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Section 1 of 2

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MANAGEMENT SELF ASSESSMENT PLAN

Prepared by:

Duke Engineering & Services Hanford, Inc.

For:

U.S. Department of Energy
Richland Operations Office
Richland, Washington

Prepared by:

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Management Self Assessment Plan

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Abstract: Duke Engineering & Services Hanford Inc., Spent Nuclear Fuel Project is responsible for the operation of fuel storage facilities. The SNF project mission includes the safe removal, processing and transportation of Spent Nuclear Fuel from 100 K Area fuel storage basins to a new Storage facility in the Hanford 200 East Area. Its mission is the modification of the 100 K area fuel storage facilities and the construction of two new facilities: the 100 K Area Cold Vacuum Drying Facility, and the 200 East Area Canister Storage Building. The management self assessment plan described in this document is scheduled to begin in April of 1999 and complete in May of 1999. The management self assessment plan describes line management preparations for declaring that line management is ready to commence operations.

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Date

Release Stamp

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LIST OF ABBREVIATIONS

BWP	B&W Protec, Inc.
CSB	Canister Storage Building
CVDF	Cold Vacuum Drying Facility
DESH	DE&S Hanford, Inc.
DOE	U.S. Department of Energy
DTS	Deficiency Tracking System
FDH	Fluor Daniel Hanford, Inc.
HATS	Hanford Action Tracking System
MSA	Management Self Assessment
ORR	Operational Readiness Review
POA	Plan of Action
RIMS2	Requirements Information Management System
RL	U.S. Department of Energy, Richland Operations Office
SAR	Safety Analysis Report
SAS	Safeguards and Security
SNF	Spent Nuclear Fuel
SNM	Special Nuclear Materials
S/RID	Standards/Requirements Identification Document
STRS	Spent Nuclear Fuel Technical Requirements System
TSR	Technical Safety Requirement

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MANAGEMENT SELF ASSESSMENT PLAN

1.0 INTRODUCTION

The DE&S Hanford, Inc., (DESH) Spent Nuclear Fuel Project (SNF) is responsible for the safe removal, processing, and transportation of spent nuclear fuel from the K Basins in the 100 K Area to the Canister Storage Building (CSB) in the 200 East Area. The Management Self Assessment (MSA) process verifies the readiness of the facilities and staff to operate KW Basin, the Cold Vacuum Drying Facility (CVDF), and CSB. When the MSA is completed, a Readiness-to-Proceed memorandum is prepared by DESH and delivered to the independent DESH-contracted Operational Readiness Review (ORR) Team Leader. The MSA Plan is based upon U.S. Department of Energy (DOE) Order 425.1, *Startup and Restart of Nuclear Facilities*; DOE Richland Operations Office (RL) Internal Directive RLID 425.1, *Startup and Restart of Facilities*; DOE-STD-3006-95, *Planning and Conduct of Operational Readiness Reviews (ORR)*; and HNF-PRO-055, *Startup and Restart of Facilities*. The MSA plan has two parts. First, the plan describes line management preparations to achieve operational readiness. Second, the plan describes the MSA that DESH management uses to declare readiness.

The plan contains the following:

- Description of the preparation by line management to achieve operation of the facilities.
- Requirements, actions, and acceptance evidence necessary to declare readiness.
- Guidelines for line management to assess field compliance.
- The process used by line management to determine that facilities, people, parts, paper and processes are ready for safe operation.
- Discussion of the tools that are available to assist line management in preparing for the MSA.

1.1 PURPOSE

This document defines the process SNF line management will use to ensure facilities,

management systems, people, parts, paper, and processes are ready so that fuel relocation operations can commence safely.

This plan uses the prerequisites contained within HNF-SD-SNF-POA-001, *Plan of Action for the Spent Nuclear Fuel Project Fuel Handling and Process Operations Operational Readiness Review*, which is the basis for the MSA objectives, criteria, action items, and acceptance evidence used to evaluate and document readiness.

1.2 APPROACH

Line management must first prepare the facilities, management systems, people, parts, paper and processes to operate. During this stage each line manager prepares and implements the necessary activities to achieve readiness. Also, self assessments are performed throughout the preparation period and corrective actions initiated and closed. The line manager may use existing assessments such as Standards/Requirements Identification Document (S/RID assessments), Integrated Safety Management System, Facility Evaluation Board, and ORR group self assessments to support the preparations. During this period line management completes the appraisal forms and evidence files (see Appendix C). Line management must demonstrate readiness and the ability to perform fuel relocation activities safely before the MSA can be started. The goal is to plan and complete activities that achieve readiness by mid-April 1999. This date allows time for completing the MSA. In addition, this date supports the scheduled startup date of July 30, 1999. (see Figure 1, Section 2)

After line management concludes the staff, parts and paper are ready, the MSA begins. This is a twenty working day verification and assessment performed by senior line management, which focuses on the integration of the requirements and the overall organization's ability to perform fuel relocation activities safely. The MSA verification and assessment period is conducted using a graded approach commensurate with risk. Risk is determined for each facility by :

- The items that are important to safety,
- The magnitude of the hazard involved,
- The life cycle stage of the facility,
- The programmatic mission of the facility, and
- The particular characteristics of the facility.

The graded approach is described in HNF-SD-SNF-POA-001 and is reflected in the MSA appraisal forms in Appendix C. Categories reviewed by the SNF project MSA are facilities, management systems, people, parts, procedures, processes, and paperwork.

Typical areas reviewed are as follows:

- Management systems are reviewed and are field-validated as being functional.
- People are interviewed and assessed for their knowledge and understanding in the following areas: S/RIDs, integrated safety management, conduct of operations, authorization basis, equipment usage, requirements, drills, hardware systems, and management systems. Reviews will be based on interviews and drill observation, as well as training record verification.
- Parts and process systems are reviewed in the following areas: design completion, construction, testing, maintenance, and spare parts.
- Procedures are reviewed in the following areas: operations, maintenance, surveillance, compliance and casualty/emergency planning.
- Processes are reviewed during design, testing, drills, and cold runs; management systems are also included.
- Corrective action management system is reviewed for effectiveness in accurately capturing, tracking, and closing findings.

The process looks at all of the items contained in the categories above in a performance-based format. For example, the MSA looks at S/RIDs implementation (see HNF-1721 for details) and confirms there are no unacceptable performance gaps between the procedures, management systems, and personnel. This is normally accomplished by a document review, interviews with personnel, and verifying in the field that personnel comply with the requirements and demonstrate satisfactory performance. Field verification will comprise more than 60% of the review while documentation and interviews will comprise about 40% of the review.

The bases for operations are the final Safety Analysis Report/Technical Safety Requirements (SAR/TSRs), permits, and S/RIDs. A major portion of the MSA assessment is to ensure procedures and training correctly incorporate these three types of authorization documents and that implementation matrixes are complete and accurate. Functional areas affected by the final authorization basis documents are training and qualification, procedures, staffing, operational surveillance, emergency preparedness, and conduct of operations.

1.3 RESPONSIBILITIES

Line management is responsible to complete the MSA appraisal forms and evidence files (see Appendix C). Line management includes both managers with direct operations responsibilities as well as key support managers. Each appraisal form is assigned to the responsible manager at the lowest level possible in the organization. Some forms by their nature, cannot be delegated below senior level management. Each package is required to contain the following information:

- Identification of the objective and criteria that must be met,
- A list of actions that require completion to satisfy the objective and criteria,
- The evidence that is required to support the conclusion that the activity is complete,
- Affidavit revision number for tracking purposes, taken from database record,
- Signature of preparer,
- Concurrence of cognizant manager,
- Copies of, or clear references to, objective evidence that satisfies completion (e.g., procedures, interviews, records, acceptance test plans). This becomes the evidence file,
- Statement that the MSA form was or was not satisfied and any items to be added to a punch list, if applicable, and
- Documentation of the walkdown process.

The SNF Project ORR group is responsible for the following activities:

- Developing and issuing the Plan of Action (POA),
- Developing and issuing the MSA appraisal forms,
- Developing and maintaining the MSA database system as described in Appendix B,

- Developing necessary plans, desk instructions, and procedures to define and control the MSA Process,
- Statusing and assessing successful completion of the Phase 1 and Phase 2 S/RID assessments for CSB and the CVDF/K Basins,
- Interfacing with the senior advisor, the independent ORR chair, and the Fluor Daniel Hanford, Inc. (FDH), managers responsible for site ORR coordination, as well as with those responsible for project-specific ORR activities,
- Conducting orientation briefings, with the assistance of the SNF Training and Procedures Team, for all SNF staff associated with the MSA activities,

Examples of specific training are presentations by the senior advisor to DESH, FDH, DOE, and support line management. Training of personnel in “boardmanship” and MSA expectations also is planned. This training allows personnel to gain experience in being interviewed,

- Providing guidance and training for line managers performing the validation to ensure that the team understands the level of detail and rigor that is expected,
- Reviewing each appraisal form for accuracy and completeness, including field verification, as well as reviewing the documentation, after line management submit them,
- Ensuring that a database administrator and clerical personnel are available for support, and
- Providing technical experts, as required, to review products, provide guidance to the line managers and their staffs, and to support line managers and their staffs understand the expectations for achieving readiness.

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2.0 SCHEDULE AND ACTIVITY SUMMARY

The MSA plan contains the schedule and performance criteria for achieving operational readiness. The MSA time line is shown below in figure 1.

DOE Order 425.1 specifies that a POA be prepared for startups requiring an ORR or a readiness assessment. The commitments between DESH, FDH, and DOE, defining the boundaries and criteria to be assessed for the ORR, are identified in the POA document. The SNF Project POA (HNF-SD-SNF-POA-001) contains the DOE core requirements that must be met, core objectives that the contractor is evaluated against during the ORR, and the prerequisites that line management must meet to commence the ORR, as well as the facility/systems to be addressed (boundary).

Figure 1. MSA Timeline

Detailed appraisal forms and the MSA preparation schedule will be placed under formal change control on February 12, 1998. Status of progress will begin at that time. The appraisal forms are in a specially established database (see Appendix B). The schedule for MSA preparations is part of the SNF formal schedule system. The time line requires planning, preparing, and completing activities that achieve operational readiness by mid-April 1999. This date allows time for completing the MSA and supports the scheduled startup date of July 30, 1999. Each line manager prepares and implements the activities necessary to achieve readiness and statuses the scheduled activities that are related to operational readiness.

Line management's completion of the operational preparations initiates the senior DESH management MSA process. See Section 3.0 for the major elements of the preparation and assessment process.

The MSA is a project wide performance based review of all management areas. The assessment ensures the specific areas reviewed demonstrate the required standards. The demonstrated performance-based assessment looks at all levels of management, engineering and facility workers. The assessment emphasizes field observations. Field observations ensure appropriate levels of performance are demonstrated. The emphasis of the MSA is ensuring that facilities will be operated safely and are capable of operating within the safety authorization basis. Senior DESH management will verify there have been field walkdowns of as-built drawings, labels, and nameplates. Senior DESH management will conduct personnel interviews to assess knowledge. Performance is based upon activities such as field observations of dry runs, operational procedures, operational drills, emergency drills, and training. Each line function needs to demonstrate that the line function team has the infrastructure and rigor to perform and support safe operations. See Section 4.0, for the process details. The MSA is conducted from April 20, 1999 to May 17, 1999. Appendix A provides the summary MSA schedule logic. The MSA requires 100% of the reviews to be completed prior to entering the independent ORR phase.

3.0 PREPARATION FOR OPERATIONS

Line management preparation includes procedure creation, training, testing new equipment and systems, as well as confirming that staff and paperwork are ready. Preparation includes gap analysis, determination of corrective measures, verifying the corrective measures are completed, assessment package preparation by the manager, and review by the SNF Project ORR Group.

MSA assessment forms (see Appendix C) containing the requirements, actions, and evidence used during the preparation and assessment period are completed by line management. This information is summarized in the MSA database with hard copies and supporting evidence filed in a central ORR source library. See Appendix B for more information on the MSA database. These forms are under change control after February 12, 1998, and will be updated as necessary through out the preparation process. The forms in Appendix C are revision "0." Managers must get the latest version from the database as it is not intended to update HNF-2039 each time appraisal forms change.

The preparation time period is February 12, 1998 to April 19, 1999. During this time frame a number of operational preparations and assessments will be performed. These include the S/RID Phase II assessments, Integrated Safety Management System evaluations, Facility Evaluation Board evaluations, DOE assessments, and assessments of each functional area by the SNF Project ORR group. These assessments look at the pieces of the operating process and provide information to line management on areas that need improvement prior to initiating the MSA. They may also identify additional actions required, resulting in controlled changes to individual appraisal forms. The MSA process, as described in section 4.0, addresses the complete project with its integrated systems.

If supporting documentation for the appraisal form evidence files is quite large and easily retrieved from a controlled system, a copy in the evidence package is not necessary, but copies of the cover and approval page and the path necessary to acquire the information must be contained in the validation package. An ORR data library will be established and maintained which will contain all the large documents referred to in the MSA validation packages. Hard copies of the validation packages and access to the electronic copies will also be maintained here.

The SNF Project ORR group assigns completed validation packages to reviewers independent of the preparing group. The reviewer reviews the validation package and determines if the line manager used the required approach(es) on the form and if the evidence presented supports the conclusions. This verification method includes, but is not limited to, activities such as:

- Checking and reviewing the documentation referenced in the package,
- Performing a select review of some of the conditions in the field (line management has completed a 100% review),
- Observing activities in the field and verifying performance (e.g., the performance of a specific procedure, dry run evolution, or drill),
- Interviewing select facility personnel to assess knowledge and understanding of processes, procedures, and training,
- Discussing the affidavit with the author and the responsible manager,
- Performing select procedure reviews, document reviews, interviews, and gathering other pertinent information for verification that assessment criteria are met, and
- Discussing and resolving findings with the author and the responsible manager.

