures.	5. (Accept) - Yes. Based on discussion of R. Richardson and R. May.
2.11B	6. How are comments processed during the review cycle of approving documents managed and retained?	6. (Accept) - Yes. Covered in PMPM 8-121, Receipt Control, para. 6.8.
2.11B	7. Does Rockwell Document Control (BDC) properly define the process of incorporating changes, updating the Master Document List and other logs? How are changes to controlled documents approved?	7. (Accept for Partial Restart) - This will be added to the new procedure PMPM 8-134. A Project Directive has been issued as an interim measure. Reference PD-87-002.
2.11B	8. How are documents distributed and changes made to copyholder documents? Is there a distribution list, and how is this controlled and mointored.	8. (Accept FOR PARTIAL RESTART) - PMPM 8-125 and PMPM 8-126 adequately address these activities. AN INSTRUCTION IS REQUIRED TO COVER VERIFICATION OF PREVIOUSLY ISSUED EO's, ~~BO's~~ AND DFC's. EHP 5/12/87 RDC 5-19-87
2.11B	9. How are incoming and outgoing documents processed when they are not considered a controlled document?	9. (Accept) - This activity is addressed in PMPM 8-121, where all documentation received is via transmittal or by means of correspondence. Documents that require no "control" are sent to BRMC for storage.
2.11B	10. Are the non-controlled documents entered into a management system for retrievability and retention? BDC HAS NOT IDENTIFIED IN PROCEDURES THAT ALL CORRESPONDENCE, RECORDS AND/OR DOCUMENTS ARE TO BE TRANSMITTED TO BRMC FOR RECORDS STORAGE AND RETRIEVABILITY. THIS IS BEING DONE INFORMALLY BUT MUST BE PROCEDURALIZED.	10. (Accept FOR PARTIAL RESTART) - Yes. All correspondence or uncontrolled documents are encoded to the data base and retained in BRMC. See Correspondence Control, PMPM 8-101. THE REQUIREMENT FOR A CORRESPONDENCE LOG SHOULD BE INCLUDED IN 8-101. EHP 5/14/87 RDC 5-19-87

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NO.	CHECKLIST/QUESTIONS REV. 5	RESPONSE/REFERENCE REV. 2
2.11B	11. Does Rockwell have an IRM system for Commitment Action Tracking? Is this procedure released and adequate for this activity?	11. (Accept) - Yes. PMPM 1-111 adequately describes this system.
2.11B	12. Does Rockwell have implementing procedures for the above two items and are they released?	12. (Accept) - Yes. See the above comments.
2.11B	13. Does Rockwell acknowledge receipt of documents transmitted, and how is this accomplished?	13. (Accept) - Yes. Receipt acknowledgment is addressed in para. 6.2 of PMPM 8-125, Document Distribution and Update Control.
2.11B	14. Are design documents, procedures, and specifications controlled with proper stamps and identified by copyholders?	14. (Accept) - Yes. This is identified in PMPM 8-133, para. 5.8 and 5.9.
2.11B	15. How does Rockwell determine if documents are quality related and do they need QA concurrence?	15. (Accept) - The orginating department identifies if QA concurrence is required and BDC is keyed by the Document Request Form (PMPM 8-126, Figure 1). BDC assures that all appropriate signatures are on the documents during processing.
2.11B	16. How does Rockwell determine the revision status of documents at the point of release?	16. (Accept) - Revisions provided by author, however, verification by BDC should be required. Reference PMPM 2-107 and PMPM 8-117.
2.11B	d) QUALITY ASSURANCE	d) QUALITY ASSURANCE
	1. What systems for Information Management has Rockwell identified for QA?	1. (Accept) - They have identified the Trend Analysis System which will be controlled by QA. The ATS assigns review responsibility and lists

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		deficiencies. A procedure identifies the "Requirements and Implementing Procedure Index" for planned and executed requirements matrixed into applicable procedures. Deficiencies are tracked by the ATS. Reference Checklist Item 1.3.
2.11B	2. Are implementing procedures generated for these systems? Have they been released?	2. (Accept) - Yes, they have been released.
2.11B	3. Is there a system for Trend Analysis, and how is it utilized?	3. (Accept) - PMPM 4-111, QA Trend Analysis, states that it applies to audits, surveillances, CARs and NCRs. PMPM 4-104, QA Audits, does state that Audit Reports will be trended per PMPM 4-111 and also list it in the reference section. However, the distribution section does not list the trending organization. PMPM 4-103, BWIP QA Surveillance Activities, makes no reference to PMPM 4-111.
2.11B	4. Is there a system for Deficiency Tracking, and how is it utilized?	4. (Accept) - Deficiency Tracking System - PMPM 1-111, BWIP Action Tracking system, states that it applies to audits, surveillances, CARs and NCRs. However, PMPM 4-104, QA Audits, and PMPM 4-103, BWIP QA Surveillance Activities, do not address this activity. They also do not reference PMPM 1-111.
2.11B	5. Is there a management system for vendor qualification, and who controls the system? Is it identified in implementing procedures and released?	5. (Accept) - The system in place for this activity is the Procurement and Assistance Data System (PADS).
2.11B	6. Is there a management system for equipment storage and maintenance?	6. (Accept) - There is not a management system for storage and maintenance because the subcontractors

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		perform their own. Per A. Dunning, Rockwell, this is not required since M-K and participants other than Rockwell perform storage functions.
2.11B	7. Is there a management system for in-service inspection?	7. (Accept) - Requirements for in-service inspection will be defined by the AE or subcontractors.
2.11B	8. Is there a management system for special processes?	8. (Accept) - Requirements for special processes will be identified by the AE or subcontractors.
2.11B	e) PROCUREMENT CONTROL	e) PROCUREMENT CONTROL
	1. What DOE-4700 mandated plan does the BWIP Integrating Contractor (IC) use to provide procurement management, information and tracking of specific procurement action?	1. (Accept) - Advance Procurement Plan.
2.11B	2. What information management system is in place to assure that ANSI/ASME source documents invoked by the BOARD are used to meet and clarify the 18 Criteria of 10 CFR 50, Appendix B, and includes specific requirements related to procurement?	2. (Accept) - PMPM 6-112 and PMPM 6-115.
2.11B	3. In addition to the general procurement requirements, do Rockwell procedures recognize the need to comply with other DOE orders which govern procurment of ADP equipment and resources?	3. (Accept) - DOE-1360.1, RL-1360.1A, DOE N 1360.3
2.11B	4. How does Rockwell comply with NQA-1 to assure a systemmatic approach to the procurement process.	4. (Accept) - Procedures require that activities be planned and documented.

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2.11B	5. Are the procurement document change controls required by NQA-1, Supplement 4S-1 imposed?	5. (Accept) - PMPM 6-120 para. 3.0 and PMPM 6-114 para. 5 adequately address the process of changes.
2.11B	6. Is the system in place to manage the preparation, review, approval and maintenance of procurement plans for BWIP?	6. (Accept) - PMPM 6-112.
2.11B	7. Is the system in place to manage the preparation, review, approval and revision, where necessary, of procurement documents?	7. (Accept) - PMPM 6-114.
2.11B	8. Is there a procedure on procurement document preparation and controls that ensures that applicable regulatory requirements, design bases, and other requirements necessary for adequate quality are either included or referenced in the procurement documents?	8. (Accept) - Yes. PMPM 6-114.
2.11B	9. Is there a Rockwell BWIP procedure for a procurement management system to be used in the procurement of material, equipment, or services by Rockwell, including the itnerface with the procurement processor of other BWIP major project participants (MPPs)? If yes, what is the procedure number?	9. (Accept) - Yes. PMPM 6-115.
2.11B	10. Does the procurement information documentation system (PIDS) provide requisition number, description, estimated value, quote due date, purchase order number, issue date, vendor promise date, vendor, and status of procurement, including receipt of deliverables?	10. (Accept) - Yes.

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2.11B	11. Does Rockwell PMPM 6-116 define vendor documentation requirements, including processing and submittal, to document control unit?	11. (Accept) - Yes.
2.11B	12. What Rockwell document establishes the requirements and responsibilities for procurement management interfacing activities with major project participants by Rockwell acting as the Integrating Contractor?	12. (Accept) - PMPM 6-117.
2.11B	13. What procedure establishes the requirement and responsiblity for the BWIP procurement process for equipment, materials, and services?	13. (Accept) - PMPM 6-120.
2.11B	14. Is there a system in place which manages the performance verification requirements? CMP 5/14/87	14. (Accept) - PMPM 6-114. The procedure implies that a complete checklist is included, this is further clarified in DCN R 87-191.
2.11B	15. Is there a system in place which manages the approval and control of vendor deliverables?	15. (Accept) - PMPM 6-121.
2.11B	16. What procedure describes the requirement for the preparation, maintenance, and use of data requirements specifications (DRSs) which are used as the requirement for vendor supplied documents?	16. (Accept) - PMPM 6-112.
2.11B	17. Is there a system in place for managing supplier deviation requests (SDRs)?	17. (Accept) - PMPM 6-123.
2.11B	18. Is there a system in place for managing the	18. (Accept) - PMPM 6-119.

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	shipping and storage of BWIP quality related materials and equipment?	
2.11B	19. What procedure defines requirements and responsibilites for receiving, nonconformance segregation, and delivery of material and equipment ordered for BWIP?	19. (Accept) - PMPM 6-125.
2.11B	f) MEASUREMENT AND TEST EQUIPMENT	f) MEASUREMENT AND TEST EQUIPMENT
	1. Is there an information system which inventories all instruments that require calibration and identifies the status of each piece of test equipment, instruments, measuring devices, sensors, gauges, etc.?	1. (Accept for Partial Restart) - Rockwell is currently putting together a list of all instruments that require calibration. The computer record contains fields for record number, BWIP identification number, instrument name, description, Westinghouse lab number, serial number. Other fields will be added as required. However, this system is not necessary to assure properly calibrated equipment is used in quality effecting activities. Therefore, it is not required to be in place for restart.
2.11B	2. Is there a list which identifies the location of all the above equipment and equipment usage and recalibration due dates?	2. (Accept) - As equipment is identified for use in a test, it is put into the Westinghouse system. In addition, when equipment currently in use is calibrated it is put into the Westinghouse system. Location of the equipment as described in item No. 1.
2.11B	3. Is there a system that identifies equipment requiring calibration and provides notification of recall to equipment holders, which specifies the due dates?	3. (Accept) - Yes. Westinghouse maintains due dates system. Westinghouse notifies Rockwell BWIP Calibration Coordinator of due date. RBCC notifies CCA who boxes the instrument, if possible, and forwards it

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		to the proper lab for calibration. Procedure PMP 07-111 (in review) covers re-calibration dates.
2.11B	4. Is there a system which notifies the user of specified equipment which fails calibration? Does the user perform an investigation and evaluation of accepted results on material of an out-of-calibration instrument to determine its disposition?	4. a. (Accept) - Westinghouse notifies RBCC of calibration failure of Rockwell's equipment or Westinghouse's equipment. b. (Accept) - Upon notification the Test Control System Manager is responsible for determining and evaluating results of material of an out-of-calibration instrument utilizing the test log. Reference: PMPM 7-119, Appendix "A."
2.11B	5. Is there a deficiency list of all calibration overdue equipment and instruments to determine its disposition?	5. a. (Accept) - Yes. Westinghouse prepares an overdue list. b. (Accept) - When an instrument is found or suspected to be nonconforming, an Interim Problem Report (IPR) for the instrument is prepared. The IPR is used by the Test Control Manager to determine nonconformance. If the instrument is found to be nonconforming a Nonconformance Report (NCR) is prepared.
2.11B	7. Is there a system for tagging or segregating equipment or instrumentation which is not within the calibration tolerances? RDC 5-18-87 ETF 5/15/87	7. (Accept) - There is a methodology, covered by PMPM07-112, which calls for tagging all instrumentation not within calibration tolerances. If equipment is movable, it is removed and segregated; if not movable, it is just tagged. All tagged instrumentation is covered by an NCR for follow up.