All assessment forms will be independently verified as they come in for completeness, accuracy and adequacy.

The MSA review will begin when the MSA chair believes that sufficient areas and forms are complete. Though the plan is based on 100% being complete, the actual review may start with a small number of forms still in final verification.

The summary schedule logic is presented in Appendix A. A detailed MSA preparation schedule has been prepared and will be statused weekly. Schedule analysis is performed on critical path activities.

Training is a key element of preparation. The *Spent Nuclear Fuel Project Training Implementation Matrix* is the document that integrates training requirements with organizational groups and positions, defining specific training requirements for each job classification. It is scheduled to be updated in August 1998, to incorporate new project elements.

Procedure development and update is another key area. The process of procedure development, the priority for development, and a listing of associated procedures are identified in HNF-2108, *Spent Nuclear Fuel Project Procedure Plan*. Administrative procedures are being updated in accordance with the applicable S/RIDs and FDH requirements. The procedure process and the performance of procedures by personnel are reviewed in depth by the MSA.

A special startup team provides the necessary startup planning, testing, and documentation. The startup plan, HNF-SD-SNF-SUP-003, *Spent Nuclear Fuel Startup Plan*, contains the startup organization management structure, responsibilities, management control, procedures, test review board charter and membership, and other pertinent information related to startup activities.

DESH plans to perform a Safeguards and Security (SAS) operational evaluation prior to declaring readiness. This evaluation is to document and verify that SAS protection measures and procedures are in place to support the safe startup of fuel removal activities from the K Basins. The SAS evaluation is specifically excluded from the POA scope, as it has a separate DOE assessment process. However, it is still a key action prior to fuel movement authorization and is being tracked as part of MSA preparations. The SAS operational evaluation will be performed by DESH SAS, in conjunction with BW Protec, Inc. (BWP), and will consist of the following elements:

- Verification by DESH SAS and BWP personnel that approved security measures engendered from the K Basins vulnerability assessment and the security designs for the CSB and CVDF have been implemented.
- Completion of acceptance testing of the security systems (e.g. alarms, cameras, duress buttons) for the CVDF and CSB. The acceptance test will be conducted by B.P. and witnessed by DESH SAS.
- Verification by DESH SAS and BWP personnel that approved procedures are implemented for security control of the K Basins, CVDF, CSB, and for transportation of special nuclear material (SNM) to/from these facilities.
- Verification by the nuclear material custodian and BWP personnel that approved material control and accountability procedures are implemented for the K Basins, CVDF, CSB, and SNM in-transit.
- Verification by DESH SAS and BWP personnel that inspection and evaluation findings/concerns, that would delay startup, are closed/resolved.
- Verification by DESH SAS that any BWP, or RL SAS survey/audit findings or concerns, that may delay startup, have been closed/resolved.
- Review of Hanford Action Tracking System/Deficiency Tracking System (HATS/DTS) items by DESH SAS for verification that SAS-related items, which may delay startup, are resolved.

- Addition of any newly identified corrective actions to DTS and close out of these corrective actions before declaring readiness.
- Verification that any security maintenance work requests, which may impact security system performance and delay startup, have been resolved.

4.0 MSA ASSESSMENT PROCESS

The MSA will be performed by selected DESH senior managers, led by the Director, Operations. The SNF Project ORR group will provide administrative support.

The MSA is to start on April 20, 1999 and be completed May 19, 1999. The MSA consists of one week of review of the individual assessment packages and one week of field assessments. The remaining two weeks are scheduled for punchlist item resolution. The process can be modified by the chairman, but the process shall include the following:

- The SNF Project ORR group, working with line management, packages the appraisal forms by responsible manager.
- The responsible manager conducts a 30-45 minute presentation to the MSA team outlining how he/she assessed his/her area. The manager will briefly summarize the types of evidence and the organization of the information. A list of any open items will be presented to the MSA team. A question and answer period will follow the presentation.
- The MSA team will review the open items list for appropriateness and direct line managers to fix items. The SNF Project ORR group will maintain the open items and status any check list actions at the request of the MSA chairman.
- After the presentation, the manager will be dismissed and the MSA team will review the MSA appraisal forms and evidence. Then they will determine what specific area(s) the MSA team will check (i.e., review a specific procedure use, interview three operators, interview engineer). The MSA chairman will then assign MSA members specific actions to field assess.

This process is repeated until all areas are reviewed.

The MSA chairman, with the assistance of his/her members and the SNF Project ORR group, will issue a brief report to the Vice President and Project Director, SNF Project, which summarizes the reviews, field assessments, open actions and conclusions.

The MSA management team is responsible to perform the actions necessary to verify operational readiness. Team members are selected who have experience in the following areas: Operations, Maintenance, Health Physics, Nuclear Safety, Industrial Safety and Hygiene, Quality Assurance, and Engineering. At this time the MSA team is expected to serve as the Management Review Board (see Administrative Procedure AP 7-003). Final acceptance of the appraisal forms requires a Management Review Board quorum. The MSA team chairperson or alternate, is required to approve each appraisal form.

After the review, the team determines acceptance or rejection of individual assessment form packages. The MSA packages will be grouped by organization to facilitate a block of packages being reviewed at one time.

Acceptance:

- Assign findings, if applicable, to a punchlist or poststart item.

Rejection:

- Document reason for rejection on review forms.
- Return package to preparer with discussion of problem.

The preparer finalizes the package based on MSA team comments. The assessment package is approved by the MSA team chairman. The MSA is complete when all packages are approved.

4.1 PUNCHLIST ITEM RESOLUTION

The responsible line manager for each prestart and poststart punchlist item prepares an action plan for addressing the deficiencies identified in the specific finding. Based on the MSA preparation planning, very few items are expected to fall in this area. For those that do the action plan generated will evaluate the programmatic deficiencies or root causes related to the specific finding and whether or not the finding would lead to similar occurrences. The action plan will include a schedule of the actions that address correction of the identified deficiencies and the

required time frame for correction. Management expectations are for a minimal list of prestart punchlist items that are defined and have a closure path prior to entering the ORR process. This requirement is based upon lessons learned with other DOE ORRs.

In addition, for each poststart punchlist item, the responsible team also provides a description of the risks and mitigating actions. The risks and mitigating actions are evaluated to determine whether the project can proceed with the identified deficiency based on the associated risk or whether the deficiency must be corrected prior to declaring readiness. See DOE STD 3006-95 for further details.

4.2 PUNCHLIST PRESTART AND POST-START DEFINITION

The SNF Project ORR group assigns the manager responsible for corrective action for all items identified on the prestart or poststart punchlist. Items are assigned to the prestart punchlist when one of the following criteria is met.

- The deficiency potentially leads to exceeding a safety limit of the TSRs.
- The deficiency directly or adversely affects safety-related equipment function and performance.
- The deficiency has a significant adverse affect on one or more of the following programs:
 - Radiological Protection
 - Criticality/Nuclear Safety
 - Quality Assurance
 - Occupational Safety (Industrial Safety and Hygiene, Fire Protection)
 - Environmental Compliance
 - Emergency Preparedness.
- The deficiency, if uncorrected, could constitute an unreviewed safety question or a permit violation. The primary permits are under the *Clean Air Act*, but all local, state or federally issued environmental permits must be addressed.
- The deficiency reduces the effectiveness of one or more of the items listed below or places personnel, the public, or the environment in jeopardy:

Management Systems,
Administrative Controls,
Personnel Readiness, and
Conduct of Operations.

- The MSA team determines if the deficiency requires resolution prior to commencement of the activities.

All open issues not meeting these requirements are categorized as poststart findings.

4.3 RECORDS MANAGEMENT

Completed validation packages, punchlist items, and the subsequent closure records are classified as lifetime quality records. Control of these records is the responsibility of the MSA team chairman or his/her designee. Records handling and disposition shall be in accordance with HNF-PRO-214, *Records Inventory and Disposition Schedules*.

4.4 MANAGEMENT SELF-ASSESSMENT CLOSURE

The MSA is complete when the following items are satisfied.

- MSA affidavits are complete and validated by the SNF Project ORR group and approved by the MSA chairman or alternate.
- A small but manageable list of prestart items is identified, each with a specific closure date. Candidates for the prestart list are those items which physically cannot be accomplished prior to initiating the ORR. Items delayed for convenience are not eligible for the prestart list.
- The SNF Project Vice President & Project Director concurs with the review and writes a readiness-to-proceed memorandum to the independent contractor ORR team leader.

5.0 SENIOR ADVISOR

The senior advisor provides advice and counsel to the ORR Group, the MSA team and provides feedback to the Director of Operations. The senior advisor provides advice and counsel for corrective performance based measures to line management. Also provided is performance based ORR training for DESH, FDH, and contractor support organizations. Finally, the senior advisor provides assistance as requested, to RL staffs that are involved in the preparation for, or the actual performance of, the ORR for the SNF Project.

The senior advisor is Mr. W. L. Hicks. Mr. Hicks has a Bachelor of Science degree in engineering as well as Naval Nuclear Power training, including qualification of command. Mr. Hicks has 25 years of experience in nuclear programs with the U.S. Nuclear Submarine Force and in support of DOE. His experience includes 3 years as Nuclear Submarine Squadron Commander, 2 years as senior member of the Fleet Nuclear Propulsion Examining Board, and 4 years conducting technical safety appraisals, ORRs, and assessments for DOE. He has conducted numerous management assistance and mentoring activities across the DOE complex in support of Defense Programs and Environmental Restoration and Waste Management. He is the primary author of DOE-STD-3006-95, "Planning and Conduct of Operational Readiness Reviews."

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6.0 REFERENCES

AP 04-005, *Safety Basis Performance Assurance Process*

AP 7-003, *K Basins Project Review Process*

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DESH-1, 1998, *Spent Nuclear Fuel Project Training Implementation Matrix*, DE&S Hanford, Inc., Richland, Washington.

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HNF-1721, 1997, *Spent Nuclear Fuel Project Standards & Requirement Identification Documents Implementation Plan*, DESH, Richland, Washington.

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HNF-PRO-214, *Records Inventory and Disposition Schedules*, Fluor Daniel Hanford, Inc., Richland, Washington.

HNF-SD-SNF-POA-001, 1997, *Plan of Action for the Spent Nuclear Fuel Project Fuel Handling and Process Operations Operational Readiness Review*, Rev. 0, DE&S Hanford, Inc., for Fluor Daniel Hanford, Incorporated, Richland, Washington.

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APPENDIX A
ORR Preparation Logic

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OPERATIONS READINESS LOGIC DIAGRAM

HNF-2039, Rev. 0

FINAL SAR LOGIC DIAGRAM

* = Working Days

APPENDIX B
Management Information System

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APPENDIX B. MANAGEMENT INFORMATION SYSTEM

Existing Safety Authorization information system tools were reviewed by the DESH Systems Engineering group. DESH System Engineering determined that existing tools were manually integrated and difficult to use. The review resulted in the decision to develop an SNF Technical Requirements System (STRS) database that integrates the safety authorization basis. The safety authorization basis includes the safety documents (SARs, TSRs, criticality safety evaluation reports, S/RIDs, and permits).

DESH Systems Engineering selected Microsoft Access¹ software interfaced with Windows 95² and existing Hanford Site Intranet tools. Migration to the new software configuration requires users to have Windows 95 and computers with adequate hard drive space and speed (IBM³-equivalent 486 with a minimum of 16 megabytes ram).

A review of available hardware by SNF team members was conducted concurrently with the development of the database structure. The SNF Project ORR group budgeted funding for the purchase of a limited number of new systems and upgrades to existing systems in fiscal year 1998. This strategy is in line with Hanford Site policy and provides tools for key SNF team members during the second quarter of fiscal year 1998. The STRS is planned to be available by the end of the first quarter of fiscal year 1998. This scheduled date provides time for staff to familiarize themselves with the system, as well as to support MSA activities.

The first database module available is the MSA criteria module. This module completed testing September 30, 1997, and is under configuration control. The STRS database contains the following modules:

- MSA module (used only for the MSA)
- S/RID module (used in daily operation)
- SAR/TSR module (used in daily operation)
- Environmental requirements module (used in daily operation)
- Procedures and process standards module (used in daily operation).

¹ Access is trademark of Microsoft Corporation.

² Windows 95 is a trademark of Microsoft Corporation.

³ IBM is a trademark of International Business Machines.

B.1 MANAGEMENT SELF-ASSESSMENT MODULE

The MSA module links with the S/RID, SAR/TSR, Environment permitting, and procedure modules. This module integrates the requirements using the POA prerequisites into an MSA database as identified in HNF-SD-SNF-POA-001. The MSA objectives, criteria, actions to accomplish, and evidence are related to the POA prerequisites, POA core objectives, and DOE Order 425.1 core requirements. This link provides additional reporting capabilities and the ability to look at specific requirements found in operating documentation. Outputs include the MSA assessment forms (Appendix C), as well as status reports.

B.2 STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENT MODULE

The S/RID module links to the Hanford Site requirement database known as Requirements Information Management System (RIMS2). This module improves integration of the S/RID requirements into the implementing documents and facilitates rapid user access. This link provides additional search and reporting capabilities, as well as improved access to implementing procedures.

B.3 SAFETY ANALYSIS REPORT/TECHNICAL SAFETY REQUIREMENT MODULE

The SAR/TSR module is the SAR/TSR implementation matrix. The current data are in a WordPerfect[®] table attached to Administrative Procedure AP-04-005. This table is to be converted into Microsoft Access. The new database module provides real-time links to the implementing documents and procedures. This link provides the ability to look at specific requirements found in operating documentation.

B.4 ENVIRONMENTAL PERMITTING IMPLEMENTATION MATRIX MODULE

This module is the environmental permitting implementation matrix. The current data are in various hard copy locations, which is to be converted into a useable table format in Microsoft Access. The new database module provides real-time links to the implementing documents and procedures. This link provides additional reporting capabilities and the ability to look at specific requirements found in operating documentation.

B.5 PROCEDURES AND PROCESS STANDARDS MODULE

This module integrates procedures and process standards to authorization documentation. The current procedures are controlled by the procedures group and located on the SNF file server. They are to be converted into a useable format. For example, if a procedure calls out a requirement, the new system will provide access to the requirement. The new database module provides real-time links to the implementing documents and procedures. This link provides additional reporting capabilities and the ability to look at specific requirements found in operating documentation.

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APPENDIX C

MSA Appraisal Forms APPENDIX C MSA Appraisal Forms

Note: This document contains the Revision 0 of the MSA appraisal forms for information. These are maintained under configuration control in the MSA database (see Appendix B). Staff wishing to use the forms must go to the database to obtain the latest revision.

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Vice President and Project Director

2T000

HNF-2039, Rev.0

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T000, Vice President and Project Director

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter 1, Section C.1]
(S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]
(S/RID 4.4) [DOE 5480.20A, Revision 0, Chapter 1, Section 15; 10CFR 835, Part 704a]

OBJECTIVE NO: 11.0.M.a

A clear management structure is established, approved and in place, implemented and understood by the Operations and operations support personnel. Management qualifications are documented and current.

CRITERIA NO: 11.0.M.a.1

A clear management structure is established, approved and in place, implemented and understood by the operations and operations support personnel. Management organization charts and management position descriptions are in place. Position descriptions specify the positions qualifications required.

Actions to Accomplish:

- 1 Conduct field interviews confirm that worker knowledge of roles and responsibilities are consistent with charts and charters within SNF project. Confirm via interviews that supervisors and managers within Operations and Startup Projects are conversant on the roles and responsibilities of staff and groups supporting SNF operation activities.
- 2 Verify, in conjunction with DESH HR, that all job expectations for staff within the operating organizations, and all appraisal forms for operations staff clearly define and assess the individuals performance.
- 3 Confirm that all operations, startup and support functions supporting the SNF Project have published charts and charters that are current and correctly reflect the organization. They clearly delineate roles and responsibilities within the organization and between organizations.
- 4 Field verify that there is a good understanding of compliance with the roles and responsibilities for the SNF Organizations, as published in DESH 1.
- 5 Verify that the roles of each of the managers and groups in the Operations and Startup Projects Organization are clearly defined, published and distributed to all affected organizations.
- 6 Confirm that all operations managers roles and responsibilities have all been reviewed to confirm they have clear expectations as to responsibility for safety in the workplace.
- 7 Verify that management is trained in their responsibilities and demonstrate control of the facilities.

Acceptance Evidence:

Position descriptions

Observation records

Organization charts

MSA APPRAISAL FORM

Record of review of appraisal forms and job requirements

Field interview records

Charters and roles and responsibilities documents

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Functional Area: 2T000, Vice President and Project Director
Date: 1/26/98
S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter 1, Section C.1]
(S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]
(S/RID 4.4) [DOE 5480.20A, Revision 0, Chapter 1, Section 15; 10CFR 835, Part 704a]

Criteria Met: Yes _____

No _____

OBJECTIVE NO: 11.0.M.a

A clear management structure is established, approved and in place, implemented and understood by the operations and operations support personnel. Management qualifications are documented and current.

CRITERIA NO: 11.0.M.a.2

Management qualifications are documented and current.

Actions to Accomplish:

- 1 Verify that management qualifications are current in accordance with the Training Implementation Matrix.
- 2 Verify that management qualifications are consistent with AP 8-007 and documented.
- 3 Confirm that position descriptions specifies position qualification requirements.
- 4 Verify that resumes demonstrate the incumbent meets the position description qualifications requirements.

Acceptance Evidence:

Resumes

Position descriptions

Training records

Training Implementation Matrix

Personnel records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T000, Vice President and Project Director

Date: 1/26/98

S/RID Reference: (S/RID 2.10) [10CFR830, Part 120(c)(3)(i); DOE/RW-0333P, Rev. 5, Sect. 2.2.7 and 18.2.3].

OBJECTIVE NO: 12.0.M.c

Management and supervisory personnel monitor and assess facility activities to improve performance.

CRITERIA NO: 12.0.M.c.1

SNF Project Management and supervisory personnel spend time in the field monitoring operations activities to improve performance. Assessments are done to HNF-PRO-052, "Corrective Action Management", AP 1-008, "Management Oversight Process", DESH-MD-002, "Management Self Assessments" and to AP 1-036, "Management Self Assessment Process". It also includes management by walking around, providing on the spot correction of unsafe acts, and assessments of program implementation both from a safety, a compliance and a productivity aspect. Assessments are timely, documented, and corrective actions taken.

Actions to Accomplish:

- 1 Review training and qualification records of staff that are assigning PIP items to DTS and closing PIP and DTS items to confirm they have adequate understanding to perform their work.
- 2 Review records to determine if follow-up assessments are conducted to determine if corrective actions have been accomplished and if they corrected the problem.
- 3 Review records (including checking to see what issues are being reported to or by FDH or DOE) and interview key staff to determine if most problems are discovered and reported/documented by SNF line management or their staff. Review records to determine if problems, once identified, are formally tracked to closure in a timely manner.
- 4 Conduct interviews with employees at all levels in the organization to determine if they agree that SNF managers do get out in the field and if they think management are routinely meeting with them and assessing their performance.
- 5 Confirm that HNF-PRO-052, "Corrective Action Management," is being utilized and all managers within the SNF Project are familiar with it. Confirm that items from MOPs and management assessments are put in the formal corrective action management system.
- 6 Confirm that schedules exist and are being followed both for the MOP program (AP 1-008) and the management assessment program (AP 1-036; DESH-MD-002).
- 7 Confirm that AP 1-008, is modified to include CVD, CSB, as well as the K Basins.
- 8 Observe management to confirm they are spending time in the field monitoring, improving performance and assessing compliance.
- 9 Review performance indicators to assure they are accurate, utilized and indicate improvements in safety, productivity and management. Confirm management in the field are using the performance indicators to monitor performance.

MSA APPRAISAL FORM

Acceptance Evidence:

Field observation records

Interview records

Records showing delinquency rate for PIPs and DTS

Records or charts showing how long it takes to close PIPs from the date of discovery

Training and/or qualification records of staff who decide what goes from the PIP system to the DTS system

The published schedule for the management assessment program

Published management assessments

Records showing required follow-on assessments

Published MOP schedules

Records showing how many MOPs are completed on time

Completed MOP forms

Interview forms and records with line staff covering their views on management field observations

Performance indicator reports with their distribution

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T000, Vice President and Project Director

No _____

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.2

Management monitors and assesses facility activities for compliance with safety standards, safe work practices and productivity.

Actions to Accomplish:

- 1 Confirm that senior management documents facility tours per AP 1-008 and 1-036 and have all actions tracked via the PIP or DTS process through issue closure.
- 2 Verify that management observed field work to determine there is an acceptable level of compliance with the S/RID requirements, job hazard analyses and radiological work permits in the SNF Facilities.
- 3 Validate that work performance is tracked and monitored with respect to compliance with safety standards (defined as S/RID requirements for the facility), safe work practices as defined by the Integrated Safety Management System and productivity.
- 4 Confirm that performance charts are developed, tracked and used which present key data on compliance to safety standards, work practices and productivity.
- 5 Confirm by oral interviews that senior management routinely monitor safety performance, safety trends, and work activities for compliance to the safety requirements.
- 6 Confirm that management are measuring compliance to the facility specific S/RID requirements assigned to them on a routine basis and that they have schedules they are utilizing to assure all requirements are reviewed on a periodic basis.
- 7 Confirm via oral interviews that the senior management team are cognizant of the mandatory ES&H requirements (approved S/RIDs) including their status of implementation and the status of deficiencies.

Acceptance Evidence:

Field observation records

PIP and DTS closure records

MOP reports, with their PIP or DTS actions

Noncompliance reports

MSA APPRAISAL FORM

Work performance records

Field interview records

Performance charts for productivity and compliance items

S/RID compliance tables and summary status charts

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

HNF-2039, Rev.0

**Operations Projects Director
2T101**

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.3)[DOE 5480.19, Revision C01, Chapter VI, Sect C.6; 10 CFR 830, part 120(c)(I)(iii)] (S/RID 2.4) [10 CFR 72, Part 170; 10 CFR 830, part 120(c)(I)(iii)]

OBJECTIVE NO: 12.0.M.a

A system for identifying, reviewing, cataloging, and resolving deficiencies is implemented.

CRITERIA NO: 12.0.M.a.1

A system for identifying, reviewing, cataloging, and resolving deficiencies is implemented. The program consists of elements of issues management, tracking, as well as management of overdue items and responsibility for completion.

Actions to Accomplish:

- 1 Interview management staff in field to determine if they have confidence in the PIP and DTS system to capture issues and close items. Confirm that staff are familiar with the closure process.
- 2 Confirm by interviews and other methods (e.g., FDH employee concerns records) that there is no evidence that staff have any concerns of reprisal if they use the existing process for identification of corrective actions.
- 3 Review the implementation of Administrative Procedure AP 1-003 and ensure that it is being implemented correctly.
- 4 Verify that management receives regular status of its open PIP and DTS items. Confirm these are routinely tracked and managed to avoid any delinquencies. Verify that schedules to correct these deficiencies are graded in approach, aggressive, and appropriate for the specific action. Assess evidence that these elements are in place.
- 5 Confirm the old Hanford Action Tracking System (HATS) actions assigned to the SNF Project have been formally closed or transferred to the Deficiency Tracking System (DTS).
- 6 Verify implementation of the Problem Investigation Process (AP 1-003) to confirm it results in adequate review, cataloging, and resolution of deficiencies.

Acceptance Evidence:

Employee interview forms

PIP closure status charts

DTS delinquency charts

Listing of all active HATS items assigned to SNF Project

Listing of DTS open items assigned to SNF Project

PIP logs, PIP forms

MSA APPRAISAL FORM

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.3.1) [10CFR830, Part 120(c)(1)(iii); (DOE4330.4B, Revision. 0, Preamble;
Chapter

II, Section. 17.3.3, Paragraph 1); (DOE 5480.19, Rev. C01, Chapter VI, Section C.5.d)]

OBJECTIVE NO: 12.0.M.b

Open action items are assessed by management and ensure that the effect of any individual item or the aggregate effect of several items does not preclude safe commencement of operations.

CRITERIA NO: 12.0.M.b.1

Open action items are assessed by management and ensure that the effect of any individual item or the aggregate effect of several items does not preclude safe commencement of operations.

Actions to Accomplish:

- 1 Review records to confirm that the corrective action management system does not permit closure of PIPs or DTS items until corrective action items are complete.
- 2 Verify that corrective actions are complete on time. Review charts showing the length the PIPs or the DTS items have been open and any that are delinquent. Confirm by oral interviews that these charts are routinely used by management to assure timely closure and that the database printouts are routinely the subject of management or staff meetings, so that managers and key staff are aware of their DTS and PIP assignments.
- 3 Review the files for all PIP and DTS items for completeness. Confirm that PIP items have been properly reviewed and the review documented to assign appropriate ranking values. Verify that the rankings are performed by trained staff, and a review of at least 50 records indicate consistency in ranking application.
- 4 Review management records of reviews performed and items assessed. Verify that the records indicate that management evaluates and tracks open items related to process problems as well as hardware issues.
- 5 Verify that the action tracking systems (DTS, PIP) for operational and safety issues contain current information.
- 6 Verify there is an effective trending program in place to assess commonality and trends of related issues.
- 7 Confirm that open action and delinquent action status reports are routinely reviewed by management as a tool to assure items are fixed in a timely manner. Assess this system's effectiveness in assuring timely closure of action items.
- 8 Verify that management assesses items to ensure that the effect of any individual item or the aggregate effect of several items does not preclude safe commencement of operations. Verify the assessments include program attributes as well as program execution.
- 9 Confirm that action tracking systems are in place and in use for the SNF project. Verify that the definitions of what system is used to track what items are clearly defined and available to all the staff.

MSA APPRAISAL FORM

Acceptance Evidence:

Records of field interviews

MOP and Management assessment schedules

PIP and DTS closure records

Action tracking systems

Staff meeting records

PIP and DTS files (*listing of file numbers reviewed*)

Management Assessment Reports. MOP reports

Performance indicator charts relative to open action items, PIP, DTS and management assessments

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T101, Operations Projects Director

No _____

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.1

Operations management and supervisors conducts scheduled facility tours and observes work activities. This criteria covers maintenance, radiation protection, and facility operations personnel.

Actions to Accomplish:

- 1 Verify MOP tour identified corrective actions are closed
- 2 Verify findings are evaluated for programmatic deficiencies and root causes
- 3 Review corrective actions identified from MOP tours
- 4 Verify MOP tour schedule addresses all applicable areas and managers
- 5 Verify AP 1-008, is implemented

Acceptance Evidence:

Findings evaluation documentation

MOP tour findings list

MOP tour schedule

AP 1-008-05

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.2

Management monitors and assesses facility activities for compliance with safety standards, safe work practices and productivity.