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2.11B	8. Are there implementing procedures for the above requirements, and have they been released?	8. (Accept) - The following procedures cover calibration: PMP 07-108 (governing procedure) PMP 07-109 PMP 07-110 PMP 07-111 ~~(in review)~~ PMP 07-112 PMP 07-113 ~~(release date is 2/25/87)~~ EHP 5/14/87 EHP 5/14/87
2.11B	g) TECHNICAL DATA BASE	g) TECHNICAL DATA BASE
	1. Does Rockwell have information management systems in place which will satisfy the needs of technical data users?	1. (Accept) - The Technical Data Base (TDB) for test data supports the Site Analysis Group and Field Test Groups. The only access to this information is by computer terminal which has an access code and ID No. for entry. The users may print any required information stored. Meantime (without approved procedures) the software for TDB is being controlled by a Data Base Administrator who makes changes to the software by retaining a copy before a change and after a change which is sent to BRMC. Also, monthly the data is backed up and sent to BRMC. However, the Configuration Management Department has developed an Engineering Release System Waste Isolation Poject data base system per PMPM 2-107 para. 3.4.
2.11B	2. How is data obtained and entered into these systems?	2. (Accept) - Final data base is controlled by the DBA for data entry and software changes. The input is performed by the working data base scientist and, once

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		final, he transfers it to the final data base, at which time the DBA has the responsibilitiy to save/approve data and copy for BRMC.
2.11B	3. How is this information controlled and verified?	3. (Accept) - It is controlled by copying and sending the information to BRMC as stated above. The verification is performed by the scientist or user. Verification will also be checked by the final data base administrator. Procedure for this activity is in draft and will be submitted later.
2.11B	4. Is this data made available to the users? In a timely manner?	4. (Accept) - Yes.
2.11B	5. How are changes to this data controlled?	5. (Accept) - See comments to items #1 and #2.
2.11B	6. Are there existing procedures adequately addressing these activities?	6. (Accept, not required for partial lift of SWO) - Procedures are presently being developed. Comments on initial drafts of procedures being incorporated. Due to PRC by June 15, 1987.
2.11B	7. Are these procedures being implemented?	7. (Accept for Partial Restart) - See comment to item #6.
2.11B	h) INTEGRATION OF INFORMATION SYSTEMS	h) INTEGRATION OF INFORMATION SYSTEMS
	1. Is there a master list of information management systems?	CTP 5/14/87 1. (Accept, not required for PARTIAL restart) - There is a master index in all manuals listing all procedures and their current revisions. However, they have not listed the information systems required for restart.

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2.11B	2. Have the information systems which need to be available to participating contractors and subcontractors been identified?	2. (Accept, not required for restart) - To date there has been no formalized correspondence to any contractors. It is the intent of the Information Systems Management Plan to make all contractors aware of the available systems so they can identify their needs.
2.11B	3. Is there a controlled distribution to assure that correct and up-to-date information is being received by these organizations?	3. (Accept, not required for restart) - This is the same as the answer to No. 2.
2.11B	4. Is there a plan to assure that all personnel with a "need to know" are made aware of all existing information systems and how to obtain data?	4. (Accept, not required for restart) - It is intended that this will be accomplished through workshops and publication of the Information Systems Management Plan.

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2.11	INFORMATION MANAGEMENT SYSTEMS TO SUPPORT THE WORK MUST BE IDENTIFIED AND IN PLACE. Questions:	Information Management Systems required for restart were not identified and those evaluated had substantial deficiencies as described below:
2.11	a) Is there a Configuration and Change Control System developed by Rockwell?	a) (Accept) - PMPM-5-101 identifies change control; they utilize Design Field Changes (DFCs) for Field Changes and Engineering Orders (EOs) for overall design and as-built changes. They have an automated "Configuration Summary" which identifies drawings, specs, changes, etc., for project use. PMPM-2-102, PMPM-2-104, PMPM-2-107, PMPM-8-106 verification of block numbers is accomplished by review of the Configuration Summary. EMP 5/6/87
2.11	b) Are the applicable procedures for the above mentioned system approved and release?	b) (Accept) - PMPM 5-101, Rev. 1, ~~"Released"~~
2.11	c) Has Rockwell identified a Disaster Recovery and Contingency Plan in the IRM Execution Plans? THE TEAM AGREES THAT IT	c) (Accept) - Rockwell has not adequately addressed these items and the Execution Plan was not approved by DOE. Rockwell has stated that this Plan is not required for restart. ~~This~~ is not needed FOR RESTART ~~provided the information systems are in place and~~ backup for data loss is in place. EMP 5/6/87
2.11	d) Has "Security," (as identified in the IRMP) been properly addressed in the IRM Execution Plan?	d) (Accept) - It is identified in the Execution Plan (DRAFT) from Rockwell. This PLAN IS not essential to restart SINCE ~~provided~~ the system is in place and backup for data loss is in place. EMP 5/6/87

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2.11	e) How are vendor, DOE and Rockwell deliverables managed to and from the Integrating Contractor (IC)?	e) ~~(Deficient)~~ - The procedures are in place to cover deliverables between the IC and vendors, subcontractors and Project Participants. There are no procedures in place which provide for identification and management of deliverables (software and hardware) between DOE and IC.
2.11A	ANNEXES TO THE IRMP	
2.11A	a) Software Management Plan - Is this plan approved and released?	a) See Checklist item 2.1 and 2.2.
2.11A	b) Configuration Management Plan - Is this plan approved and released?	b) See Checklist item 2.1 and 2.2.
2.11A	c) Management Integration Plan - Is this plan approved and released?	c) See Checklist item 2.1 and 2.2.
2.11B	QUESTIONS:	
2.11B	a) CONFIGURATION MANAGEMENT	a) CONFIGURATION MANAGEMENT
	1. Has the configuration management system been identified by Rockwell?	1. (Accept) - Yes. Reference the Configuration Management Plan SD-BWI-CM-001 Rev. 3.
2.11B	2. Does Rockwell have implementing procedures for the above item and have they been released?	2. (Accept for partial restart) - All procedures have been approved and released except Configuration Summary PMPM 5-103. Reference the following procedures:

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NO.	CHECKLIST/QUESTIONS REV. 5	RESPONSE/REFERENCE REV. 1
		PMPM 5-102 Configuration Summary PMPM 5-101 Change Control Summary PMPM 2-102 In Process Review PMPM 6-105 Procurement Interface PMPM 2-104 Design Field Changes PMPM 2-107 BWIP Engineering Order System
2.11B	3. Is there a configuration change control system in place and operable by Rockwell? Who is responsible for keeping it current?	3. (Accept) - See above comment. The manager of Configuration Management is responsible for keeping current.
2.11B	4. Has Engineering developed a system for identifying quality levels of items and activities? Is there an implementing procedure delineating the requirements of this system?	4. (Accept for partial restart) - PMPM 4-121 provides for Graded QA. PMPM 5-102 requires quality level indicator on the Configuration Summary, this is in the process of being implemented.
2.11B	5. Is there a system in place to manage a Q-List and Quality Levels? Is this system automated? How is it maintained, updated and distributed?	5. (Accept) - See item 2.11B 4., SD-BWI-TA-025 provides the Q-List.
2.11B	6. Who has the responsibility of providing input, incorporating changes and controlling the Q-List records system?	6. (Accept) - The Science and Engineering Department is responsible for changes and controlling the Q-Lists. Initial evaluations are performed by the QEB or Technical Review Board (TRB).
2.11B	7. Is the IRM process of the Quality Levels controlled by implementing procedures and are they released?	7. (Accept) - Yes. PMPM 4-121 is approved and released.
2.11B	8. How are samples, tests, drawings, components, equipment, facility, mine locations, etc. uniquely	FOR PARTIAL RESTART) 5/6/87 8. (Accept) - the unique identifiers are controlled by a series of reports and logs which are

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	identified? Are procedures in place and are the systems integrated with other contractor unique identifiers?	utilized throughout the project. Test identifiers are integrated through SD numbers. Drawings identifiers are integrated by block of numbers issued by Rockwell and controlled by the participants. Components, equipment and facility identifiers are controlled by the AE. A Mine/bore location log will be required by PMPM 7-107 Reference PMPM 8-106 and 8-121. [illegible] 5/6/87
2.11B	9. Do the Configuration Management (CM) Plan or implementing procedures properly address the control of vendors and subcontractors?	9. (Accept) - Reference PMPM 6-121, Vendor Data Submittal System and PMPM 6-105, Direction of Technical Work.
2.11B	10. How are the doucments which are required for the Technical Baseline controlled and managed?	10. (Accept) - PMPM 5-101 provides for control of baseline documents.
2.11B	11. Is there a system in place to manage in process changes of the Technical Baseline?	11. (Accept) - See item No. 10 above.
2.11B	QUESTIONS:	b) RECORDS MANAGEMENT
	b) RECORDS MANAGEMENT	
2.11B	1. Does Records Management provide for identification, revision, data collection, storage, location, retrievability of records and material in accordance with NQA-1? Are there implementing procedures addressing these activities?	b) The following is a detailed explanation of this question broken down into key items or activities.
2.11B		1. (Accept) - Identification of records is either predetermined by being listed on the Master Document List and/or Document Type List. Also, when a

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		transmittal is received, the documents are listed and identified.
2.11B		2. (Accept) - Revision or addition to a package once microfilmed is covered in the implementing procedures. Reference PMPM 8-103, which has been released.
2.11B		3. (Accept) - Data collection is covered in 8-103, para. 6.1 and DI 72122.
2.11B		4. (Deficient for one-of-a-kind records) - DOE has approved the authorization to construct a NQA-1 vault and in the interim basis the following measures are being accomplished. There are three sets of microfilmed records and the hard copy is maintained. Master copies of microfilm are located in the Federal Building vault, and the working copies of microfilm are located at 345 Hills Street, hard copies (originals) are located at 2101-M 200E area.
2.11B		5. (Accept) - Location is covered in PMPM-8-103.
2.11B		6. (Accept) - Retrievability of material is covered in PMPM -8-103, para. 6.5.1.
2.11B		7. (Accept) - The requirements and accept/reject criteria were moved from Desk Instructions to implementing procedures. Reference the closure of Appraisal No. RHO-RA-006 by S. Moist 4/1/87.

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2.11B	c) DOCUMENT CONTROL	c) DOCUMENT CONTROL
	1. How does the initiating organization use the document management system to input and obtain current document status?	1. (Accept) - PMPM 8-134 is being developed to control the Master Document List and in the interim Project Directive No. PD-87-002 is being used.
2.11B	2. How are incomplete or open items within issued documents managed? Do they have an automated system or controlled logs, etc.?	2. (Deficient) - Presently there is no log or system for this activity, however, they do plan to include this into the next revision of PMPM 8-121. However, the ATS system can be used at the discretion of the individual managers.
2.11B	3. How is the integration of the document management system accomplished between the participants, DOE, and internal departments within Rockwell?	3. (ACCEPT FOR PARTIAL RESTART) ~~(Deficient)~~ - The ~~Master List~~ "MASTER DOCUMENT LIST" will be USED PER PMPM-8-134, and the "Action Tracking System" ~~are~~ is used for this purpose. Reference item No. 1. Actions required of participants by Rockwell are not currently included on the ATS. E T P 5/6/87
2.11B	4. Are the above requirements delineated in implementing procedures?	4. (Accept) - Based on interviews with B. Richardson and R. May. E T P 5/6/87
2.11B	6. How are comments processed during the review cycle of approving documents managed and retained?	6. (Accept) - Yes. Covered in PMPM 8-121, Receipt Control, para. 6.8.
2.11B	7. Does Rockwell Document Control (RDC) properly define the process of incorporating changes, updating the Master Document List and other logs? How are changes to controlled documents approved?	7. (Accept FOR PARTIAL RESTART) - This will be added to the new procedure PMPM 8-134. A Project Directive has been issued as an interim measure. Reference PD-87-002. E T P 5/6/87 E T P 5/6/87
2.11B	8. How are documents distributed and changes made to copyholder documents? Is there a distribution list,	8. (Accept) - PMPM 8-125 and PMPM 8-126 adequately address these activities.

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	and how is this controlled and mointored.	
2.11B	9. How are incoming and outgoing documents processed when they are not considered a controlled document?	9. (Accept) - This activity is addressed in PMPM 8-121, where all documentation received is via transmittal or by means of correspondence. Documents that require no "control" are sent to BRMC for storage.
2.11B	10. Are the non-controlled documents entered into a management system for retrievability and retention?	10. (Accept) - Yes. All correspondence or uncontrolled documents are encoded to the data base and retained in BRMC. See Correspondence Control, PMPM 8-101.
2.11B	11. Does Rockwell have an IRM system for Commitment Action Tracking? Is this procedure released and adequate for this activity?	11. (Accept) - Yes. PMPM 1-111 adequately describes this system.
2.11B	12. Does Rockwell have implementing procedures for the above two items and are they released?	12. (Accept) - Yes. See the above comments.
2.11B	13. Does Rockwell acknowledge receipt of documents transmitted, and how is this accomplished?	13. (Accept) - Yes. Receipt acknowledgment is addressed in para. 6.2 of PMPM 8-125, Document Distribution and Update Control.
2.11B	14. Are design documents, procedures, and specifications controlled with proper stamps and identified by copyholders?	14. (Accept) - Yes. This is identified in PMPM 8-133, para. 5.8 and 5.9.
2.11B	15. How does Rockwell determine if documents are quality related and do they need QA concurrence?	15. (Accept) - The orginating department identifies if QA concurrence is required and BDC is keyed by the Document Request Form (PMPM 8-126, Figure 1). BDC assures that all appropriate signatures are on the

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		documents during processing.
2.11B	16. How does Rockwell determine the revision status of documents at the point of release?	16. (Accept) - Revisions provided by author, however, verification by BDC should be required. Reference PMPM 2-107 and PMPM 8-117.
2.11B	d) QUALITY ASSURANCE	d) QUALITY ASSURANCE
	1. What systems for Information Management has Rockwell identified for QA?	1. (Deficient - They have identified the Trend Analysis System which will be controlled by QA. The ATS assigns review responsibility. However, there should be a procedure for the Quality Assurance Procedure Index (QAPI) which identifies how planned and executed requirements are incorporated into applicable procedures.
2.11B	2. Are implementing procedures generated for these systems? Have they been released?	2. (Accept) - Yes, they have been released.
2.11B	3. Is there a system for Trend Analysis, and how is it utilized?	3. (Accept) - PMPM 4-111, QA Trend Analysis, states that it applies to audits, surveillances, CARs and NCRs. PMPM 4-104, QA Audits, does state that Audit Reports will be trended per PMPM 4-111 and also list it in the reference section. However, the distribution section does not list the trending organization. PMPM 4-103, BWIP QA Surveillance Activities, makes no reference to PMPM 4-111.
2.11B	4. Is there a system for Deficiency Tracking, and how is it utilized?	4. (Accept) - Deficiency Tracking System - PMPM 1-111, BWIP Action Tracking system, states that it applies to audits, surveillances, CARs and NCRs.

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		However, PMPM 4-104, QA Audits, and PMPM 4-103, BWIP QA Surveillance Activities, do not address this activity. They also do not reference PMPM 1-111.
2.11B	5. Is there a management system for vendor qualification, and who controls the system? Is it identified in implementing procedures and released?	5. (Accept) - The system in place for this activity is the Procurement and Assistance Data System (PADS).
2.11B	6. Is there a management system for equipment storage and maintenance? PER A. DUNNING, RHO THIS IS NOT REQUIRED SINCE M-K AND PARTICIPANTS OTHER THAN ROCKWELL PERFORM STORAGE FUNCTIONS.	6. (Accept) - There is not a management system for storage and maintenance because the subcontractors perform their own ~~and we are still in the R&D phase where material is very limited~~ EJP 5/6/87
2.11B	7. Is there a management system for in-service inspection?	7. (Accept) - Requirements for in-service inspection will be defined by the AE or subcontractors.
2.11B	8. Is there a management system for special processes?	8. (Accept) - Requirements for special processes will be identified by the AE or subcontractors.
2.11B	e) PROCUREMENT CONTROL	e) PROCUREMENT CONTROL
	1. What DOE-4700 mandated plan does the BWIP Integrating Contractor (IC) use to provide procurement management, information and tracking of specific procurement action?	1. (Accept) - Advance Procurement Plan.
2.11B	2. What information management system is in place to assure that ANSI/ASME source documents invoked by the BOARD are used to meet and clarify the 18 Criteria of 10 CFR 50, Appendix B, and includes specific requirements related to procurement?	2. (Accept) - PMPM 6-112 and PMPM 6-115.

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2.11B	3. In addition to the general procurement requirements, do Rockwell procedures recognize the need to comply with other DOE orders which govern procurment of ADP equipment and resources?	3. (Accept) - DOE-1360.1, RL-1360.1A, DOE N 1360.3
2.11B	4. How does Rockwell comply with NQA-1 to assure a systemmatic approach to the procurement process.	4. (Accept) - Procedures require that activities be planned and documented.
2.11B	5. Are the procurement document change controls required by NQA-1, Supplement 4S-1 imposed?	5. (Accept) - PMPM 6-120 para. 3.0 and PMPM 6-114 para. 5 adequately address the process of changes.
2.11B	6. Is the system in place to manage the preparation, review, approval and maintenance of procurement plans for BWIP?	6. (Accept) - PMPM 6-112.
2.11B	7. Is the system in place to manage the preparation, review, approval and revision, where necessary, of procurement documents?	7. (Accept) - PMPM 6-114.
2.11B	8. Is there a procedure on procurement document preparation and controls that ensures that applicable regulatory requirements, design bases, and other requirements necessary for adequate quality are either included or referenced in the procurement documents?	8. (Accept) - Yes. PMPM 6-114.
2.11B	9. Is there a Rockwell BWIP procedure for a procurement management system to be used in the procurement of material, equipment, or services by Rockwell, including the itnerface with the procurement processor of other BWIP major project participants	9. (Accept) - Yes. PMPM 6-115.

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	(MPPs)? If yes, what is the procedure number?	
2.11B	10. Does the procurement information documentation system (PIDS) provide requisition number, description, estimated value, quote due date, purchase order number, issue date, vendor promise date, vendor, and status of procurement, including receipt of deliverables?	10. (Accept) - Yes.
2.11B	11. Does Rockwell PMPM 6-116 define vendor documentation requirements, including processing and submittal, to document control unit?	11. (Accept) - Yes.
2.11B	12. What Rockwell document establishes the requirements and responsibilities for procurement management interfacing activities with major project participants by Rockwell acting as the Integrating Contractor?	12. (Accept) - PMPM 6-117.
2.11B	13. What procedure establishes the requirement and responsiblity for the BWIP procurement process for equipment, materials, and services?	13. (Accept) - PMPM 6-120.
2.11B	14. Is there a system in place which manages the performance verification requirements?	14. (Deficient) - PMPM 6-114. The procedure implies that a complete checklist is included, this should be clarified.
2.11B	15. Is there a system in place which manages the approval and control of vendor deliverables?	15. (Accept) - PMPM 6-121.
2.11B	16. What procedure describes the requirement for the preparation, maintenance, and use of data	16. (Accept) - PMPM 6-112.

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	requirements specifications (DRSs) which are used as the requirement for vendor supplied documents?	
2.11B	17. Is there a system in place for managing supplier deviation requests (SDRs)?	17. (Accept) - PMPM 6-123.
2.11B	18. Is there a system in place for managing the shipping and storage of BWIP quality related materials and equipment?	18. (Accept) - PMPM 6-119.
2.11B	19. What procedure defines requirements and responsibilites for receiving, nonconformance segregation, and delivery of material and equipment ordered for BWIP?	19. (Accept) - PMPM 6-125.
2.11B	f) MEASUREMENT AND TEST EQUIPMENT	f) MEASUREMENT AND TEST EQUIPMENT FOR PARTIAL RESTART) EAP 5/6/87
	1. Is there an information system which inventories all instruments that require calibration and identifies the status of each piece of test equipment, instruments, measuring devices, sensors, gauges, etc.?	1. (Accept) - Rockwell is currently putting together a list of all instruments that require calibration. The computer record contains fields for record number, BWIP identification number, instrument name, description, Westinghouse lab number, serial number. Other fields will be added as required. However, this system is not necessary to assure properly calibrated equipment is used in quality effecting activities. Therefore, it is not required to be in place for restart.
2.11B	2. Is there a list which identifies the location of all the above equipment and equipment usage and recalibration due dates?	2. (Accept) - As equipment is identified for use in a test, it is put into the Westinghouse system. In addition, when equipment currently in use is calibrated

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		it is put into the Westinghouse system. Location of the equipment as described in item No. 1.
2.11B	3. Is there a system that identifies equipment requiring calibration and provides notification of recall to equipment holders, which specifies the due dates?	3. (Accept) - Yes. Westinghouse maintains due dates system. Westinghouse notifies Rockwell BWIP Calibration Coordinator of due date. RBCC notifies CCA who boxes the instrument, if possible, and forwards it to the proper lab for calibration. Procedure PMP 07-111 (in review) covers re-calibration dates.
2.11B	4. Is there a system which notifies the user of specified equipment which fails calibration? Does the user perform an investigation and evaluation of accepted results on material of an out-of-calibration instrument to determine its disposition?	4. a. (Accept) - Westinghouse notifies RBCC of calibration failure of Rockwell's equipment or Westinghouse's equipment. b. (Accept) - Upon notification the Test Control System Manager is responsible for determining and evaluating results of material of an out-of-calibration instrument utilizing the test log. Reference: PMPM 7-119, Appendix "A."
2.11B	5. Is there a deficiency list of all ~~out of~~ OVERDUE calibration equipment and instruments to determine its disposition? E.H.P. 5/6/87	5. a. (Accept) - Yes. Westinghouse prepares an overdue list. b. (Accept) - When an instrument is found or suspected to be nonconforming, an Interim Problem Report (IPR) for the instrument is prepared. The IPR is used by the Test Control Manager to determine nonconformance. If the instrument is found to be nonconforming a Nonconformance Report (NCR) is prepared.