Actions to Accomplish:

- 1 Confirm that senior management documents facility tours per AP 1-008 and 1-036 and have all actions tracked via the PIP or DTS process through issue closure.
- 2 Verify that management observed field work to determine there is an acceptable level of compliance with the S/RID requirements, job hazard analyses and radiological work permits in the SNF Facilities.
- 3 Validate that work performance is tracked and monitored with respect to compliance with safety standards (defined as S/RID requirements for the facility), safe work practices as defined by the Integrated Safety Management System and productivity.
- 4 Confirm that performance charts are developed, tracked and used which present key data on compliance to safety standards, work practices and productivity.
- 5 Confirm by oral interviews that senior management routinely monitor safety performance, safety trends, and work activities for compliance to the safety requirements.
- 6 Confirm that management are measuring compliance to the facility specific S/RID requirements assigned to them on a routine basis and that they have schedules they are utilizing to assure all requirements are reviewed on a periodic basis.
- 7 Confirm via oral interviews that the senior management team are cognizant of the mandatory ES&H requirements (approved S/RIDs) including their status of implementation and the status of deficiencies.

Acceptance Evidence:

PIP and DTS closure records

MOP reports, with their PIP or DTS actions

Noncompliance reports

Work performance records

MSA APPRAISAL FORM

Field interview records

Performance charts for productivity and compliance items

S/RID compliance tables and summary status charts

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.11) [10CFR72, Part 160, 176; DOE/RW-0333P, Revision 5, Section 2.2.6, 18.2.12]

OBJECTIVE NO: 13.0.M.a

S/RIDs are implemented and a record review of S/RIDs is observed to determine performance is satisfactory.

CRITERIA NO: 13.0.M.a.1

Performance is satisfactory in the implementation status of S/RIDs.

Actions to Accomplish:

- 1 Perform a field assessment that the appropriate administrative procedures, policies, and Fluor Daniel Hanford procedures (HNF-PROs) for S/RID development and implementation are being complied with by the project.
- 2 Review the project schedules and milestone sheets to confirm that the annual updates to the two S/RID documents are clearly identified with appropriate responsibilities defined.
- 3 Review the training and qualification records of the S/RID chapter facility experts and responsible functional area managers to assure that they have the appropriate training, credentials and facility specific understanding, as well as understanding of the S/RID process to support their roles and responsibilities in S/RID development and maintenance.
- 4 Confirm that any changes to the S/RID documents, that have been made by the contractor, as allowed by the DOE field office procedures, are documented on ECNs, with adequate justification to support the statement that the environmental safety and health posture has not been affected.
- 5 Verify that the two SNF Project S/RIDs are being properly maintained under configuration control and that the database is consistent with what was approved by the Manager, RL.
- 6 Review at least 10% of the S/RID Phase 1 and 2 assessment records to confirm that they meet the requirements specified in the DESH Administrative Procedures and Fluor Daniel Hanford Procedures for S/RID assessments.
- 7 Review the S/RID database, as well as the PIP and DTS printouts of open items to confirm that all previously identified S/RID deficiencies have been corrected.
- 8 Field verify a subset of the S/RID requirements, independent of line management to confirm that the Phase 2 assessments are complete and adequate.
- 9 Verify that all S/RID Phase I records review and Phase II verification of program implementation is complete for both the CSB Revision 0 S/RID and the CVD/K Basin Revision 1 S/RID.

Acceptance Evidence:

Field interview records

MSA APPRAISAL FORM

Assessment reports

Schedules

ECNs for S/RID documents

Training records

S/RID Phase I records and Phase II assessment forms for both S/RIDs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 12.2.5) [DOE 5480.7A, Revision 0, Section 8.7] (S/RID 12.4.6) [DOE 5480.7A, Revision 0, Section 9.a.(3) and Section 6.2]

OBJECTIVE NO: 15.0.S.b

Fire protection programs are established to ensure plant personnel can prevent and respond to fire hazards. A current Fire Hazards Analysis (FHA) is available and implemented.

CRITERIA NO: 15.0.S.b.1

Fire protection programs are established to ensure plant personnel can prevent and respond to fire hazards.

Actions to Accomplish:

- 1 Confirm that charts, charters, policies, directives and procedures clearly define who has what responsibilities relative to the fire protection program. This covers multiple organizational roles (fire safety, drill program, fire system maintenance, fire loading control, etc.)
- 2 Verify that a formal fire protection program has been established, funded and implemented.
- 3 Verify that the FHAs are approved and implemented for K Basins, CVD, and CSB.
- 4 Verify that procedures and controls exist to assure that fire loading in all the SNF Project facilities is in accordance with the approved FHAs.
- 5 Review training and drill records to confirm that plant personnel are trained and drilled in fire response and prevention.

Acceptance Evidence:

Schedules

Charts, charters, policies and directives

Approved FHA documents

Fire Protection Program Plan

Procedures

Fire evacuation drill schedules, and records (including attendance records and critiques)

Fire survey documents which document fire loading in facilities

Training records

Budget sheets

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter XVI]

OBJECTIVE NO: 3.2.Q.a

Operations, maintenance, surveillance, emergency, and compliance procedures meet or exceed the requirements provided in the SNF S/RIDs.

CRITERIA NO: 3.2.Q.a.1

Operations, maintenance, surveillance, emergency and compliance procedures meet or exceed the requirements provided in the SNF S/RIDs. Administrative procedures: AP 9-001, "Technical Procedure Administration"; AP 9-002, "Technical Procedure Development"; AP 9-003, "Technical Procedure Change Process".

Actions to Accomplish:

- 1 Review S/RID Phase 2 assessment documentation to confirm that Phase 2 S/RID assessments were completed to the necessary requirements and that all deficiencies are corrected.
- 2 Review S/RID Phase 1 assessment documentation to confirm that the Phase 1 S/RID assessments were completed to the necessary requirements and that all deficiencies have been corrected.

Acceptance Evidence:

S/RID Phase 2 Assessment records

S/RID Phase 1 Assessment records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T101, Operations Projects Director

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.19 Chapter XIII; DOE 5480.20A, Revision 0, Chapters 1 and 4]

OBJECTIVE NO: 6.0.O.a

Operations are performed safely and operators demonstrate the necessary knowledge. Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

CRITERIA NO: 6.0.O.a.1

Management demonstrate the necessary knowledge to operate safely.

Actions to Accomplish:

- 1 Confirm that formal expectations have been provided to all levels of management within the SNF Project defining explicitly what they are expected to retain relative to safe operations of the facility.
- 2 Validate by oral interviews and review of training records that plant managers and facility managers have the training and certification testing to assure that they have adequate plant knowledge for the KW Basin, CVD and CSB facilities to support safe operations.
- 3 Confirm that formal job task analyses have been performed, specifically for management and supervisory positions, defining the facility plant knowledge, authorization basis knowledge, systems knowledge, and other specialized or general training knowledge levels exist. Also confirm that these have been reviewed and are published or formally transmitted by the appropriate level of management to the training organization.
- 4 Verify that senior management have formally established the expectations for each management level and position, exactly what is expected relative to knowledge level to safely operated the SNF Project facilities.

Acceptance Evidence:

Job task analyses records for all management positions

Record of transmittal (copy of letter) of management expectations to training for each management level knowledge requirement

Records of oral examinations

Training and certification records, including test score reviews

Records of field observations and field interviews

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.1 and 4.3.5) [DOE 5480.19, Chapter 1]

OBJECTIVE NO: 6.0.O.d

Operations personnel demonstrate knowledge of their responsibilities and operating procedures. Formal documentation exists that specifies job specific requirements and responsibilities.

CRITERIA NO: 6.0.O.d.3

Formal documentation for CSB, CVD and KW Basins exists that specifies job specific requirements and responsibilities.

Actions to Accomplish:

- 1 Interview personnel to assure that they understand the job specific requirements and understand the actions needed to achieve them. Confirm they know the location of the documents (job descriptions, procedures, etc.) that define these responsibilities.
- 2 Interview management operating personnel and review records to confirm there is an understanding of the job specific requirements an individual must have prior to a work assignment.
- 3 Confirm that administrative procedures, position descriptions, charters, and other documentation such as operating procedures that define all key job requirements are approved, controlled and implemented.
- 4 Confirm that operations and administrative procedures are written to provide specific definition of job requirements and responsibilities.
- 5 Verify that job descriptions, policies, charters, and procedures that define job specific requirements are approved
- 6 Confirm that administrative policies and procedures, formal position descriptions, and other documentation such as operating procedures that define job specific requirements are available.

Acceptance Evidence:

List of approved and issued APs or DIRs reviewed regarding clarity of job requirements

Records of management and employee interviews

Job descriptions

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.3) (DOE 5480.20A, Revision 0, Chapter 1 Section 6)
(S/RID 18.6.1)[DOE 5480.24, Paragraph 7; DOE 5480.20A, Chapter I and IV]

OBJECTIVE NO: 6.4.S.b

Plant personnel recognize and respond to criticality safety limits.

CRITERIA NO: 6.4.S.b.2

Incidental personnel are trained to respond to a criticality safety alarm.

Actions to Accomplish:

- 1 Spot check visitor logs and training records for the previous six months to assure that there were no incidental personnel in the KW or KE Basin, CSB or CVD without Hanford General Employee Training (HGET) or without the necessary visitor approved training with escort.
- 2 Confirm the system and controls are in place to assure that incidental personnel that would be visiting the KW or KE Basin, CVD or CSB have had the basic (HGET) or the necessary visitor orientation with appropriate escort.
- 3 Confirm that administrative procedures, controls, and postings are established and implemented to prevent untrained incidental personnel from entering facilities that have criticality safety alarms.

Acceptance Evidence:

HGET records or visitor training for the visitors records

Copies of visitor logs reviewed

Copies of training packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.1

A clear management structure is established, approved and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. DESH 1.

Actions to Accomplish:

- 1 Interview select subcontractor managers and staff that support the SNF Project to assess their understanding of the SNF Operations management structure and reporting relationships.
- 2 Confirm that SNF policies, that define the management structure are approved and implemented.
- 3 Interview select FDH SNF Project Direction managers and staff to assess their understanding of the SNF Operations management structure and reporting relationships.
- 4 Interview operations staff to assess their understanding of the SNF Operations management structure and reporting relationships.
- 5 Confirm via contract reviews and interviews that the relationships between contractors and DESH, within the SNF Project, ensure that SNF Project management has control of safety.
- 6 Confirm that the following matrix agreements are in place with FDH subcontractors which define the roles, responsibilities, and reporting relationships relative to SNF project activities:
Fluor Daniel Hanford (training, oversight),
Dyncorp (fleet services),
Lockheed Martin (vent and balance), and
Waste Management Federal Services (laboratory services, environmental services)
- 7 Interview DESH support managers and select staff to confirm that there is a clear management structure for SNF operations.

Acceptance Evidence:

Contract pages that define FDH and DESH reporting relationships

Documents or letters that define subcontractor reporting relationships

Interview records

Approved and issued matrix agreements

MSA APPRAISAL FORM

Contract documents which define formally the relationship between the FDH program direction organization and DESH.

Management structure

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.3

The defined relationships ensure line management responsibility for and control of safety. DESH 1.

Actions to Accomplish:

- 1 Interview staff in the SNF Project line and support organizations to confirm that the management structure and reporting relationships relative to control of safety in the facilities are clearly understood.
- 2 Confirm via contract reviews and interviews that the relationships with other contractors and within the SNF Project ensure that line management has control of safety.
- 3 Confirm that the published matrix agreements for the following subcontractors are in place and define the roles, responsibilities, and reporting relationships relative to control of safety in the facilities:

Fluor Daniel Hanford,
Dyncorp,
Lockheed Martin,
Waste Management Federal Services, and
B&W Protec, Inc.

- 4 Confirm via interviews and reviews of published policies, charters and procedures that there is a clear management structure which establishes line management as ultimately responsible for safety in the operating nuclear facilities. Confirm that field understanding matches written responsibilities.

Acceptance Evidence:

Interview records

Copies of the pages from published matrix agreements with other contractors, which define control of safety within the operating facilities

Copies of the charters, charts, policies, directives and procedures reviewed

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T101, Operations Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 5.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 1, Section 1.3.1, Section 2.0, & Section 2.2.1.2]

OBJECTIVE NO: 9.0.M.d

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

CRITERIA NO: 9.0.M.d.1

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

Actions to Accomplish:

- 1 Review recent off normal or unusual occurrence events and their record files to determine if operating supervision made the correct notifications using the proper protocol.
- 2 Verify that drills are routinely held and clearly demonstrate that all levels of management are knowledgeable regarding their responsibilities and authorities during operational emergencies and demonstrate the proper authority and responsibility.
- 3 Confirm that on call lists are clearly posted or available for all shift management so they know who to contact. Confirm that these lists are maintained current with respect to people and work and home phone numbers/pagers/cellular phone numbers.
- 4 Confirm that management at the SNF Project operations organization, from top levels through first line supervision, have had some level of training regarding their roles and responsibilities during operational emergencies. This will include, but not be limited to, notification requirements (who notifies, when and to whom) and authority to implement immediate actions.
- 5 Verify that policies, directives, procedures, and charters clearly define the responsibility and assign authority for management of operational emergencies.

Acceptance Evidence:

List of off normal and UO event reports reviewed

On call lists

Drill schedule and drill records for last 6 months

SNF policies, directives and procedures

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Facility Operations

2T110

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.4

Facility Operations management and supervisors conducts scheduled facility tours and observes work activities. This criteria covers maintenance, radiation protection, and facility operations personnel.

Actions to Accomplish:

- 1 Interview operations management and supervisory personnel to determine their knowledge and understanding of the facility tour requirements and tracking system for findings and observations.
- 2 Verify a system is in place to ensure observations and findings are documented, evaluated, tracked, corrected, and analyzed for trends.
- 3 Verify that operations management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

Interview records

Tracking system

Tour documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 18.4) (DOE 5480.22, Revision C01, Section 9.e(4))

OBJECTIVE NO: 14.1.S.a

Safety systems and other instruments that monitor TSR's require periodic calibration.

CRITERIA NO: 14.1.S.a.1

CVD, CSB, and K Basins related safety systems that monitor TSR's are calibrated.

Actions to Accomplish:

- 1 Verify that operations personnel periodically confirm the operability of safety systems and instrumentation.
- 2 Confirm TSR related instrumentation and systems have a current calibration.