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2.11B	7. Is there a system for tagging or segregating equipment or instrumentation which is not within the calibration tolerances?	7. (Accept) - There is a methodology, covered by PMP 07-112, which calls for tagging all instrumentation not within calibration tolerances. If equipment is movable, it is removed and segregated; if not movable, it is just tagged. All tagged instrumentation is covered by an NCR for follow up.
2.11B	8. Are there implementing procedures for the above requirements, and have they been released?	8. (Accept) - The following procedures cover calibration: PMP 07-108 (governing procedure) PMP 07-109 PMP 07-110 PMP 07-111 (in review) PMP 07-112 PMP 07-113 (release date is 2/25/87) ~~The PMPs are not in general use during shut down~~
2.11B	g) TECHNICAL DATA BASE	g) TECHNICAL DATA BASE
	1. Does Rockwell have information management systems in place which will satisfy the needs of technical data users?	1. (Accept) - The Technical Data Base (TDB) for test data supports the Site Analysis Group and Field Test Groups. The only access to this information is by computer terminal which has an access code and ID No. for entry. The users may print any required information stored. Meantime (without approved procedures) the software for TDB is being controlled by a Data Base Administrator who makes changes to the

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		software by retaining a copy before a change and after a change which is sent to BRMC. Also, monthly the data is backed up and sent to BRMC. However, the Configuration Management Department has developed an Engineering Release System Waste Isolation Project data base system per PMPM 2-107 para. 3.4.
2.11B	2. How is data obtained and entered into these systems?	2. (Accept) - Final data base is controlled by the DBA for data entry and software changes. The input is performed by the working data base scientist and, once final, he transfers it to the final data base, at which time the DBA has the responsibilitiy to save/approve data and copy for BRMC.
2.11B	3. How is this information controlled and verified?	3. (Accept) - It is controlled by copying and sending the information to BRMC as stated above. The verification is performed by the scientist or user. Verification will also be checked by the final data base administrator. Procedure for this activity is in draft and will be submitted later.
2.11B	4. Is this data made available to the users? In a timely manner?	4. (Accept) - Yes.
2.11B	5. How are changes to this data controlled?	5. (Accept) - See comments to items #1 and #2.
2.11B	6. Are there existing procedures adequately addressing these activities? EHP 5/6/87	6. (Accept) ~~Deficient~~, not required for partial lift of SWO) - Procedures are presently being developed. Comments on initial drafts of procedures being incorporated. Due to PRC by June 15, 1987.

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2.11B	7. Are these procedures being implemented?	ACCEPT FOR PARTIAL RESTART EMP 5/6/87 7. (~~Deficient~~) - See comment to item #6.
2.11B	h) INTEGRATION OF INFORMATION SYSTEMS	h) INTEGRATION OF INFORMATION SYSTEMS EMP 5/6/87
	1. Is there a master list of information management systems?	1. (Accept, not required for PARTIAL restart) - There is a master index in all manuals listing all procedures and their current revisions. However, they have not listed the information systems required for restart.
2.11B	2. Have the information systems which need to be available to participating contractors and subcontractors been identified?	2. (Accept, not required for restart) - To date there has been no formalized correspondence to any contractors. It is the intent of the Information Systems Management Plan to make all contractors aware of the available systems so they can identify their needs.
2.11B	3. Is there a controlled distribution to assure that correct and up-to-date information is being received by these organizations?	3. (Accept, not required for restart) - This is the same as the answer to No. 2.
2.11B	4. Is there a plan to assure that all personnel with a "need to know" are made aware of all existing information systems and how to obtain data?	4. (Accept, not required for restart) - It is intended that this will be accomplished through workshops and publication of the Information Systems Management Plan.

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2.11	INFORMATION MANAGEMENT SYSTEMS TO SUPPORT THE WORK MUST BE IDENTIFIED AND IN PLACE. Questions:	Information Management Systems required for restart were not identified and those evaluated had substantial deficiencies as described below:
2.11	a) Is there a Configuration and Change Control System developed by Rockwell?	a) (Deficient) - PMPM-5-101, Identifies Change Control; they utilize Design Field Changes (DFCs) for Field Changes and Engineering Orders (EOs) for overall Design and As-Built changes. However, they have an automated "Configuration Summary" which identifies Dwgs, Specs. changes, etc., for project use. This summary is not controlled by an implementing procedure and there are deficiencies within the summary. Also, there is no check and balance on block of numbers assigned to various organizations.
2.11	b) Are the applicable procedures for the above mentioned system approved and released?	b) (Accept) - PMPM-5-101, Rev. 1 (Released).
2.11	c) Has Rockwell identified a Disaster Recovery and Contingency Plan in the IRM Execution Plans?	c) (Accept) - RHO has not adequately addressed these items and the Execution Plan was not approved by DOE. RHO has stated that this Plan is not required for restart. This is not needed provided the information systems are in place. & Backup for Data loss is in place. EJP 3/30/87
2.11	d) Has "Security," (as identified in the IRMP) been properly addressed in the IRM Execution Plan?	d) (Accept) - It is identified in the Execution Plan (DRAFT) from Rockwell. This is not essential to restart provided the system is in place and backup for data loss is in place.
2.11A	ANNEXES TO THE IRMP	

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2.11A	a) Software Management Plan - Is this plan approved and released?	a) (Deficient) - In DOE review cycle as of 3/2/87. [ref. DOE-RL-86-04] NOTE: This plan is required for restart.
2.11A	b) Configuration Managment Plan - Is this plan approved and released?	b) (Deficient) - In DOE review cycle as of 3/2/87. NOTE: This plan is required for restart.
2.11A	c) Management Integration Plan - Is this plan approved and released?	c) (Deficient) - Disapproved as of 3/2/87. NOTE: This plan is required for restart.
2.11B	QUESTIONS:	
2.11B	a) CONFIGURATION MANAGEMENT	a) CONFIGURATION MANAGEMENT
	1. Has the configuration management system been identified by Rockwell?	1. (Deficient) - No. Not included in the Restart Package.
2.11B	2. Does Rockwell have implementing procedures for the above item and have they been released?	2. (Deficient) - Not all have been approved, and they still need to develop some implementing procedures, i.e., "Configuration Summary," "In Process Review and Change Control Summary," "Procurement Interface," "Configuration Audits."
2.11B	3. Is there a configuration change control system in place and operable by Rockwell? Who is responsible for keeping it current?	3. (Deficient) - "See above comment" - Also, Design sends DFCs and EOs to Document Control and they are responsible for including them into the Configuration Summary. This procedure is not approved.

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2.11B	4. Has Engineering developed a system for identifying quality levels of items and activities? Is there an implementing procedure delineating the requirements of this system?	4. (Deficient) - PMPM-4-121 "Graded QA" - However, they have not completed an adequate up-to-date Q-List or Quality level summary for equipment and activities.
2.11B	5. Is there a system in place to manage a Q-List and Quality Levels? Is this system automated? How is it maintained, controlled, updated and distributed?	5. (Deficient) - This system is in process of being developed. However, they have not scoped out those activities or items with Q-levels to support lifting of stop work.
2.11B	6. Who has the responsibility of providing input, incorporating changes and controlling the Q-List records system?	6. (Accept) - The Science and Engineering Department is responsible for changes and controlling the Q Lists. Initial evaluations are performed by the QEB or Technical Review Board (TRB).
2.11B	7. Is the IRM process of the Quality Levels controlled by implementing procedures and are they released?	7. (Accept) - Yes. PMPM 4-121 is approved and released.
2.11B	8. How are samples, tests, drawings, components, equipment, facility, mine locations, etc. uniquely identified? Are procedures in place and are the systems integrated with other contractor unique identifiers?	8. (Deficient) - The unique identifiers are controlled by a series of reports and logs which are utilized throughout the project. However, they do not include all the proper interfaces, i.e., Document Control and Participating Contractors, subcontractors, etc. Reference PMPM-5-102, para. 4.4 and 6.2.
2.11B	9. Do the Configuration Management (CM) Plan or implementing procedures properly address the control of vendors and subcontractors?	9. (Deficient) - See the above comment.

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2.11B	10. How are the documents which are required for the Technical Baseline controlled and managed?	10. (Deficient) - They are controlled by Document Control which will address these reports and logs in PMPM-8-121 once it is revised and released.
2.11B	11. Is there a system in place to manage in-process changes of the Technical Baseline?	11. (Deficient) - This is identified in PMPM-5-102, however, the procedure is inadequate, i.e., it does not require identification of all affected documents. The procedure is being revised to incorporate the deficiencies.
2.11B	QUESTIONS:	
	b) RECORDS MANAGEMENT	
2.11B	1. Does Records Management provide for identification, revision, data collection, storage, location, retrievability of records and material in accordance with NQA-1? Are there implementing procedures addressing these activities?	b) The following is a detailed explanation of this question broken down into key items or activities: 1. (Accept) - Identification of records is either predetermined by being listed on the Master Doc. List and/or Doc. Type List. Also, when a transmittal is received, the documents are listed and identified.
2.11B		2. (Deficient) - Revision or addition to a package once microfilmed is not adequately covered in any of the implementing procedures. Reference PMPM-8-103, para. 6.6.
2.11B		3. (Accept) - Data collection is covered in 8-103, para. 6.1 and DI 72122.

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2.11B		4. (Deficient) - Storage does not meet the intent of a NQA-1 and has been identified by DOE.
2.11B		5. (Accept) - Location is covered in PMPM-8-103.
2.11B		6. (Accept) - Retrievability of material is covered in PMPM-8-103, para. 6.5.1.
2.11B		7. (Deficient) - They have one governing procedure which generally identifies the requirement of Records Management. They need to make their Desk Instructions as implementing procedures because they delineate requirements and accept/reject criteria, and the instructions are sometimes vague in detail.
2.11B	c) DOCUMENT CONTROL	c) DOCUMENT CONTROL
	1. How does the initiating organizaiton use the document management system to input and obtain current document status?	1. (Deficient) - Proc. PMPM-8-121 "Receipt" and PMPM 8-126 "Document Request Forms" will be revised to include the requirement of controlling the "Master List" and "Controlled Document List" which will address the contents of this question.
2.11B	2. How are document deficiencies managed? Do they have an automated system or controlled logs, etc.?	2. (Deficient) - Presently there is no log or system for this activity, however, they do plan to include this into the next revision of PMPM-8-121. Also a Desk Instruction will be initiated for the detailed instructions.
2.11B	3. How is the integration of the document	3. (Deficient) - The "Controlled Document List,"

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	management system accomplished between the participants, DOE, and internal departments within Rockwell?	the "Master List", and the "Action Tracking Log" presently are not adequately controlled for project usage. The procedures require a revision to support this effort.
2.11B	4. Are the above requirements delineated in implementing procedures?	4. (Deficient) - No. See the above comment.
2.11B	5. Are all automated Programs and/or manual information systems properly identified in implementing procedures?	5. (Deficient) - No. See the above comment.
2.11B	6. How are comments processed during the review cycle of approving documents managed and retained?	6. (Accept) - Yes. Covered in PMPM-8-121 "Receipt Control," para. 6.8.
2.11B	7. Does Rockwell Document Control (DC) properly define the process of incorporating changes, updating the Master Document List and other logs? How are changes to controlled documents approved?	7. (Deficient) - No. Presently there is not a method of updating and tracking changes which require input into the logs or lists. This will be added to the new revision of PMPM-8-121.
2.11B	8. How are documents distributed and changes made to copyholder documents? Is there a distribution list, and how is this controlled and monitored?	8. (Deficient) - PMPM-8-125 and PMPM-8-126 address these activities and should be satisfactory once they implement the Engineering and Science portion of the Controlled Distribution. Must Consider Vendor Document
2.11B	9. How are incoming and outgoing documents processed when they are not considered a controlled document?	9. (Accept) - This activity is addressed in PMPM-8-121, where all documentation received is via transmittal or by means of correspondence. Documents that require no "control" are sent to BRMC for storage.
2.11B	10. Are the non-controlled documents entered into	10. (Accept) - Yes. All correspondence or

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	a management system for retrievability and retention?	uncontrolled documents are encoded to the data base and retained in BRMC. See Correspondence Control, PMPM-8-101.
2.11B	11. Does Rockwell have an IRM system for Commitment Action Tracking? Is this procedure released and adequate for this activity?	11. (Accept) - Yes. PMPM-1-111 adequately describes this system.
2.11B	12. Does Rockwell have implementing procedures for the above two items and are they released?	12. (Accept) - Yes. See the above comments.
2.11B	13. Does Rockwell acknowledge receipt of documents transmitted, and how is this accomplished?	13. (Accept) - Yes. Receipt acknowledgment is addressed in para. 6.2 of PMPM-8-125 "Document Distribution and Update Control."
2.11B	14. Are design documents, procedures, and specifications controlled with proper stamps and identified by copyholders?	14. (Accept) - Yes. This is identified in PMPM-8-133, para. 5.8 and 5.9.
2.11B	15. How does Rockwell determine if documents are quality related, and do they need QA concurrence?	15. (Deficient) - The originating department identifies if QA concurrence is required and DCC is keyed by the Document Request Form (PMPM-8-126, Figure 1). However, there is no system to coordinate the overall system of receiving and retaining comments made to documents and procedures. Verification of comment resolution and approval should be tracked.
2.11B	d) QUALITY ASSURANCE	d) QUALITY ASSURANCE
	1. What systems for Information Management has Rockwell identified for QA?	1. (Deficient) - They have identified the Trend Analysis System which will be controlled by QA.