Acceptance Evidence:

Field observation records

Interview records

Calibration records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 19.1.2)[DOE 5483.1A, Chapter 1; DOE 5480.10, Paragraph 9.b]

OBJECTIVE NO: 15.1.S.c

Job Hazards Analysis (JHA) are conducted routinely by experienced engineering, occupational safety, and industrial hygiene personnel. Hazardous activities are a coordinated effort to avoid hazardous and unsafe operations.

CRITERIA NO: 15.1.S.c.1

JHAs are conducted routinely by experienced engineering, occupational safety, and industrial hygiene personnel.

Actions to Accomplish:

1. Verify JHAs are completed for the K Basin, CVD, CSB, and Cask/Transportation operations.

Acceptance Evidence:

JHA records

JHAs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE 5400.1, Chapter III, Paragraph 2]

OBJECTIVE NO: 15.8.S.a

The environmental protection organization is established and functioning to support the operations organization. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. They are staffed with qualified personnel.

CRITERIA NO: 15.8.S.a.2

The Operations Analysis and Waste Handling (OAWH) organization is established and functioning to support the operations organization.

Actions to Accomplish:

- 1 Verify that OAWH personnel demonstrate a working knowledge of SNF facilities related to safety.
- 2 Verify that necessary training has been defined and then completed to the defined requirements.
- 3 Verify that there are approved position descriptions for all OAWH staff.
- 4 Verify that the OAWH group has an approved charter, funding, charts and staffing to support the operations mission.

Acceptance Evidence:

Interview records

Organization charter

Training records

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No: _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 20.2.1) [DOE 5400.1, Paragraph 9.f.7; 5820.2A, Paragraph 8.j]

OBJECTIVE NO: 16.0.S.d

An effective environmental protection program is implemented that will ensure compliance with the permits associated with the Clean Air Act and Clean Water Act. Procedures are developed to ensure that hazardous and radioactive materials and wastes are handled in accordance with legislative requirements and DOE orders.

CRITERIA NO: 16.0.S.d.2

Procedures are developed to ensure that hazardous materials and wastes are handled in accordance with legislative requirements and DOE orders.

Actions to Accomplish:

- 1 Confirm that waste handling and hazardous materials procedures are in use to ensure hazardous wastes and regulated wastes are handled in accordance with requirements.
- 2 Confirm that procedures are developed to ensure that radioactive materials and wastes are handled in accordance with legislative requirements and DOE orders.

Acceptance Evidence:

Interviews

Procedure listing

MOP records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 3.7.3, 3.7.4, 3.7.5, 3.7.6, 3.7.7, 3.7.8, and 3.7.9)[DOE 5480.20A]

OBJECTIVE NO: 2.1.O.c

Operations and operations support personnel with responsibilities for computer software demonstrate their knowledge of a software configuration control program. These individuals also demonstrate an adequate understanding of the software configuration control procedures that are in place.

CRITERIA NO: 2.1.O.c.1

Operations personnel demonstrate their knowledge of the SNF software configuration control program. Individuals can demonstrate an adequate understanding of the software configuration control procedures.

Actions to Accomplish:

- 1 Interview personnel to determine an adequate knowledge of software configuration control.
- 2 Verify training for computer software configuration control is completed for operating personnel.

Acceptance Evidence:

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 18.4)[5480.22, Revision C01, Section 9.e]

OBJECTIVE NO: 3.0.O.c

Process parameters that require compliance with the safety requirements are measured or appropriately physically verified.

CRITERIA NO: 3.0.O.c.1

Process parameters that require compliance with the safety requirements are measured or appropriately physically verified.

Actions to Accomplish:

- 1 Verify that the safety requirement compliance parameters basis is documented.
- 2 Verify Facility Operations monitors LCOs, LCSs, and Safety Limits via operating procedures.

Acceptance Evidence:

Operating procedures

SAR/TSR/Operating Procedure matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01,
Chapter
XVII] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm during interviews that personnel understand the implementation requirements.
- 2 Confirm that procedures are implemented.
- 3 Confirm CSAs are tracked and any open items have a planned completion date.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.2

Safety, operating, and environmental requirements included within the S/RIDs are implemented into procedures.

Actions to Accomplish:

- 1 Confirm during interviews that personnel understand the importance of S/RID compliance.
- 2 Confirm that procedures are *complete and in use*.
- 3 Review K Basins/CVD and CSB/Hot Conditioning S/RIDs for the maintenance function. Verify that maintenance procedures include the S/RID requirements where applicable.
- 4 Confirm that procedures for the CSB, CVD, K Basins, and Cask Transportation include S/RID requirements.

Acceptance Evidence:

Interview records

S/RIDs Phase 2 adherence assessment documentation

Polices and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2)[DOE 5480.20A, Revision 0, Chapter 1, Section 2, Section 5, and Section 13]

OBJECTIVE NO: 3.1.O.a

Training is complete and documented on the latest revisions of procedures. These procedures are in the field and performed by operations personnel, supervisors and shift technical advisors.

CRITERIA NO: 3.1.O.a.1

Training is complete for the KW Basin modifications for fuel removal from the basins and training is documented on the latest revisions of procedures.

Actions to Accomplish:

- 1 Interview operations personnel on training class content to determine if sufficient information was provided to perform tasks required of operations personnel, requirements/limits knowledge is retained, and understanding of equipment operation was acquired.
- 2 Verify training is complete on the latest revision of the procedure.
- 3 Verify procedures available in the field are current and in use.
- 4 Verify operational dry runs are completed and one shift of operations demonstrates proficiency.

Acceptance Evidence:

Dry run observations

Operating procedures

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2)[DOE 5480.20A, Revision 0, Chapter 1, Section 2, Section 5, and Section 13]

OBJECTIVE NO: 3.1.O.a

Training is complete and documented on the latest revisions of procedures. These procedures are in the field and performed by operations personnel, supervisors and shift technical advisors.

CRITERIA NO: 3.1.O.a.2

Training is complete for the Cold Vacuum Drying Facility and training is documented on the latest revisions of procedures.

Actions to Accomplish:

- 1 Interview operations personnel on training class content to determine if sufficient information was provided to perform tasks required of operations personnel, requirements/limits knowledge is retained, and understanding of equipment operation was acquired.
- 2 Verify training is complete on the latest revision of the procedure.
- 3 Verify procedures available in the field are current and in use.
- 4 Verify operational dry runs are completed and one shift of operations demonstrates proficiency.

Acceptance Evidence:

Dry run documentation

Operating procedures

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2)[DOE 5480.20A, Revision 0, Chapter 1, Section 2, Section 5, and Section 13]

OBJECTIVE NO: 3.1.O.a

Training is complete and documented on the latest revisions of procedures. These procedures are in the field and performed by operations personnel, supervisors and shift technical advisors.

CRITERIA NO: 3.1.O.a.3

Training is complete for the Canister Storage Building and training is documented on the latest revisions of procedures.

Actions to Accomplish:

- 1 Interview operations personnel on training class content to determine if sufficient information was provided to perform tasks required of operations personnel, requirements/limits knowledge is retained, and understanding of equipment operation was acquired.
- 2 Verify operational dry runs are complete and one shift of operations demonstrates proficiency.
- 3 Verify procedures available in the field are current and in use.
- 4 Verify training is complete on the latest revision of the procedures.

Acceptance Evidence:

Training records

Operating procedures

Interview records

Dry run observations

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2)[DOE 5480.20A, Revision 0, Chapter 1, Section 2, Section 5, and Section 13]

OBJECTIVE NO: 3.1.O.a

Training is complete and documented on the latest revisions of procedures. These procedures are in the field and performed by operations personnel, supervisors and shift technical advisors.

CRITERIA NO: 3.1.O.a.4

Training is complete for the Cask Transportation System and training is documented on the latest revisions of procedures.

Actions to Accomplish:

- 1 Verify operational dry runs are completed and one shift of operation demonstrates proficiency.
- 2 Verify procedures available in the field are current and in use.
- 3 Verify training is complete on the latest revision of the procedure.
- 4 Interview operations personnel on training class content to determine if sufficient information was provided to perform tasks required of operations personnel, requirements/limits knowledge is retained, and understanding of equipment operation was acquired.

Acceptance Evidence:

Operating procedures

Dry run observations

Training records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2)[DOE 5480.20A, Revision 0, Chapter 1, Section 2, Section 5, and Section 13]

OBJECTIVE NO: 3.1.O.a

Training is complete and documented on the latest revisions of procedures. These procedures are in the field and performed by operations personnel, supervisors and shift technical advisors.

CRITERIA NO: 3.1.O.a.5

Training is complete for the Integrated Water Treatment System and is documented on the latest revisions of procedures.

Actions to Accomplish:

- 1 Verify operation dry runs are completed and one shift of operation demonstrates proficiency.
- 2 Verify procedures available in the field are current and in use.
- 3 Verify training is complete on the latest revision of the procedure.
- 4 Interview operations personnel on training class content. Determine if sufficient information was provided to perform required tasks/if knowledge of operating requirements and limits is retained, and if a thorough understanding of equipment operation was acquired.

Acceptance Evidence:

Operating procedures

Dry run observations

Training records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.2.3)[DOE 5480.19, Chapter XVI; DOE 5700.6C, Paragraph 9.b.(2)(a); DOE4330.4B, Chapter II, Section 6]

OBJECTIVE NO: 3.1.O.c

TSRs implementing and surveillance procedures meet the requirements in DOE Order 5480.19, Conduct of Operations.

CRITERIA NO: 3.1.O.c.1

TSR implementing procedures meet the requirements specified in DOE Order 5408.19, Chapter XVI.

Actions to Accomplish:

- 1 Verify procedures provide specific direction for normal, abnormal and emergency conditions.

Acceptance Evidence:

Operating procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.2.3)[DOE 5480.19, Revision C01, Chapter 16, Section c]

OBJECTIVE NO: 3.1.O.h

Controlled copies of operating procedures and procedure revisions are maintained and accessible to the procedure user and supervisor.

CRITERIA NO: 3.1.O.h.1

Controlled copies of operating procedures are maintained to meet the requirements of AP 9-004, "Technical Procedure Use and Compliance". The controlled operating procedures are readily accessible to the procedure user and supervisor.

Actions to Accomplish:

- 1 Verify document control system for operating procedures, as specified in Desk Instruction KB-KBO-DI-021, is implemented.
- 2 Verify that only controlled copies of most recent revision of operating procedures are available for operations use in the CVD, K Basins, and CSB.

Acceptance Evidence:

Document control system policies and procedures

Surveillance verifying procedure locations and verifying existence of controlled copies of procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter I, Section C.1, and Chapter 16, Section C.7]

OBJECTIVE NO: 3.1.O.i

Procedure users are aware. They are authorized, to take whatever action is necessary during emergency conditions, to place the facility in a safe condition to protect equipment, personnel and public safety without first initiating a procedure change.

CRITERIA NO: 3.1.O.i.1

Procedure users are aware they are authorized to take whatever action is necessary during emergency conditions to place the facility in a safe condition to protect equipment, personnel and public safety without first initiating a procedure change. SNF Applicability Matrix: AP 9-004, "Technical Procedure Use and Compliance"; and HNF-PRO-229, "Technical Procedure Standard".

Actions to Accomplish:

- 1 Interview operations personnel to verify a thorough understanding and to assess knowledge retention of actions necessary to place facilities in a safe condition.
- 2 Verify training provides specific direction to operations personnel regarding equipment protection, personnel and public safety, in the event of an emergency. Verify training is completed on emergency actions required to place the facilities in a safe condition.
- 3 Interview operations personnel to verify their knowledge of requirements to protect equipment, personnel, and public safety in the event of an emergency.

Acceptance Evidence:

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 13.4) [DOE 1540.1A, Chapter II, Section 4; DOE 5480.19, Revision C01, Chapter 16]

OBJECTIVE NO: 3.1.O.j

Procedures for the SARP are documented, approved and followed.

CRITERIA NO: 3.1.O.j.1

Procedures that implement the SARP are documented, approved, and followed by facility personnel personnel. SNF Applicability Matrix: AP-9-001, "Technical Procedure Administration"; AP 9-002, "Technical Procedure Development"; AP 9-003, "Technical Procedure Change Process".

Actions to Accomplish:

- 1 Observe performance of dry runs to verify procedure compliance.
- 2 Interview operations personnel for knowledge of SARP requirements.
- 3 Verify operating procedures for SARP implementation are issued.
- 4 Verify documentation for dry runs for SARP implementation procedures.

Acceptance Evidence:

Interview documentation for SARP implementing operating procedure knowledge

Dry run documentation for SARP implementing operating procedures

Operating procedures for SARP implementation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 2.5) (10 CFR 830 Part 120(c)(1)(iv))

OBJECTIVE NO: 3.2.O.d

Data sheets required for SNF project operations are current and reflect the most recent configuration changes, safety basis requirements, and operating parameters.

CRITERIA NO: 3.2.O.d.1

Safety Related operating procedure data sheets and safety related testing/round sheets required for SNF project operation are current and reflect the most recent configuration changes.

Actions to Accomplish:

- 1 Verify that operations data sheet parameters agree with referenced requirements.
- 2 Verify operations data sheets are up to date and current with the requirements.
- 3 Verify operating procedures that require data taking are reviewed for current configuration and configuration changes on a periodic basis.
- 4 Verify operations inspection and round sheet procedures are approved and issued.

Acceptance Evidence:

Operations data sheet/inspection and round sheets development file

Operations data sheets

Operations inspection and round sheets

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.2.1, 9.2.3, and 9.2.6)[DOE 5480.19 Revision C01, Chapters, viii, and xi]

OBJECTIVE NO: 4.0.S.a

Confirmation of safety requirements is required by procedures and includes clearly defined surveillance intervals and periodic self assessments.

CRITERIA NO: 4.0.S.a.3

Periodic self assessments verify confirmation of safety requirements is performed.

Actions to Accomplish:

- 1 Observe shift operating crews at CSB, CVD, and K Basins and determine that it can be demonstrated that the operating crews adhere to the operating safety requirements.
- 2 Verify that confirmation of safety requirements is required by procedures, surveillance intervals, and periodic self assessments.

Acceptance Evidence:

Observation documentation

Operating procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.1

CSB surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify CSB follow up actions were identified, documented and tracked to completion.
- 2 Verify completed CSB surveillance and tests are reviewed by facility operations supervision.

Acceptance Evidence:

Action tracking records

Surveillance and test records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98.

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.2

CVD surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify completed CVD surveillance and tests are reviewed by facility operations supervision.
- 2 Verify CVD follow up actions are identified, documented and tracked to completion.

Acceptance Evidence:

Action tracking records

Surveillance and test records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.3

KW Basin surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify completed KW Basin surveillance and tests are reviewed by facility operations supervision.
- 2 Verify KW Basin follow up actions were identified, documented, and tracked to completion.

Acceptance Evidence:

Action tracking records

Surveillance and test records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.4

Cask Transportation surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify Cask Transportation follow up actions were identified, documented and tracked to completion.
- 2 Verify completed Cask Transportation surveillance and tests are reviewed by facility operations supervision.

Acceptance Evidence:

Follow up action list and tracking mechanisms

Completed surveillances and tests

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Functional Area: 2T110, Facility Operations

Criteria Met: Yes _____

Date: 1/26/98

No _____

S/RID Reference: (S/RID 4.3.1) [29CFR1910 Part 120(e)]

OBJECTIVE NO: 5.0.O.b

Procedures are in place that ensure nonresident personnel have received the proper training for unescorted access to SNF Facilities. A review of nonresident personnel training history is also performed against the current training requirements to assure individuals working in the facility are up to date on facility specific training requirements.

CRITERIA NO: 5.0.O.b.2

A review of nonresident personnel training history is also performed against the current training requirements to assure individuals working in the facility are up to date on facility specific training requirements.

Actions to Accomplish:

- 1 Review training records for individuals that are nonresident personnel.
- 2 Verify that nonresident personnel are trained and up to date on facility specific training requirements or escorted by trained individuals.

Acceptance Evidence:

Field interview records

Nonresident training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [10 CFR 830, Part 120(c)(1)(ii); DOE 5480.20A, Revision 0, Chapter 1, Section

7b; Preamble, Section 6.b, 8.a, and 8.b; WAC 173-0303, Section 330(1), (1)(a), 1(b), 1(c), 1(d) and (2)]

OBJECTIVE NO: 5.0.O.c

Goals, objectives, and plans are in place that describes the implementation of training and qualification programs. The training and qualification program status is current with the TIM.

CRITERIA NO: 5.0.O.c.2

Goals, objectives, and plans are in place that describe qualification programs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify operations decides individual training needs and tailors the training program for each individual based on previous education, training experience and skill level.
- 2 Verify that operations defines the training programs for each position and decides the content and emphasis of the training needed.
- 3 Verify that operations management defines the jobs, tasks, skill levels and responsibilities and identifies individuals to fill these positions.
- 4 Confirm operations has established goals, objectives, and plans for qualification programs.
- 5 Verify that qualification criterion is established.

Acceptance Evidence:

Operations training plan in place

Trainee's previous education records, experience, and skill level

Training implementation matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

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Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.2) [DOE 5480.20A, Revision 0, Chapter 4, Section 5]
(S/RID 4.3.5) [DOE 5480.20A, Revision 0, Chapter 4, Section 2 and 4; DOE/RL-92-36,
Revision 0, part 4.3 to 4.5]
(S/RID 4.3.6) [DOE 5480.20A, Revision 0, Chapter 2, Section 6 and Chapter 4, Section 4]

OBJECTIVE NO: 5.0.O.n

Training frequency is defined for operators, fissionable material handlers, and supervisors. Operators, fissionable material handlers, and supervisors maintain their training requirements.

CRITERIA NO: 5.0.O.n.1

Training frequency is defined for operators, fissionable material handlers, and supervisors.

Actions to Accomplish:

- 1 Verify that operators, fissionable material handlers, and supervisors training was defined and that the training is current and that the training frequency is specified.

Acceptance Evidence:

Certification suspension notices (if applicable)

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.2) [DOE 5480.20A, Revision 0, Chapter 4, Section 5]
(S/RID 4.3.5) [DOE 5480.20A, Revision 0, Chapter 4, Section 2 and 4; DOE/RL-92-36, Revision 0, part 4.3 to 4.5]
(S/RID 4.3.6) [DOE 5480.20A, Revision 0, Chapter 2, Section 6 and Chapter 4, Section 4]

OBJECTIVE NO: 5.0.O.n

Training frequency is defined for operators, fissionable material handlers, and supervisors. Operators, fissionable material handlers, and supervisors maintain their training requirements.

CRITERIA NO: 5.0.O.n.2

Operators, fissionable material handlers, and supervisors maintain their training requirements.

Actions to Accomplish:

- 1 Field verify that the fissionable material handlers, operators, and supervisors are current with the training requirements.
- 2 Verify that operators, fissionable material handlers, and supervisors training is current and that the training frequency is specified.

Acceptance Evidence:

Certification suspension notice (if applicable)

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [29CFR1910, Part 120(e)(5), (e)(6) and (q)(7); DOE 5480.20A, Revision 0, Chapter I, Section 3, Chapter IV, Section 2.a, 2.f, and 3]

OBJECTIVE NO: 5.1.M.b

Line management is responsible for the implementation of the training and qualification program(s). This objective is applicable to Facility/System Startup, Facility Operations, Facility Maintenance, Operational Readiness, Training and Procedures, Facility Projects and Radiation Protection.

CRITERIA NO: 5.1.M.b.6

Line management is responsible for the implementation of the training and qualification program(s). This criteria is only applicable for Facility Operations.

Actions to Accomplish:

- 1 Review staff qualification records.
- 2 Verify operations personnel are qualified to perform tasks.
- 3 Verify that radiation work retraining is conducted at a sufficient frequency not to exceed two years.
- 4 Verify facility operations knowledge of radiation safety fundamentals for operations personnel who are radiation workers.
- 5 Verify OJT is a formal part of the facility operations training program.
- 6 Field verify that line managers and supervisors routinely observe work activities and correct deficiencies as they relate to training.
- 7 Field verify that each management function meets the requirements of AP 8-008, "Training Records", and verify that line management is responsible for the implementation of the training and qualification program(s).

Acceptance Evidence:

Interviews records

SNF policies and procedures

Training Implementation Matrix and TMX

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.3.3) (DOE 5480.20A, Revision 0, Chapter 1, Section 7.g.(1) & (2) and Chapter IV, Section 2.e
(S/RID 4.1.2) (DOE 5480.20A, Revision 0, Chapter 1, Section 5
(S/RID 4.3.4) (29 CFR 1910, Part 120(e)(4))

OBJECTIVE NO: 5.6.O.a

Minimum staffing requirements are established for operations personnel, supervisors, process engineers, maintenance, and managers and are consistent with TSRs.

CRITERIA NO: 5.6.O.a.1

Minimum staffing requirements are established for operations personnel. Minimum staffing requirements are consistent with TSRs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Review minimum shift complement to ensure sufficient numbers are available to carry out facility programmatic operations.
- 2 Review training records to verify operations personnel assigned are qualified to carry out facility programmatic operations.
- 3 Review staffing requirements to determine that technical safety requirements are met.
- 4 Verify that administrative procedures identify the minimum staffing requirements for safe operation.

Acceptance Evidence:

Technical Safety Requirements

Administrative procedures

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [DOE 5480.20A, Revision 0, Section 5]; (S/RID 4.3.1); (S/RID 4.3.2 through 4.3.6)

OBJECTIVE NO: 5.6.O.c

Entry-level requirements are established for each operations position and include the minimum education, experience, technical, and medical requirements.

CRITERIA NO: 5.6.O.c.1

Entry-level requirements are established for each operations position and include the minimum education, experience, technical, and medical requirements. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Review training and personnel records to verify entry level requirements are met.
- 2 Verify entry level requirements are identified for each position description. The requirements indicate the technical, medical, and educational requirements.

Acceptance Evidence:

Personnel records

Training records

AP 8-005

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) (S/RID 4.3.4)[DOE 5480.20A, Revision 0, Chapter 1 Section 7; 29CFR1910, part 120(e)(4)]

OBJECTIVE NO: 5.6.O.d

Management qualification requirements, both technical and managerial, are consistent with the minimum requirements.

CRITERIA NO: 5.6.O.d.1

Management qualification requirements, both technical and managerial, are consistent with the minimum requirements. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify entry level requirements are identified for each position description. The requirements indicate the technical, medical, and educational requirements.
- 2 Review training and personnel records to verify entry level requirements are met.

Acceptance Evidence:

AP 8-005

Training records

Personnel records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 3.3.3) (DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.3.3)

OBJECTIVE NO: 5.9.O.b

Essential drawings are verified for accuracy and a process is established ensuring drawings are accurate. Operators understand the control and use of essential drawings.

CRITERIA NO: 5.9.O.b.2

Essential drawings are available for facility operations.

Actions to Accomplish:

- 1 Verify essential drawings are available for use in KB, CVD, and CSB.
- 2 Verify operators understand the control and use of essential drawings.

Acceptance Evidence:

Interview records

Essential drawing files

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.19 Chapter XIII; DOE 5480.20A, Revision 0, Chapters 1 and 4]

OBJECTIVE NO: 6.0.O.a

Operations are performed safely and operators demonstrate the necessary knowledge. Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

CRITERIA NO: 6.0.O.a.2

Operators demonstrate the necessary knowledge to operate safely.

Actions to Accomplish:

- 1 Verify that operations personnel demonstrate the necessary knowledge to operate safely.

Acceptance Evidence:

Interview records

Dry run observations

Drill records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Chapter XIII];(S/RID 4.3.5)[DOE 5480.20A,Revision 0,
Chapter I and IV]

OBJECTIVE NO: 6.0.O.b

Operations personnel demonstrate a practical understanding of facility systems components and operations.
Operators provide adequate attention to detail and demonstrate an adequate knowledge of health, safety, and environmental protection issues.

CRITERIA NO: 6.0.O.b.1

Operations personnel demonstrate a practical understanding of facility systems components and operations.
Operators provide adequate attention to detail and demonstrate an adequate knowledge of health, safety, and environmental protection issues.

Actions to Accomplish:

- 1 Interview operations personnel to determine personnel knowledge level.
- 2 Verify the minimum operating crew completed emergency and routine drills, and performance demonstrates operator proficiency.
- 3 Verify minimum operating crew training is complete and records are available for review.

Acceptance Evidence:

Interview records
Dry run observation records
Drill records
Training records

Results:

Record Review:
Interviews:
Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.3.5) [DOE 5480.20A, Chapter I and IV]; (S/RID 9.2.5) [DOE 5480.19, and 10CFR835]; (S/RID 5.10.1) [DOE/RL-94-02 Revision 1, Chapter 12]

OBJECTIVE NO: 6.0.O.c

Operators demonstrate the ability to carry out normal and emergency procedures.

CRITERIA NO: 6.0.O.c.1

Operators demonstrate the ability to carry out normal operating procedures.

Actions to Accomplish:

- 1 Verify management observes that operators are able to carry out normal and emergency procedures.
- 2 Verify the dry run program is complete and records are available for review.
- 3 Verify, by observation, that operators demonstrate they carry out normal operating procedures.

Acceptance Evidence:

Dry run observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1 and 4.3.5) [DOE 5480.19, Chapter 1]

OBJECTIVE NO: 6.0.O.d

Operations personnel demonstrate knowledge of their responsibilities and operating procedures. Formal documentation exists that specifies job specific requirements and responsibilities.

CRITERIA NO: 6.0.O.d.1

Operations personnel demonstrate knowledge of their responsibilities.

Actions to Accomplish:

- 1 Review operations personnel job requirements.
- 2 Interview operations personnel to determine their knowledge of responsibilities.
- 3 Observe dry run performances to verify that operations personnel demonstrate an adequate knowledge of their responsibilities.

Acceptance Evidence:

Job requirements

Interview records

Dry run observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1 and 4.3.5) [DOE 5480.19, Chapter 1]

OBJECTIVE NO: 6.0.O.d

Operations personnel demonstrate knowledge of their responsibilities and operating procedures. Formal documentation exists that specifies job specific requirements and responsibilities.

CRITERIA NO: 6.0.O.d.2

Operations personnel demonstrate knowledge of their operating procedures.

Actions to Accomplish:

- 1 Interview operations personnel to determine their knowledge of operating procedures.
- 2 Observe dry run performances to verify that operations personnel demonstrate an adequate knowledge of their operating procedures.

Acceptance Evidence:

Interview records

Dry run observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1)(S/RID 9.1) [DOE 5480.20A; DOE 5480.19]

OBJECTIVE NO: 6.1.O.a

Control Room operators demonstrate a practical and adequate understanding of the DCS. They are able to discuss and demonstrate the capabilities and limitations including interfaces with production, support, and safety systems.

CRITERIA NO: 6.1.O.a.1

Control Room operators demonstrate a practical and adequate understanding of the DCS.

Actions to Accomplish:

- 1 Review training records to verify that operators were provided a good basis for understanding the DCS system.
- 2 Interview operators to determine their level of understanding of the DCS system.
- 3 Observe dry runs to determine operators have a thorough understanding of the DCS system.