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		However, they need to address a system for evaluating any DOE imposed criteria either initially or imposed during site characterization for possible impact to existing procedural requirements. There should be a procedure for the Quality Assurance Procedure Index (QAPI) which identifies how planned and executed requirements are incorporated into applicable procedures.
2.11B	2. Are implementing procedures generated for these systems? Have they been released?	2. (Deficient) - Yes, however, they are still in draft and have not been approved. They will need to add the requirements of the above comment.
2.11B	3. Is there a system for Trend Analysis, and how is it utilized?	3. (Deficient) - PMPM 4-111 "QA Trend Analysis" states that it applies to Audits, Surveillances, CARs and NCRs. PMPM 4-104 "QA Audits" does state that Audit Reports will be trended per PMPM 4-111 and also list it in the reference section. However, the distribution section does not list the trending organization. PMPM 4-103 "BWIP QA Surveillance Activities" makes no reference at all to PMPM 4-111. The PMPMs for CARs-NCRs are not yet approved.
2.11B	4. Is there a system for Deficiency Tracking, and how is it utilized?	4. (Deficient) - Deficiency Tracking System - PMPM 1-111 "BWIP Action Tracking System" states that it applies to Audits, Surveillances, Corrective Action Requests, and Nonconformance Reports. However, PMPM 4-104 "QA Audits" and PMPM 4-103 "BWIP QA Surveillance Activities" do not address this activity. They also do not even reference PMPM 1-111. PMPMs for NCRs and CARs are not yet approved.

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2.11B	5. Is there a management system for Vendor qualification, and who controls the system? Is it identified in implementing procedures and released?	5. (Accept) - The system in place for this activity is the Procurement and Assistance Data System (PADS).
2.11B	6. Is there a management system for Equipment storage and maintenance?	6. (Accept) - There is not a management system for storage and maintenance because the subcontractors perform their own and we are still in the R&D phase where material is very limited.
2.11B	7. Is there a management system for In-service Inspection?	7. DEFICIENT ~~(Accept) - There is not a system for in-service inspection as of this date because they perform surveillances, and an indepth system is not required because of the limited activity.~~ REEVALUATION SHALL BE PERFORMED FOR REV. 1. EJP 3/30/87
2.11B	8. Is there a management system for Special Processes?	8. (Deficient) - Presently, Engineering or QA has not identified any activities as a special process. RE-EVALUATION TO BE PERFORMED FOR REV. 1. EJP 3/30/87
2.11B	MOVE TO PG. 1 e. How are Vendor, DOE and Rockwell deliverables managed to and from the Integrating Contractor (IC)?	9. ~~(Accept)~~ - See Item e. 2.11B, Question 15. ~~DEFICIENT REEVALUATION TO BE PERFORMED FOR REV. 1~~ REVISED BY BILL ALEXANDER EJP 3/30/87
2.11B	e) PROCUREMENT CONTROL	e) PROCUREMENT CONTROL
	1. What DOE-4700 mandated plan does the BWIP Integrating Contractor (IC) use to provide procurement management, information and tracking of specific procurement action?	1. (Accept) - Advance Procurement Plan EJP 3/31/87
2.11B	2. What Information Management System is in place to assure that ANSI/ASME source documents invoked by the BOARD are used to meet and clarify the 18 Criteria	2. (Accept) - PMPM-6-112 and PMPN-6-115.

(Deficient) There are no procedures in place which require identification and management of deliverables (software and hardware) between DOE the IC and other Project Participants. The vendor submission to DOE where the IC will be satisfied when this system is in place

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	of 10CFR50, Appendix B, and includes specific requirements related to procurement?	
2.11B	3. In addition to the general procurement requirements, ~~what~~ other DOE orders govern procurement of ADP equipment and resources? (RHO Procedures Recognize The need to comply with which)	3. (Accept) - DOE-1360.1, RL-1360.1A, DOE N 1360.3. CTH 3/31/87
2.11B	4. How ~~What~~ does RHO comply with NQA-1 ~~NQA-1 require~~ to assure a systematic approach to the procurement process.	4. (Accept) - Procedures Require that activities be planned and documented. RHO PROCEDURES will be added in Rev. 1. CTH 3/31/87
2.11B	5. ~~What degree~~ Are the procurement document change controls ~~does~~ required by NQA-1, supplement 4S-1 imposed?	5. (Deficient) - By procedure it should be the same as utilized in the preparation of the original document, i.e., change control, design control and configuration management interfaces as appropriate. However, the ~~is not being accomplished~~ procedure is not being implemented. CTH 3/31/87
2.11B	6. Is the system in place to manage the preparation, review, approval and maintenance of procurement plans for BWIP?	6. (Accept) - PMPM 6-112.
2.11B	7. Is the system in place to manage the preparation, review, approval and revision, where necessary, of procurement documents?	7. (Accept) - PMPM 6-114.
2.11B	8) Is there a procedure on procurement document preparation and controls that ensures that applicable regulatory requirements, design bases, and other requirements necessary for adequate quality are either included or referenced in the procurement documents?	8. (Accept) - Yes. Procedure number will be added in Rev. 1. CTH 3/31/87
2.11B	9. Is there a Rockwell BWIP procedure for a	9. (Accept) - Yes. PMPM 6-115.

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	procurement management system to be used in the procurement of material, equipment, or services by Rockwell, including the interface with the procurement processor of other BWIP major project participants (MPPs)? If yes, what is the procedure number?	
2.11B	10. Does the procurement information documentation system (PIDS) provide requisition number, description, estimated value, quote due date, purchase order number, issue date, vendor promise date, vendor, and status of procurement, including receipt of deliverables?	10. (Accept) - Yes.
2.11B	11. Does Rockwell PMPM 6-116 define vendor documentation requirements, including processing and submittal, to document control unit?	11. (Accept) - Yes.
2.11B	12. What Rockwell document establishes the requirements and responsibilities for procurement management interfacing activities with major project participants by ~~BWIP~~ RHO acting as the Integrating Contractor?	12. (Accept) - PMPM 6-117.
2.11B	13. What procedure establishes the requirement and responsibility for the BWIP procurement process for equipment, materials, and services?	13. (Accept) - PMPM 6-120.
2.11B	14. Is there a system in place which manages the performance verification requirements?	14. ~~(Accept)~~ DEFICIENT - PMPM 6-120. REEVALUATION OF REVALUATION IN RESPECT TO ACCEPTANCE CRITERIA WILL BE PERFORMED FOR REV. 1. 3/30/8
2.11B	15. Is there a system in place which manages the	15. (Accept) - PMPM 6-121. However, See Document Control System.

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	approval and control of vendor deliverables?	
2.11B	16. What procedure describes the requirement for the preparation, maintenance, and use of ~~Vendor Supplied~~ ~~Documentation~~ data requirements specifications (DRSs) which are used as the requirement ~~procurement~~ documents? for VENDOR supplied	16. (Accept) - PMPM 6-112.
2.11B	17. Is there a system in place for managing supplier deviation requests (SDRs)?	17. (Accept) - PMPM 6-123.
2.11B	18. Is there a system in place for managing the shipping and storage of BWIP quality related materials and equipment?	18. (~~Accept~~) - PMPM 6-119. REEVALUATION will be PERFORMED FOR REV. 1. CTHP 3/30/87
2.11B	19. What procedure defines requirements and responsibilities for receiving, nonconformance segregation, and delivery of material and equipment ordered for BWIP?	19. (Accept) - PMPM 6-125.
2.11B	f) MEASUREMENT AND TEST EQUIPMENT	f) MEASUREMENT AND TEST EQUIPMENT
	1. Is there an information system which inventories all instruments that require calibration and identifies the status of each piece of test equipment, instruments, measuring device, sensors, gauges, etc.?	1. (Deficient) - RHO is currently putting together a list of all instruments that require calibration. ~~Mr. Doug Price is building the list on a Personal Computer, with unauthorized software. The software is not QA approved.~~ The computer record contains fields for Record Number, BWIP Identification Number, Instrument Name, Description, Westinghouse Lab Number, Serial Number. He will add other fields to the record as required. CTH 3/30/87

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		Also, they are currently ensuring that the preassigned number (BWIP No.) is associated with the correct equipment. An inventory starting this week (2/23/86) is scheduled for completion in 30 days.
2.11B	2. Is there a list which identifies the location of all the above equipment and equipment usage and recalibration due dates?	2. (Deficient) - The location list of equipment is being assembled but is not yet fully usable. PMP 07-108 covers equipment usage PMP 07-112 covers required location list PMP 07-111 (in review) covers calibration dates The Calibration Control Authority (CCA) of each department is charged with writing Technical Operating Procedure (T.O.P.) covering the location of equipment in his/her domain. These T.O.P.s are due 90 days from 12-23-86.
2.11B	3. Is there a system that identifies equipment requiring calibration and provides notification of recall to equipment holders, which specifies the due dates?	3. (Accept) - Yes. Westinghouse maintains due dates system. Westinghouse notifies Rockwell BWIP Calibration Coordinator of due date. RBCC notifies CCA who boxes the instrument, if possible, and forwards it to the proper lab for calibration. Procedure PMP 07-111 (in review) covers re-calibration dates.
2.11B	4. Is there a system which notifies the user of specified equipment which fails calibration? Does the user perform an investigation and evaluation of accepted results on material of an out-of-calibration instrument to determine its disposition?	4. a. (Accept) - Westinghouse notifies RBCC of calibration failure of Rockwell's equipment or Westinghouse's equipment. b. (Accept) - Upon notification the Test Control System manager is responsible for determining

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		and evaluating results of material of an out-of-calibration instrument utilizing the test log. Reference: PMPM-7-119, Appendix "A".
2.11B	5. Is there a deficiency list of all out-of-calibration equipment and instrument to determine its disposition?	5. a. (Deficient) - There is no deficiency list of out-of-calibration equipment. A report is prepared which is instrument specific, but not placed on a list. b. (Accept) - When an instrument is found or suspected to be non-conforming, an Interim Problem Report (IPR) for that instrument is prepared. The IPR is used by the Test Control manager to determine non-conformance. If the instrument is found to be non-conforming, ~~in the tolerance range,~~ a Non-Conformance Report (NCR) is prepared. EHP 3/30/87
2.11B	6. Is there a non-data instrumentaton and equipment identification system which indicates that no calibration is required?	6. (Deficient) - They have not addressed this issue in the present implementing procedures. However, they do plan to address this requirement in the next revision.
2.11B	7. Is there a system for tagging or segregating equipment or instrumentaiton which is not within the calibration tolerances?	7. (Accept) - There is a methodology, covered by PMP 07-112, which calls for tagging all instrumentation not within calibration tolerances. If equipment is movable, it is removed and segregated; if not movable, it is just tagged. All tagged instrumenation is covered by an NCR for follow up.
2.11B	8. Are there implementing procedures for the above requirements, and have they been released?	8. (Accept) The following procedures cover calibration