Acceptance Evidence:

Interview records

Training records

Dry run observations

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) (DOE 5480.19, Revision C01, Preamble, Section 5.c)

OBJECTIVE NO: 6.1.O.b

Operators understand the capabilities associated with the MCS (CVD) and the DCS (CSB) and demonstrate the ability to correctly respond to all postulated situations.

CRITERIA NO: 6.1.O.b.1

Operations personnel responsible for operating the DCS system have a level of knowledge required for the safe performance of their duties.

Actions to Accomplish:

- 1 Interview operations personnel to determine their level of knowledge of the DCS system is sufficient for operation of the CSB facility.
- 2 Observe dry run performances to verify that operations personnel demonstrate an adequate working level knowledge of the DCS system.
- 3 Verify that training has been completed on the DCS system for CSB.

Acceptance Evidence:

Dry run observation records

Interview records

Drill records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) (DOE 5480.19, Revision C01, Preamble, Section 5.c)

OBJECTIVE NO: 6.1.O.b

Operators understand the capabilities associated with the MCS (CVD) and the DCS (CSB) and demonstrate the ability to correctly respond to all postulated situations.

CRITERIA NO: 6.1.O.b.2

Operations personnel responsible for operating the MCS system have a level of knowledge required for the safe performance of their duties.

Actions to Accomplish:

- 1 Interview operations personnel to determine their level of knowledge of the MCS system is sufficient for operation of the CVD facility.
- 2 Observe dry run performances to verify that operations personnel demonstrate an adequate working level knowledge of the MCS system.
- 3 Verify that training has been completed on the MCS system for CVD facility.

Acceptance Evidence:

Interview records

Drill records

Training records

Dry run observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [DOE 5480.20A, Revision Chapter I, Section 7], (S/RID 4.3.8)[29CFR1910 Part 120]

OBJECTIVE NO: 6.10.O.a

Waste management and environmental support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 6.10.O.a.1

Waste management personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

Actions to Accomplish:

- 1 Interview waste handling personnel to determine their knowledge of normal and emergency procedures.
- 2 Verify compliance with waste handling procedures.

Acceptance Evidence:

Observation records

Interview records

Waste handling procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 12.1.2) [DOE 420.1; DOE 5480.20A, Chapter I and IV; DOE 5700.6C, Criteria II; 10CFR830.120]

OBJECTIVE NO: 6.6.O.a

Fire protection support personnel demonstrate a working knowledge of SNF facilities related to safety and an attention to health, safety, and environmental protection issues.

CRITERIA NO: 6.6.O.a.1

Fire protection support personnel demonstrate a working knowledge of SNF facilities related to safety and an attention to health, safety, and environmental protection issues.

Actions to Accomplish:

- 1 Verify fire protection personnel are trained on facility systems related to safety.
- 2 Operations and operations support personnel that support fire protection demonstrate a working knowledge of SNF facilities related to safety.

Acceptance Evidence:

Interview records

Drill records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1 and 12.2.5) [DOE 420.1; DOE 5480.20A, Chapter I and IV]

OBJECTIVE NO: 6.6.O.b

Operations personnel demonstrate the ability to anticipate, recognize, evaluate and respond to fire hazards.

CRITERIA NO: 6.6.O.b.1

Operations personnel demonstrate the ability to anticipate, recognize, evaluate and respond to fire hazards.

Actions to Accomplish:

- 1 Interview operations personnel to determine their knowledge and understanding of fire fighting responsibilities.
- 2 Observe drills that demonstrate operations personnel have the ability to recognize, evaluate, and respond to fires.
- 3 Verify operations personnel are trained in the ability to recognize, evaluate, and respond to fires.

Acceptance Evidence:

Interview records

Training records

Drill records.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1)[DOE 5480.19, Revision C01, Chapter I and XVI]

OBJECTIVE NO: 7.0.O.a

Operators, supervisors, and process engineers understand the importance of procedural compliance and adhere to the policy.

CRITERIA NO: 7.0.O.a.1

Operators and supervisors understand the importance of procedural compliance and adhere to the policy.
SNF Applicability Matrix: AP-9-004, "Technical Procedure Use and Compliance"

Actions to Accomplish:

- 1 Review training records to confirm procedural compliance is addressed.
- 2 Observe procedures being performed to verify compliance.
- 3 Interview personnel to determine their knowledge of responsibilities to procedural compliance.

Acceptance Evidence:

Interview records

MOP tour records

Dry run observation records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.b

Operator tours (surveillances) and supporting round sheets are defined to assure that processes and equipment are operating within the desired safety envelope.

CRITERIA NO: 7.0.O.b.1

Operator tours (surveillances) and supporting round sheets are defined to assure that processes and equipment are operating within the desired safety envelope. SNF Applicability Matrix: AP-2-011, "Shift Routines and Operating Practices".

Actions to Accomplish:

- 1 Interview operators to determine their understanding of the importance of inspection tours.
- 2 Verify round sheets contain equipment parameters such as maximum and minimum values that are expected. Operating ranges are specified to enable operators to recognize an abnormal reading.
- 3 Verify that round/tour inspection sheets are developed for each facility.
- 4 Review completed patrol sheets to verify operator inspection tours are performed in accordance with AP 2-011.
- 5 Verify operator inspection tours check the status of equipment, components, alarms lights and annunciators.
- 6 Verify operator inspection tour requirements are in place for each facility.

Acceptance Evidence:

Interview records

Completed operator inspection tour round sheets

AP 2-011

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.c

Shift personnel are aware of process and equipment status at all times. Specific actions are taken and documented for restoring inoperable or malfunctioning equipment. (Special emphasis is placed upon safety and environmental protection equipment.)

CRITERIA NO: 7.0.O.c.1

Shift personnel are aware of process and equipment status at all times. Specific actions are taken and documented for restoring inoperable or malfunctioning equipment. (Special emphasis is placed upon safety and environmental protection equipment.) SNF Applicability Matrix: AP 2-011, "Shift Routines and Operating Practices".

Actions to Accomplish:

- 1 Verify shift turnovers are conducted in accordance with AP 2-019.
- 2 Verify professional conduct and watch standing practices are in place.
- 3 Verify equipment monitoring is in place for each facility.
- 4 Verify that administrative procedure AP 2-019, "Shift Turn Over," is updated to include all SNF facilities.
- 5 Verify that administrative procedure AP 2-011, "Shift Routines and Operating Practices," is updated to include all SNF facilities.

Acceptance Evidence:

MOP tour records

Shift turnover observations

AP 2-019

AP 2-011

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.d

Operators demonstrate an attitude and approach that reflect an awareness of abnormalities and unusual conditions or trends. Operators also demonstrate an ability to follow up on indications, abnormalities, and unusual conditions or trends.

CRITERIA NO: 7.0.O.d.1

Operators demonstrate an attitude and approach that reflect an awareness of abnormalities and unusual conditions or trends. Operators also demonstrate an ability to follow-up on indications, abnormalities, and unusual conditions or trends.

Actions to Accomplish:

- 1 Review completed rounds sheets to evaluate effectiveness of operator rounds and supervision reviews.
- 2 Interview operations personnel to verify that operators are aware of how to detect abnormalities and unusual conditions or trends.
- 3 Interview operations personnel to verify that operators possess the ability to follow up on indications, abnormalities, and unusual conditions or trends.

Acceptance Evidence:

Completed rounds sheets

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.e

Expectations related to achieving quality communications within the facility are clearly defined and understood.

CRITERIA NO: 7.0.O.e.I

Expectations related to achieving quality communications within the facility are clearly defined and understood. SNF Applicability Matrix: Spent Nuclear Fuel Project Administration Manual; AP 2-011, "Shift Routines and Operating Practices"; AP-2-013, "Communications".

Actions to Accomplish:

- 1 Observe face to face communications of operations personnel.
- 2 Verify that control area personnel can quickly contact on-shift operators or supervisors.
- 3 Observe face to face communications of operations personnel and verify oral communication is clear and concise.
- 4 Review training records to verify communication expectations are provided to operations personnel.
- 5 Verify AP 2-013, "Communications", is implemented.

Acceptance Evidence:

Face to face communication observations

Shift briefing observations

AP 2-013

MOP tour records

Shift turnover observations

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.f

Maintenance and operating procedures are implemented that monitor, control configuration and status process systems.

CRITERIA NO: 7.0.O.f.3

Administrative procedures are implemented that control configuration, and status plant process systems.

Actions to Accomplish:

- 1 Interview operations personnel to verify a thorough knowledge of the work control process and that operations personnel can identify who is responsible and communicate how to identify and document equipment deficiencies.

Acceptance Evidence:

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.g

The independent verification program and the administrative procedures are in place.

CRITERIA NO: 7.0.O.g.1

The independent verification program is in place along with the administrative and operating procedures. SNF Applicability Matrix: AP-2-008, "Lock and Tag"; HNF-PRO-081, "Hazardous Energy Control Program".

Actions to Accomplish:

- 1 Verify training addressed independent verification techniques.
- 2 Interview operations personnel to determine knowledge of program.
- 3 Observe performance of independent verification to ensure proper application.
- 4 Review operating procedures that implement independent verification programs.

Acceptance Evidence:

Observation records

Interview records

Training records

Operating procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.g

The independent verification program and the administrative procedures are in place.

CRITERIA NO: 7.0.O.g.2

The lockout and tagout program provides a method for equipment status control, through component locking and tagging to protect personnel from injury, protected equipment from damage, and maintain the operability and physical boundaries of plant systems. SNF Applicability Matrix: AP-2-008, "Lock and Tag"; HNF-PRO-081, "Hazardous Energy Control Program".

Actions to Accomplish:

- 1 Interview affected and authorized workers to determine their knowledge of responsibilities.
- 2 Verify periodic checks and reviews of the entire program are conducted, documented, and deficiencies corrected.
- 3 Review placement and removal of lock and tags to ensure they are documented and approved.
- 4 Verify lockouts and tagouts are administered by authorized and trained personnel.
- 5 Verify lockouts and tagouts are technically correct.

Acceptance Evidence:

Interview records

Lock and tag surveillances

Completed lock and tag authorization forms

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.h

Administrative logkeeping procedures defining log keeping requirements and responsibilities are implemented.

CRITERIA NO: 7.0.O.h.1

AP 2-018 defines logkeeping requirements and responsibilities.

Actions to Accomplish:

- 1 Interview operations personnel to determine their knowledge of logkeeping responsibilities.
- 2 Verify logbook entries are reviewed by operations management.
- 3 Verify log entries are consistent with AP 2-018 requirements.
- 4 Review log books to verify compliance with AP 2-018.
- 5 Verify logkeeping requirements and responsibilities are defined.
- 6 Verify AP 2-018 is implemented.

Acceptance Evidence:

Interview records

Logbooks

Logbook review documentation

AP 2-018

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.j

Shift turnover procedures and responsibilities assuring an effective shift turnover are defined and understood. Required turnover documentation is defined and implemented.

CRITERIA NO: 7.0.O.j.1

Shift turnovers are performed in accordance with AP 2-019, "Shift Turnover"

Actions to Accomplish:

- 1 Interview on-coming personnel to determine their knowledge of facility conditions.
- 2 Observe shift crew briefing conducted by the operation supervisor.
- 3 Observe walk downs of control panels are conducted by each shift watch stander.
- 4 Interview operations personnel to determine their knowledge of shift turnover requirements.
- 5 Observe shift turnovers for compliance with AP 2-019.
- 6 Verify administrative procedure AP 2-019, "Shift Turn Over," is implemented.

Acceptance Evidence:

Shift turnover observation records

Interview records

AP 2-019

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3, and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.k

The required reading program defines programs requirements, supporting procedures, and responsibilities. The program is implemented.

CRITERIA NO: 7.0.O.k.1

A required reading program defines requirements, supporting procedures, and responsibilities. The program is implemented. SNF Applicability Matrix: AP 1-014, "Required Reading"

Actions to Accomplish:

- 1 Interview operators, shift supervisors, facility managers, and required administrative personnel to determine that the criteria being used in the program is successful, responsibilities for the program are understood, and that required reading is being completed per facility expectations.
- 2 Review required reading records to determine if program is up to date.
- 3 Verify AP 1-014, "Required Reading", is implemented.

Acceptance Evidence:

Interview records

Required reading records

AP 1-014

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3, and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.1

Operator aid guidelines for preparation and control are defined and communicated. Operator aid responsibilities are understood and a log of approved operator aids is maintained.

CRITERIA NO: 7.0.O.1.1

Operator aid guidelines for preparation and control are defined and communicated. Operator aid responsibilities are understood and a log of approved operator aids is maintained. SNF Applicability Matrix: AP 02-021, "Operator Aid Posting".

Actions to Accomplish:

- 1 Interview operators and operations management to determine their knowledge of responsibilities for operator aids.
- 2 Verify that no unauthorized operator aids exist.
- 3 Verify that quarterly reviews are performed and deficiencies corrected.
- 4 Verify operator aids reflect current information.
- 5 Review training records to verify that operations supervisors and operators are trained in the use of operator aids.
- 6 Verify administrative procedure AP 2-021, "Operator Aid Posting," is implemented.

Acceptance Evidence:

MOP tour reports

Interview records

Quarterly review reports

AP 2-021

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 9.1) (DOE 5480.19, Revision C01, Chapter XV)

OBJECTIVE NO: 7.0.O.m

A Timely orders program is approved and implemented to communicate short term information and administrative instructions to operations personnel.

CRITERIA NO: 7.0.O.m.1

Operator orders are issued by the operations manager or delegate whenever necessary to communicate instructions to shift personnel. Operations personnel review the orders each shift.
Orders that are no longer applicable or outdated are removed or cancelled.

Actions to Accomplish:

- 1 Confirm that the orders program is up to date.
- 2 Verify shift personnel review orders each shift.
- 3 Confirm the operations orders program is implemented.