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2.11B	g) TECHNICAL DATABASE 1. Does Rockwell have Information Management Systems in place which will satisfy the needs of technical data users? ~~I.e. DATABASE~~ EMP 4/3/87	1. (Deficient) - The Technical Data Base (TDB) for test data supports the Site Analysis Group and Field Test Groups. The only access to this information is by computer terminal which has an access code and ID No. for entry. The users may print any required information stored. Meantime (without approved procedures) the software for TDB is being controlled by a Data Base Administrator who makes changes to the software by retaining a copy before a change and after a change which is sent to BRMC. Also, monthly the data is backed-up and sent to BRMC. However, the Configuration Management Department is also developing a TDB for overall requirements that has not been completed. These two data bases need to be described and intergrated into procedures. EMP 4/8/87
2.11B	2. How is data obtained and entered into these systems?	2. (Deficient) - Final Data Base is controlled by the DBA for data entry and software changes. The input is performed by the Working Data Base scientist and, once final, he transfers it to the Final Data Base, at which time the DBA has the responsibility to save/approve data and copy for BRMC. See comment above for Configuration Management. (i.e. the methods in updates minutes) EMP 4/8/87
2.11B	3. How is this informaiton controlled and verified?	3. (Deficient) - It is controlled by copying and sending the information to BRMC as stated above. The verification is performed by the scientist or user. ~~which~~ Verification will also be checked by the Final Data Base Administrator. Procedure for this activity is in draft and will be submitted later. Also, this requirement needs to be addressed in the applicable Configuration Management Procedures. EMP 4/8/87

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2.11B	4. Is this data made available to the users? In a timely manner?	4. (Deficient) - See comment to Item #1.
2.11B	5. How are changes to this data controlled?	5. See comments to Items #1 & #2.
2.11B	6. Are there existing procedures adequately addressing these activities?	6. (Deficient) - Procedures are presently being developed and will be submitted in approximately 30-60 days from 2-23-87 for Test Data. Also, Configuration Management should revise their procedures to include the above items.
2.11B	7. Are these procedures being implemented?	7. (Deficient) - See comment to Item #6.
2.11B	h) INTEGRATION OF INFORMATION SYSTEMS 1. Is ~~the~~ there a master list(s) of ~~utilized by all~~ Information Management Systems. ~~as part of the verification process.~~ EMP 4/8/87	1. a. (Deficient) - There is a master index in all manuals listing all procedures and their current revisions. However, they have not listed the Information Systems required for restart. b. (Deficient) - A Project Directive was issued to utilize the Control ~~Master~~ Document List. However, it is still in process and presently inadequate. It is not expected to include a list of management systems. EMP 4/8/87 EMP 4/8/87 c. (Deficient) - All systems are to share a common data base. So, although there may be multiple printouts available in different formats, the information will be the same. However, there are no integration requirements specified in the procedures.
2.11B	2. Have the Information Systems which need to be available to participating contractors and	2. (Deficient) - To date there has been no formalized correspondence to any contractors. It is

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	sub-contracotrs been identified?	the intent of the Information System Management Plan to make all contractors aware of the available systems so they can identify their needs. However, this plan (IRmP) is still in draft form.
2.11B	3. Is there a controlled distribution to assure that correct and up-to-date information is being received by these organizations?	3. (Deficient) - This is the same as the answer to No. 2. To date there is nothing.

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2.11B	2. Have the Information Systems which need to be available to participating contractors and sub-contracotrs been identified?	2. (Deficient) - To date there has been no formalized correspondence to any contractors. It is the intent of the Information System Management Plan to make all contractors aware of the available systems so they can identify their needs. However, this plan (ISMP) is still in draft form.
2.11B	3. Is there a controlled distribution to assure that correct and up-to-date information is being received by these organizations?	3. (Deficient) - This is the same as the answer to No. 2. To date there is nothing.
2.11B	4. Is there a plan to assure that all personnel with a "need to know" are made aware of all existing Information Systems and how to obtain data?	4. (Deficient) - To date nothing has been published to accomplish this objective. It is intended that this will be accomplished through workshops and publication of the Information Systems Management Plan. However, as stated before, this document is still in draft form.

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2.11	INFORMATION MANAGEMENT SYSTEMS TO SUPPORT THE WORK MUST BE IDENTIFIED AND IN PLACE. Questions:	Information Management Systems required for restart were not identified and those evaluated had substantial deficiencies as described below:
2.11	a) Is there a Configuration and Change Control System developed by Rockwell?	a) (Deficient) - PMPM-5-101, Identifies Change Control; they utilize Design Field Changes (DFCs) for Field Changes and Engineering Orders (EOs) for overall Design and As-Built changes. However, they have an automated "Configuration Summary" which identifies Dwgs, Specs. changes, etc., for project use. This summary is not controlled by an implementing procedure and there are deficiencies within the summary. Also, there is no check and balance on block of numbers assigned to various organizations.
2.11	b) Are the applicable procedures for the above mentioned system approved and released?	b) (Accept) - PMPM-5-101, Rev. 1 (Released).
2.11	c) Has Rockwell identified a Disaster Recovery and Contingency Plan in the IRM Execution Plans?	c) (Accept) - RHO has not adequately addressed these items and the Execution Plan was not approved by DOE. RHO has stated that this Plan is not required for restart. This is not needed provided the information systems are in place & BACKUP FOR DATA LOSS IS IN PLACE.
2.11	d) Has "Security," (as identified in the IRMP) been properly addressed in the IRM Execution Plan?	d) (Accept) - It is identified in the Execution Plan (DRAFT) from Rockwell. This is not essential to restart provided the system is in place. EHO 3/30/87
2.11A	ANNEXES TO THE IRMP	

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2.11A	a) Software Management Plan - Is this plan approved and released?	a) (Deficient) - In DOE review cycle as of 3/2/87. [ref. DOE-RL-86-04] NOTE: This plan is required for restart.
2.11A	b) Configuration Managment Plan - Is this plan approved and released?	b) (Deficient) - In DOE review cycle as of 3/2/87. NOTE: This plan is required for restart.
2.11A	c) Management Integration Plan - Is this plan approved and released?	c) (Deficient) - Disapproved as of 3/2/87. NOTE: This plan is required for restart.
2.11B	QUESTIONS:	
2.11B	a) CONFIGURATION MANAGEMENT	a) CONFIGURATION MANAGEMENT
	1. Has the configuration management system been identified by Rockwell?	1. (Deficient) - No. Not included in the Restart Package.
2.11B	2. Does Rockwell have implementing procedures for the above item and have they been released?	2. (Deficient) - Not all have been approved, and they still need to develop some implementing procedures, i.e., "Configuration Summary," "In Process Review and Change Control Summary," "Procurement Interface," "Configuration Audits."
2.11B	3. Is there a configuration change control system in place and operable by Rockwell? Who is responsible for keeping it current?	3. (Deficient) - "See above comment" - Also, Design sends DFCs and EOs to Document Control and they are responsible for including them into the Configuration Summary. This procedure is not approved.

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2.11B	4. Has Engineering developed a system for identifying quality levels of items and activities? Is there an implementing procedure delineating the requirements of this system?	4. (Deficient) - PMPM-4-121 "Graded QA" - However, they have not completed an adequate up-to-date Q-List or Quality level summary for equipment and activities.
2.11B	5. Is there a system in place to manage a Q-List and Quality Levels? Is this system automated? How is it maintained, controlled, updated and distributed?	5. (Deficient) - This system is in process of being developed. However, they have not scoped out those activities or items with Q-levels to support lifting of stop work.
2.11B	6. Who has the responsibility of providing input, incorporating changes and controlling the Q-List records system?	6. (Accept) - The Science and Engineering Department is responsible for changes and controlling the Q Lists. Initial evaluations are performed by the QEB or Technical Review Board (TRB).
2.11B	7. Is the IRM process of the Quality Levels controlled by implementing procedures and are they released?	7. (Accept) - Yes. PMPM 4-121 is approved and released.
2.11B	8. How are samples, tests, drawings, components, equipment, facility, mine locations, etc. uniquely identified? Are procedures in place and are the systems integrated with other contractor unique identifiers?	8. (Deficient) - The unique identifiers are controlled by a series of reports and logs which are utilized throughout the project. However, they do not include all the proper interfaces, i.e., Document Control and Participating Contractors, subcontractors, etc. Reference PMPM-5-102, para. 4.4 and 6.2.
2.11B	9. Do the Configuration Management (CM) Plan or implementing procedures properly address the control of vendors and subcontractors?	9. (Deficient) - See the above comment.

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2.11B	10. How are the documents which are required for the Technical Baseline controlled and managed?	10. (Deficient) - They are controlled by Document Control which will address these reports and logs in PMPM-8-121 once it is revised and released.
2.11B	11. Is there a system in place to manage in-process changes of the Technical Baseline?	11. (Deficient) - This is identified in PMPM-5-102, however, the procedure is inadequate, i.e., it does not require identification of all affected documents. The procedure is being revised to incorporate the deficiencies.
2.11B	QUESTIONS:	
	b) RECORDS MANAGEMENT	
2.11B	1. Does Records Management provide for identification, revision, data collection, storage, location, retrievability of records and material in accordance with NQA-1? Are there implementing procedures addressing these activities?	b) The following is a detailed explanation of this question broken down into key items or activities: 1. (Accept) - Identification of records is either predetermined by being listed on the Master Doc. List and/or Doc. Type List. Also, when a transmittal is received, the documents are listed and identified.
2.11B		2. (Deficient) - Revision or addition to a package once microfilmed is not adequately covered in any of the implementing procedures. Reference PMPM-8-103, para. 6.6.
2.11B		3. (Accept) - Data collection is covered in 8-103, para. 6.1 and DI 72122.

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2.11D		4. (Deficient) - Storage does not meet the intent of a NQA-1 and has been identified by DOE.
2.11B		5. (Accept) - Location is covered in PMPM-8-103.
2.11B		6. (Accept) - Retrievability of material is covered in PMPM-8-103, para. 6.5.1.
2.11B		7. (Deficient) - They have one governing procedure which generally identifies the requirement of Records Management. They need to make their Desk Instructions as implementing procedures because they delineate requirements and accept/reject criteria, and the instructions are sometimes vague in detail.
2.11B	c) DOCUMENT CONTROL	c) DOCUMENT CONTROL
	1. How does the initiating organizaiton use the document management system to input and obtain current document status?	1. (Deficient) - Proc. PMPM-8-121 "Receipt" and PMPM 8-126 "Document Request Forms" will be revised to include the requirement of controlling the "Master List" and "Controlled Document List" which will address the contents of this question.
2.11B	2. How are document deficiencies managed? Do they have an automated system or controlled logs, etc.?	2. (Deficient) - Presently there is no log or system for this activity, however, they do plan to include this into the next revision of PMPM-8-121. Also a Desk Instruction will be initiated for the detailed instructions.
2.11B	3. How is the integration of the document	3. (Deficient) - The "Controlled Document List,"

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	management system accomplished between the participants, DOE, and internal departments within Rockwell?	the "Master List", and the "Action Tracking Log" presently are not adequately controlled for project usage. The procedures require a revision to support this effort.
2.11B	4. Are the above requirements delineated in implementing procedures?	4. (Deficient) - No. See the above comment.
2.11B	5. Are all automated Programs and/or manual information systems properly identified in implementing procedures?	5. (Deficient) - No. See the above comment.
2.11B	6. How are comments processed during the review cycle of approving documents managed and retained?	6. (Accept) - Yes. Covered in PMPM-8-121 "Receipt Control," para. 6.8.
2.11B	7. Does Rockwell Document Control (DC) properly define the process of incorporating changes, updating the Master Document List and other logs? How are changes to controlled documents approved?	7. (Deficient) - No. Presently there is not a method of updating and tracking changes which require input into the logs or lists. This will be added to the new revision of PMPM-8-121.
2.11B	8. How are documents distributed and changes made to copyholder documents? Is there a distribution list, and how is this controlled and monitored?	8. (Deficient) - PMPM-8-125 and PMPM-8-126 address these activities and should be satisfactory once they implement the Engineering and Science portion of the Controlled Distribution. Must Consider Vendor Documents.
2.11B	9. How are incoming and outgoing documents processed when they are not considered a controlled document?	9. (Accept) - This activity is addressed in PMPM-8-121, where all documentation received is via transmittal or by means of correspondence. Documents that require no "control" are sent to BRMC for storage.
2.11B	10. Are the non-controlled documents entered into	10. (Accept) - Yes. All correspondence or

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	a management system for retrievability and retention?	uncontrolled documents are encoded to the data base and retained in BRMC. See Correspondence Control, PMPM-8-101.
2.11B	11. Does Rockwell have an IRM system for Commitment Action Tracking? Is this procedure released and adequate for this activity?	11. (Accept) - Yes. PMPM-1-111 adequately describes this system.
2.11B	12. Does Rockwell have implementing procedures for the above two items and are they released?	12. (Accept) - Yes. See the above comments.
2.11B	13. Does Rockwell acknowledge receipt of documents transmitted, and how is this accomplished?	13. (Accept) - Yes. Receipt acknowledgment is addressed in para. 6.2 of PMPM-8-125 "Document Distribution and Update Control."
2.11B	14. Are design documents, procedures, and specifications controlled with proper stamps and identified by copyholders?	14. (Accept) - Yes. This is identified in PMPM-8-133, para. 5.8 and 5.9.
2.11B	15. How does Rockwell determine if documents are quality related, and do they need QA concurrence?	15. (Deficient) - The originating department identifies if QA concurrence is required and DCC is keyed by the Document Request Form (PMPM-8-126, Figure 1). However, there is no system to coordinate the overall system of receiving and retaining comments made to documents and procedures. Verification of comment resolution and approval should be tracked.
2.11B	d) QUALITY ASSURANCE	d) QUALITY ASSURANCE
	1. What systems for Information Management has Rockwell identified for QA?	1. (Deficient) - They have identified the Trend Analysis System which will be controlled by QA.

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		However, they need to address a system for evaluating any DOE imposed criteria either initially or imposed during site characterization for possible impact to existing procedural requirements. There should be a procedure for the Quality Assurance Procedure Index (QAPI) which identifies how planned and executed requirements are incorporated into applicable procedures.
2.11B	2. Are implementing procedures generated for these systems? Have they been released?	2. (Deficient) - Yes, however, they are still in draft and have not been approved. They will need to add the requirements of the above comment.
2.11B	3. Is there a system for Trend Analysis, and how is it utilized?	3. (Deficient) - PMPM 4-111 "QA Trend Analysis" states that it applies to Audits, Surveillances, CARs and NCRs. PMPM 4-104 "QA Audits" does state that Audit Reports will be trended per PMPM 4-111 and also list it in the reference section. However, the distribution section does not list the trending organization. PMPM 4-103 "BWIP QA Surveillance Activities" makes no reference at all to PMPM 4-111. The PMPMs for CARs-NCRs are not yet approved.
2.11B	4. Is there a system for Deficiency Tracking, and how is it utilized?	4. (Deficient) - Deficiency Tracking System - PMPM 1-111 "BWIP Action Tracking System" states that it applies to Audits, Surveillances, Corrective Action Requests, and Nonconformance Reports. However, PMPM 4-104 "QA Audits" and PMPM 4-103 "BWIP QA Surveillance Activities" do not address this activity. They also do not even reference PMPM 1-111. PMPMs for NCRs and CARs are not yet approved.

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2.11B	5. Is there a management system for Vendor qualification, and who controls the system? Is it identified in implementing procedures and released?	5. (Accept) - The system in place for this activity is the Procurement and Assistance Data System (PADS).
2.11B	6. Is there a management system for Equipment storage and maintenance?	6. (Accept) - There is not a management system for storage and maintenance because the subcontractors perform their own and we are still in the R&D phase where material is very limited.
2.11B	7. Is there a management system for In-service Inspection?	7. DEFICIENT - ~~(Accept) - There is not a system for in-service inspection as of this date because they perform surveillances, and an indepth system is not required because of the limited activity.~~ REEVALUATION SHALL BE PERFORMED FOR REV. 1. E H P 3/30/87
2.11B	8. Is there a management system for Special Processes?	8. (Deficient) - Presently, Engineering or QA has not identified any activities as a special process. RE-EVALUATION TO BE PERFORMED FOR REV. 1. E H P 3/30/87
2.11B	MOVE TO PG. 1 e. How are Vendor, DOE and Rockwell deliverables managed to and from the Integrating Contractor (IC)?	9. ~~(Accept)~~ - See Item e. 2.11B, Question 15. ~~DEFICIENT REEVALUATION TO BE PERFORMED FOR REV. 1.~~ REVISED BY BILL ALEXANDER E H P 3/30/87
2.11B	e) PROCUREMENT CONTROL	e) PROCUREMENT CONTROL
	1. What DOE-4700 mandated plan does the BWIP Integrating Contractor (IC) use to provide procurement management, information and tracking of specific procurement action?	1. (Accept) - Advance Procurement Plan E H P 3/31/87
2.11B	2. What Information Management System is in place to assure that ANSI/ASME source documents invoked by the BWARD are used to meet and clarify the 18 Criteria	2. (Accept) - PMPM-6-112 and PMPM-6-113.

(Deficient) There are no procedures in place which require identification and management of deliverables (software and hardware) between DOE the IC and other Project Participants. The vendor submission to DOE thru the IC will be satisfied when the [redacted] sys is in place

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	of 10CFR50, Appendix B, and includes specific requirements related to procurement?	
2.11B	3. In addition to the general procurement requirements, ~~what~~ other DOE orders govern procurement of ADP equipment and resources? (RHO Procedures Recognize the need to comply with which)	3. (Accept) - DOE-1360.1, RL-1360.1A, DOE N 1360.3. EHP 3/31/87
2.11B	4. How ~~What~~ does RHO comply with NQA-1 ~~NQA-1 require~~ to assure a systematic approach to the procurement process.	4. (Accept) - Procedures Require that activities be planned and documented. RHO PROCEDURES will be added in REV. 1. EHP 3/31/87
2.11B	5. Are the ~~What degree of~~ procurement document change controls required by ~~does~~ NQA-1, supplement 4S-1 imposed?	5. (Deficient) - By procedure it should be the same as utilized in the preparation of the original document, i.e., change control, design control and configuration management interfaces as appropriate. However, the ~~consistit being accomplished~~ procedure is not being implemented.
2.11B	6. Is the system in place to manage the preparation, review, approval and maintenance of procurement plans for BWIP?	6. (Accept) - PMPM 6-112. EHP 3/31/87
2.11B	7. Is the system in place to manage the preparation, review, approval and revision, where necessary, of procurement documents?	7. (Accept) - PMPM 6-114.
2.11B	8) Is there a procedure on procurement document preparation and controls that ensures that applicable regulatory requirements, design bases, and other requirements necessary for adequate quality are either included or referenced in the procurement documents?	8. (Accept) - Yes. Procedure number will be added in REV. 1. EHP 3/31/87
2.11B	9. Is there a Rockwell BWIP procedure for a	9. (Accept) - Yes. PMPM 6-115.

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	procurement management system to be used in the procurement of material, equipment, or services by Rockwell, including the interface with the procurement processor of other BWIP major project participants (MPPs)? If yes, what is the procedure number?	
2.11B	10. Does the procurement information documentation system (PIDS) provide requisition number, description, estimated value, quote due date, purchase order number, issue date, vendor promise date, vendor, and status of procurement, including receipt of deliverables?	10. (Accept) - Yes.
2.11B	11. Does Rockwell PMPM 6-116 define vendor documentation requirements, including processing and submittal, to document control unit?	11. (Accept) - Yes.
2.11B	12. What Rockwell document establishes the requirements and responsibilities for procurement management interfacing activities with major project participants by ~~BWIP~~ RHO acting as the Integrating Contractor?	12. (Accept) - PMPM 6-117.
2.11B	13. What procedure establishes the requirement and responsibility for the BWIP procurement process for equipment, materials, and services?	13. (Accept) - PMPM 6-120.
2.11B	14. Is there a system in place which manages the performance verification requirements?	14. ~~(Accept)~~ DEFICIENT - PMPM 6-120. REEVALUATION CAP WILL BE PERFORMED FOR REV. 1. REEVALUATION IN RESPECT TO ACCEPTANCE CRITERIA 3/30/87
2.11B	15. Is there a system in place which manages the	15. (Accept) - PMPM 6-121. However, See Document Control System.

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	approval and control of vendor deliverables?	
2.11B	16. What procedure describes the requirement for the preparation, maintenance, and use of ~~vendor supplied~~ ~~Documents~~ data requirements specifications (DRSs) which are used as the requirement ~~of procurement~~ documents? for VENDOR supplied	16. (Accept) - PMPM 6-112.
2.11B	17. Is there a system in place for managing supplier deviation requests (SDRs)?	17. (Accept) - PMPM 6-123.
2.11B	18. Is there a system in place for managing the shipping and storage of BWIP quality related materials and equipment?	18. (~~Accept~~) - PMPM 6-119. REEVALUATION will be PERFORMED FOR REV. 1. CTH 3/30/87
2.11B	19. What procedure defines requirements and responsibilities for receiving, nonconformance segregation, and delivery of material and equipment ordered for BWIP?	19. (Accept) - PMPM 6-125.
2.11B	f) MEASUREMENT AND TEST EQUIPMENT	f) MEASUREMENT AND TEST EQUIPMENT
	1. Is there an information system which inventories all instruments that require calibration and identifies the status of each piece of test equipment, instruments, measuring device, sensors, gauges, etc.?	1. (Deficient) - RHO is currently putting together a list of all instruments that require calibration. ~~Mr. Doug Price is building the list on a Personal Computer, with unauthorized software. The software is not QA approved~~. The computer record contains fields for Record Number, BWIP Identification Number, Instrument Name, Description, Westinghouse Lab Number, Serial Number. He will add other fields to the record as required. CTH 3/30/87

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		Also, they are currently ensuring that the preassigned number (BWIP No.) is associated with the correct equipment. An inventory starting this week (2/23/86) is scheduled for completion in 30 days.
2.11B	2. Is there a list which identifies the location of all the above equipment and equipment usage and recalibration due dates?	2. (Deficient) - The location list of equipment is being assembled but is not yet fully usable. PMP 07-108 covers equipment usage PMP 07-112 covers required location list PMP 07-111 (in review) covers calibration dates The Calibration Control Authority (CCA) of each department is charged with writing Technical Operating Procedure (T.O.P.) covering the location of equipment in his/her domain. These T.O.P.s are due 90 days from 12-23-86.
2.11B	3. Is there a system that identifies equipment requiring calibration and provides notification of recall to equipment holders, which specifies the due dates?	3. (Accept) - Yes. Westinghouse maintains due dates system. Westinghouse notifies Rockwell BWIP Calibration Coordinator of due date. RBCC notifies CCA who boxes the instrument, if possible, and forwards it to the proper lab for calibration. Procedure PMP 07-111 (in review) covers re-calibration dates.
2.11B	4. Is there a system which notifies the user of specified equipment which fails calibration? Does the user perform an investigation and evaluation of accepted results on material of an out-of-calibration instrument to determine its disposition?	4. a. (Accept) - Westinghouse notifies RBCC of calibration failure of Rockwell's equipment or Westinghouse's equipment. b. (Accept) - Upon notification the Test Control System manager is responsible for determining

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		and evaluating results of material of an out-of-calibration instrument utilizing the test log. Reference: PMPM-7-119, Appendix "A".
2.11B	5. Is there a deficiency list of all out-of-calibration equipment and instrument to determine its disposition?	5. a. (Deficient) - There is no deficiency list of out-of-calibration equipment. A report is prepared which is instrument specific, but not placed on a list. b. (Accept) - When an instrument is found or suspected to be non-conforming, an Interim Problem Report (IPR) for that instrument is prepared. The IPR is used by the Test Control manager to determine non-conformance. If the instrument is found to be non-conforming, ~~in the tolerance range~~, a Non-Conformance Report (NCR) is prepared. EHP 3/30/87
2.11B	6. Is there a non-data instrumentaton and equipment identification system which indicates that no calibration is required?	6. (Deficient) - They have not addressed this issue in the present implementing procedures. However, they do plan to address this requirement in the next revision.
2.11B	7. Is there a system for tagging or segregating equipment or instrumentaiton which is not within the calibration tolerances?	7. (Accept) - There is a methodology, covered by PMP 07-112, which calls for tagging all instrumentation not within calibration tolerances. If equipment is movable, it is removed and segregated; if not movable, it is just tagged. All tagged instrumenation is covered by an NCR for follow up.
2.11B	8. Are there implementing procedures for the above requirements, and have they been released?	8. (Accept) The following procedures cover calibration

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		PMP 07-108 (governing procedure) PMP 07-109 PMP 07-110 PMP 07-111 (in review) PMP 07-112 PMP 07-113 (release date is 2/25/87) The PMPs are not in general use during shut down.
2.11B	g) TECHNICAL DATABASE 1. Does Rockwell have Information Management Systems in place which will satisfy the needs of technical data users? Hold LOOK AT SAMP REQ'ts 4-13 & 4-14	1. (Accept) - The Technical Data Base supports the Site Analysis Group and Field Test Groups. The only access to this information is by computer terminal which has an access code and ID No. for entry. The users may print any required information stored. Meantime (without approved procedures) the software for TDB is being controlled by a Data Base Administrator who makes changes to the software by retaining a copy before a change and after a change which is sent to BRMC. Also, monthly the data is backed-up and sent to BRMC.
2.11B	2. How is data obtained and entered into these systems?	2. (Accept) - Final Data Base is controlled by the DBA for data entry and software changes. The input is performed by the Working Data Base scientist and, once final, he transfers it to the Final Data Base, at which time the DBA has the responsibility to save/approve data and copy for BRMC.
2.11B	3. How is this informaiton controlled and verified?	3. (Accept) - It is controlled by copying and sending the information to BRMC as stated above. The verification is performed by the scientist or user

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		which verification will also be checked by the Final Data Base Administrator. Procedure for this activity is in draft and will be submitted later.
2.11B	4. Is this data made available to the users? In a timely manner?	4. (Accept) - See comment to Item #1.
2.11B	5. How are changes to this data controlled?	5. See comments to Items #1 & #2.
2.11B	6. Are there existing procedures adequately addressing these activities?	6. (Deficient) - Procedures are presently being developed and will be submitted in approximately 30-60 days from 2-23-87.
2.11B	7. Are these procedures being implemented?	7. (Deficient) - See comment to Item #6.
2.11B	h) INTEGRATION OF INFORMATION SYSTEMS	
	1. Is the master list(s) utilized by all Information Management Systems as part of the verification process.	1. a. (Deficient) - There is a master index in all manuals listing all procedures and their current revisions. However, they have not listed the Information Systems required for restart. b. (Deficient) - A Project Directive was issued to utilize the Control Master Document List. However, it is still in process and presently inadequate. c. (Deficient) - All systems are to share a common data base. So, although there may be multiple printouts available in different formats, the information will be the same. However, there are no integration requirements specified in the procedures.

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NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.11B	2. Have the Information Systems which need to be available to participating contractors and sub-contracotrs been identified?	2. (Deficient) - To date there has been no formalized correspondence to any contractors. It is the intent of the Information System Management Plan to make all contractors aware of the available systems so they can identify their needs. However, this plan (ISMP) is still in draft form.
2.11B	3. Is there a controlled distribution to assure that correct and up-to-date information is being received by these organizations?	3. (Deficient) - This is the same as the answer to No. 2. To date there is nothing.
2.11B	4. Is there a plan to assure that all personnel with a "need to know" are made aware of all existing Information Systems and how to obtain data?	4. (Deficient) - To date nothing has been published to accomplish this objective. It is intended that this will be accomplished through workshops and publication of the Information Systems Management Plan. However, as stated before, this document is still in draft form.

Rocky W. Crisp 5-6-87

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Signature: C.H. Peters Date: 5/6/87

NO.	CHECKLIST/QUESTIONS REV. 5	RESPONSE/REFERENCE REV. 1
2.12	A PROJECT HIERARCHY OF DOCUMENTS MUST BE ESTABLISHED AND RELEASED FOR PROJECT USE.	A top level project hierarchy has been established and included in the Restart Package. A released version will be included in the PMP.
	Questions:	
2.12	a) How are the lower tier documents (to a working level) identified and are they shown as subordinate to the PMP, SEMP and BQARD?	a) (Accept) - The have identified the higher level documents, and the lower level documents will be identified as they are initiated. The Hierarchy of Documents is identified in the (draft) PMP.
2.12	b) Is there a flow chart or matrix to define the level of responsibility for specific plans, procedures, and other documentation?	b) (Accept) - This is addressed in the SEMP and PMP.
2.12	c) How does Rockwell pass the requirements to other participating contractors?	c) (Accept) - This is accomplished through DOE, PMPM 6-101.
2.12	d) Has the hierarchy of documents been released?	d) (Accept) - The released version of the hierarchy of documents is included in the PMP.

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Signature: [illegible] Date: 4/13/87

[illegible] 4-13-87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 0
2.12	A PROJECT HIERARCHY OF DOCUMENTS MUST BE ESTABLISHED AND RELEASED FOR PROJECT USE. Questions:	A top level project hierarchy has been established and included in the Restart Package. A released version will be included in the PMP. This will be evaluated in Rev. 1.
2.12	a) How are the lower tier documents (to a working level) identified and are they shown as subordinate to the PMP, SEMP and BOARD?	a) (Accept) - They have identified the higher level documents, and the lower level documents will be identified as they are initiated. The Hierarchy of Documents is identified in the (draft) PMP. ~~Also, the PMP conflicts with the Restart Readiness Report.~~ EWP 4/13/87
2.12	b) Is there a Flow Chart or matrix to define the level of responsibility for specific plans, procedures, and other documentation?	b) (Accept) - This is addressed in the SEMP and PMP.
2.12	c) How does RHO pass the requirements to other participating contractors?	c) (Accept) - This is accomplished through DOE, PMPM 6-101.
2.12	d) Has the hierarchy of documents been released?	d) (Deficient) - ~~However,~~ The hierarchy of documents submitted in the RR Report conflicts with the (draft) PMP and this will be released as part of the (draft) PMP. EWP 4/13/87

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Signature: Marvin J. Furman Date: 5-15-87
EHP 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 0
2.13	THE TECHNICAL PLANS PROVIDED FOR IN THE HIERARCHY MUST BE REFERENCED IN THE APPROPRIATE ELEMENTS OF THE WBS DICTIONARY	Based upon a sample of 80 (out of 89), the Technical Plans are referenced in the WBS Dictionary. However, only 54 percent of the plans have been cross-indexed to the appropriate WBS element. Completion of the cross-indexing should be accomplished for each of the remaining 46 percent prior to starting work on the idividual plan. Appendix A, dated April 15, 1987, of the WBS Dictionary provides cost/scope estimate basis.
2.13	a) Has the WBS Dictionary been prepared?	a) Yes. Basalt Waste Isolation Project - WBS Dictionary. Prepared but not issued.
2.13	b) Is a list of all technical (engineering and study) plans provided?	b) Yes. A list of all engineering, study and management plans was provided. Eighty-nine technical plans were identified on this list dated 2/20/87.
2.13	c) Based on a selected number of technical plans (number TBD), how did Rockwell determine all work was covered? Is this considered adequate? Have Rockwell trace the path from the issues to the technical plans. Depending on the plans selected for the sample, may need assistance from others in BWIP to track the path of study plans. Acceptance criteria will be if reviewer can follow trace and whether all technical plans in the sample can be traced to their respective issues.	EHP 5/15/87 c) ~~Yes. (Open)~~ SINCE NO STUDY PLANS HAVE BEEN COMPLETED, THIS ITEM COULD NOT BE EVALUATED. GENERICALLY THE DETERMINATION OF WHETHER ALL WORK IS COVERED WILL BE DONE BY RELATING THE TECHNICAL PLANS BACK TO THE ISSUES. THIS IS APPROPRIATE FOR THE STUDY PLANS, BUT IT IS NOT CLEAR HOW THE RELATIONSHIP TO THE ENGINEERING PLANS WILL BE DEVELOPED. THE PATH FROM THE ISSUES, WHICH FORMULATED THE PERFORMANCE OBJECTIVES, GOES THROUGH SEC. 8.3 OF THE SCP WHICH DEVELOPED THE PARAMETERS/INFORMATION NEEDS NECESSARY TO SATISFY PERFORMANCE OBJECTIVES, AND THEN ON TO INVESTIGATIONS AND STUDY PLANS.
2.13	d) Have the technical plans undergone appropriate	d) None of the plans have been released ~~or~~ for review. EHP 5/15/87

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Signature: E. M. Peters Date: 5/15/87

NO.	CHECKLIST/QUESTIONS REV. 4	RESPONSE/REFERENCE REV. 0 M. J. Furman 5-15-87
	review by qualified individuals in accordance with Rockwell procedures and based on a sample (quantity TBD) of plans?	completed. Procedures are available to provide for the review. Procedures #2-102; 2-117; 3-111.
2.13	e) Are approved procedures available by which to break down the technical plans to appropriate work elements? Check for project office review and approval.	e) There are no approved procedures. Work is accomplished in accordance with a Letter Instruction _____.
2.13	f) Are all of the ~~test~~ TECHNICAL plans represented in the WBS? EMP 5/15/87	f) A sample of 80 plans was examined. Fifty-four percent are ~~correlated~~ CROSS-INDEXED with the WBS elements. Appendix A of the WBS, Cost/Scope Estimate Basis, contains a list of all of the 89 plans. The Appendix is organized by WBS element, but the matrix is still incomplete. Information must be added to the matrix that correlates a ~~test~~ (TECHNICAL) plan to the appropriate WBS element. EMP 5/15/87
2.13	g) Is the nomenclature in the WBS dictionary standardized?	EMP 5/15/87 g) Yes. The terminology used in the WBS Dictionary and Appendix A is consistent.

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Rev. No. _____

Walter G. Hedzik 3/31/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.14	CHARTERS, PLANS, MANUALS AND PROCEDURES MUST BE EVALUATED FOR CONSISTENCY WITH THE BWIP QUALITY ASSURANCE PLAN, REV. 1. WHERE DEVIATIONS OCCUR, ROCKWELL SHALL IDENTIFY THESE DEVIATIONS AND PROVIDE RECOMMENDATIONS AND SCHEDULE FOR RESOLUTION.	Same as 1.8.1-1, Category I. EHP 3/31/87
	Questions:	
2.14	a) Has Rockwell performed evaluations of their charters, plans, manuals and procedures to requirements of BWIP QA Plan, *Rev. 1?	
	* Per agreement DOE and RHO, latest revision can be used for evaluation, i.e., Rev. 2.	
2.14	b) How is this documented?	
2.14	c) Are there any variances to the BWIP QA Plan?	
2.14	d) Does the evidence address each of the items listed in the QA Plan?	
2.14	e) Did Rockwell provide a list of those items not addressed?	
2.14	f) Did Rockwell provide the basis for excluding items?	
2.14	g) Did Rockwell provide a plan for compliance?	

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Signature: Edgar St Peter Date: 3/31/87
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Kenneth D. Fife 3/31/87
Walter A. Helsel 3/31/87

NO.	CHECKLIST/QUESTIONS REV. 3	RESPONSE/REFERENCE REV. 0
2.14	h) Were all the imposed RL requirements and the OGR-3B and QA Plan, Rev. 1 covered in the matrix and included in the procedures?	
2.14	i) Have all the QAAPs been approved?	