Acceptance Evidence:

Order change records

Operator orders

Shift logs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.3) [DOE 5480.19 Revision C01, Chapter 6]

OBJECTIVE NO: 8.0.M.b

Corrective actions for safety incidents, occurrences, and accidents are effective.

CRITERIA NO: 8.0.M.b.1

Corrective actions for occurrences are effective.

Actions to Accomplish:

- 1 Review closed occurrence reporting corrective actions for effective actions.
- 2 Review corrective action management system to verify corrective actions from occurrence reporting are included.

Acceptance Evidence:

Occurrence reporting corrective action list

Corrective action management system

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.1 and 4.3.5) [DOE 5480.19, Chapter 1]

OBJECTIVE NO: 8.0.M.c

Operators, supervisors, and process engineers are knowledgeable of safety and environmental protection requirements and understand how they are implemented.

CRITERIA NO: 8.0.M.c.1

Operators and supervisors are knowledgeable of safety and environmental protection requirements and understand how they are implemented.

Actions to Accomplish:

- 1 Interview personnel to verify their knowledge of safety and environmental protection requirements.
- 2 Verify that SARs, TSRs, and Process Standards are available for all personnel.
- 3 Verify training is complete on safety and environmental protection requirements.

Acceptance Evidence:

Interview records

Process standards

TSR

SAR

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 1.6)[DOE 232.1 Para. 4.c.3] (S/RID 9.2.1) (DOE 5490.19)

OBJECTIVE NO: 8.0.O.b

Operators, supervisors, and process engineers demonstrate, through their actions, an understanding of recent safety related occurrence events.

CRITERIA NO: 8.0.O.b.1

Operators and supervisors demonstrate, through their actions, an understanding of recent safety related occurrence events. Refer to AP 2-016, "Lessons Learned".

Actions to Accomplish:

- 1 Interview personnel to verify a thorough understanding of recent safety related occurrence events.
- 2 Verify that occurrence reporting lessons learned information is available to operators and supervisors.

Acceptance Evidence:

Interview records

Lessons learned program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.4

This structure is implemented and is understood by operations. DESH 1.

Actions to Accomplish:

- 1 Interview personnel to verify the management structure and reporting relationships are clearly understood by all employees that work within the SNF project.
- 2 Review relationships with other contractors and within the SNF Project to ensure that line management has control of safety.
- 3 Verify that matrix agreements are in place that define the roles, responsibilities, and reporting relationships. The following matrix contractor agreements are clearly defined:

Fluor Daniel Hanford
Dyncorp
Lockheed Martin
Waste Management Federal Services

- 4 Verify a clear management structure is established, approved, and implemented for SNF operations.

Acceptance Evidence:

Interview records

Memorandums of Understanding

Matrix agreements

Operations charter

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T110, Facility Operations

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910, Part 120; DOE/RL-94-02, Revision 1 Change 5, Chapter 11 Section 11.1,
Paragraph 1]

OBJECTIVE NO: 9.0.O.b

Operations and operations support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 9.0.O.b.1

Operations personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

Actions to Accomplish:

- 1 Verify operations and operations support personnel demonstrate the ability to carry out normal procedures under their cognizance.
- 2 Verify procedures are developed for operations and operations support personnel for normal operations.

Acceptance Evidence:

Dry run observation records

Operating procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Maintenance & Work Control

2T120

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 13.4)[Title 49 CFR, Parts 171-180; DOE 460.1]

OBJECTIVE NO: 1.0.S.k

A Safety Analysis Report Packaging (SARP) program is implemented to assure and measure compliance with applicable State and Federal regulations, including those of DOT, OSHA, and EPA.

CRITERIA NO: 1.0.S.k.3

Maintenance has implemented the SARP requirements for the shipping, packaging, and transportation requirements as they apply to maintenance.

Actions to Accomplish:

- 1 Confirm that maintenance drivers are trained and qualified for shipping, packaging, and transportation activities for transporting Spent Nuclear Fuel from the K Basins to the CVD and from the CVD to the CSB.
- 2 Confirm that emergency response guides are written and located in the transportation vehicles used to transport Spent Nuclear Fuel from the K Basins to the CVD and From the CVD to the CSB.
- 3 Confirm that the environmental safety and health training and qualification program for shipping packaging and transportation activities is in place for maintenance personnel.

Acceptance Evidence:

Maintenance Interviews

Maintenance training records

Emergency response guides and maintenance procedures for shipping and transportation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.3

Facility support management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Review maintenance policy and verify that maintenance employees understand his/her accountability for performance.
- 2 Conduct periodic inspections of structures, systems, components, and equipment. Verify that inspections are complete to find out whether deterioration is taking place and to identify and address technical obsolescence that threatens performance, safety or facility preservation.
- 3 Verify maintenance personnel clearly understand their authority, responsibility, accountability and interfaces with other groups.
- 4 Verify that the maintenance manager has established policies that affect maintenance in the K Basins, CVD, and CSB.
- 5 Verify that maintenance management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

Maintenance Implementation Plan
Maintenance Policies

Interviews records

Facility tour documents

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 19.1.2)[DOE 5483.1A, Chapter 1; DOE 5480.10, Paragraph 9.b]

OBJECTIVE NO: 15.1.S.c

Job Hazards Analysis (JHA) are conducted routinely by experienced engineering, occupational safety, and industrial hygiene personnel. Hazardous activities are a coordinated effort to avoid hazardous and unsafe operations.

CRITERIA NO: 15.1.S.c.2

Hazardous activities are a coordinated effort to avoid hazardous and unsafe operations.

Actions to Accomplish:

- 1 Perform field observations to determine if there is a coordinated effort in place for the JHA maintenance processes.
- 2 Verify that the JHAs for maintenance activities are complete for the K Basin, CVD, CSB, and Cask/Transportation operations.
- 3 Confirm that the JHAs are being performed on maintenance work packages that are safety significant.

Acceptance Evidence:

Field observation records

Schedules showing JHA work

JHA records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 19.3.2)[DOE 5480.19, Chapter II, DOE 5480.10, Paragraph 9.b.(3), and 9.e]

OBJECTIVE NO: 15.1.S.d

Industrial safety and hygiene equipment is identified, reviewed, selected, maintained and where applicable, tested to ensure adequate personnel protection.

CRITERIA NO: 15.1.S.d.2

Industrial safety and hygiene equipment maintenance is identified and implemented to ensure adequate personnel protection.

Actions to Accomplish:

- 1 Verify records document that industrial safety and hygiene equipment testing is in place for CVD, CSB, and K W Basin.
- 2 Review schedules for preventive maintenance of industrial safety and hygiene equipment.
- 3 Review equipment records of Industrial safety and hygiene equipment. Verify equipment is maintained to ensure adequate protection.

Acceptance Evidence:

Maintenance records

Field PPE observations

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1/MIP) (DOE 4330.4B, Revision 0, Preamble, Section 10.a)

OBJECTIVE NO: 15.3.O.a

The maintenance organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 15.3.O.a.1

The maintenance organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

Actions to Accomplish:

- 1 Verify that a performance program is used to evaluate facility maintenance personnel. Verify that managerial or supervisory discusses performance with each individual.
- 2 Verify that deviation from or non-applicability of requirements in DOE 4330.4b have been identified in the MIP and approved by DOE-RL.
- 3 Verify that a sufficient number of qualified maintenance personnel are available to allow maintenance organization to support operations while maintaining training of maintenance personnel.
- 4 Verify that policies, goals, and objectives concerning the conduct of maintenance are established, documented and communicated. Verify effective implementation and control of maintenance activities.
- 5 Verify that SNF has developed, implemented and documented a program according to DOE 4430.4b with a maintenance implementation plan.
- 6 Verify preventative maintenance, calibration and function test procedures are prepared, approved and entered into the work control system.
- 7 Verify that maintenance procedures and data sheets for the new equipment and facilities are prepared and approved.
- 8 Maintenance functions, assignments, responsibilities, and reporting relationships personnel are defined. Facility personnel understand their responsibilities and reporting relationships.
- 9 Verify the maintenance implementation plan is approved for K Basins, CVD, CSB, and Cask transportation activities.

Acceptance Evidence:

Interview records

Training records

MSA APPRAISAL FORM

Position descriptions

Performance program

Field observation records

Maintenance Implementation Plan

Maintenance procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.e

The maintenance work control system provides management with a means of controlling backlog, prioritizing work and planning. Work on safety components and environment equipment receives a higher priority over other items.

CRITERIA NO: 15.3.O.e.1

The maintenance backlog is controlled, prioritized, and minimized. Work on safety components and environment equipment receives a high priority, and backlog is a minimum.

Actions to Accomplish:

- 1 Verify the maintenance schedule efficiently integrates maintenance tasks, operations activities and project tasks.
- 2 Verify the maintenance schedule is adhered to and that a formal consistent method to change the schedule is used.
- 3 Verify that performance indicators are available for review. Verify that performance trends indicate the work is controlled, prioritized, and safety backlogs minimized.
- 4 Verify that work control procedures describe the definitions of priorities and that the priorities are being used correctly to schedule work.
- 5 Verify that maintenance backlog is monitored to ensure that the condition of the facility is maintained consistently with the K Basins, CVD, and CSB missions.
- 6 Verify that items important to safety receive a higher priority over other items. Confirm that deferred critical facility maintenance is documented and justified in writing by management.
- 7 Verify a maintenance backlog is in use for CSB, CVD, and K Basins. Verify that evidence exists that management controls backlog according to the maintenance implementation plan and the work control procedures.

Acceptance Evidence:

Schedule information showing percent scheduled versus percent completed

Field observation records

Interview records

Performance indicators reviewed

Maintenance Backlog records

Results:

MSA APPRAISAL FORM

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.e

The maintenance work control system provides management with a means of controlling backlog, prioritizing work and planning. Work on safety components and environment equipment receives a higher priority over other items.

CRITERIA NO: 15.3.O.e.2

Maintenance work control, planning, and performance is satisfactory.

Actions to Accomplish:

- 1 Verify that the FDH ISMS objective to "improve work efficient, safety and environmental protection by involving workers early in the work planning process," is adhered to.
- 2 Interview craft personnel to determine if they are involved early in the planning process, in assisting in the generation of the job hazard analysis, and the work planning effort.
- 3 Verify that the planning process includes, procurement of materials, tools, equipment, manpower, and skill requirements, identification of facility conditions and prerequisites including technical specifications and limiting conditions of operation required for the work to be accomplished.
- 4 Confirm that there is adequate communication among cognizant groups to set priorities.
- 5 Verify through drill observations that maintenance staff act appropriately under simulated emergency situations.
- 6 Confirm that maintenance work is normally preplanned and a minimum of delay time is caused by materials or planning.
- 7 Verify that work package safety includes ALARA planning, radiation and industrial safety hold points, and accurately reflects the work site.
- 8 Confirm that work package preparation takes into account plant configuration issues, safety, environmental compliance, and safety basis requirements. Verify work control system identifies quality control inspection and technical specification requirements.
- 9 Verify that planning and scheduling is satisfactory to achieve industry averages in maintenance production.

Acceptance Evidence:

Schedule records

Interview records

Record of emergency drill observations

Work packages reviewed

MSA APPRAISAL FORM

Performance indicators

Maintenance records

Field observation record

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.g

The measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated.

CRITERIA NO: 15.3.O.g.1

The measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated.

Actions to Accomplish:

- 1 Verify M&TE calibrations are tracked and equipment used in the field has a current calibration.
- 2 Verify M&TE is calibrated and in a program that periodically recalibrates the M&TE.

Acceptance Evidence:

Field walkdown documents reviewed

Critical equipment calibration records reviewed

M&TE records reviewed

Calibration program (plans and schedules) for M&TE

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.g

The measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated.

CRITERIA NO: 15.3.O.g.2

Matrix agreements with the calibration authority are in place and calibration of M&TE is traceable to the national bureau of standards.

Actions to Accomplish:

- 1 Confirm calibrated instruments are in the field.
- 2 Verify that matrix agreements are in place with the calibration authority for the calibration of instruments.
- 3 Verify that the calibration authority calibration records for M&TE is traceable to the national bureau of standards.

Acceptance Evidence:

Walk-down records

Interviews with calibration authority and maintenance management records

Calibration records

Matrix agreements

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.g

The measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated.

CRITERIA NO: 15.3.O.g.3

Maintenance personnel understand the calibration system and periodically review equipment used to ensure proper operation.

Actions to Accomplish:

- 1 Verify that management reviews calibration equipment periodically to ensure proper operation.
- 2 Verify that maintenance personnel understand the importance of the calibration system.

Acceptance Evidence:

Records review

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.g

The measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated.

CRITERIA NO: 15.3.O.g.4

Adequate storage and environmental conditions exist for M & TE equipment.

Actions to Accomplish:

- 1 Verify that storage and transportation of calibration equipment is controlled.

Acceptance Evidence:

Interview records

Field observation records

Records reviewed

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.g

The measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated.

CRITERIA NO: 15.3.O.g.5

M&TE equipment is available for all facilities and individuals are trained in proper operation of the equipment.

Actions to Accomplish:

- 1 Verify that M&TE equipment is available for all new processes and facilities at the CVD and CSB.

Acceptance Evidence:

Field observation records

Interview records

M&TE records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.h

Maintenance work packages identify or include applicable guidelines, procedures, special precautions to be followed when the work is on hazardous systems, requirements associated with Technical Safety Requirements or other technical operation requirements, and any requirement for special surveillance to be performed.

CRITERIA NO: 15.3.O.h.1

Maintenance work packages clearly define the work to be done. Appropriate reference is provided in the work package, which provides the basis for the work.

Actions to Accomplish:

- 1 Observe the steps in work package development.
- 2 Verify that workers were involved in planning the work steps and JHA development of the work package.
- 3 Verify that materials are coordinated and staged for maintenance activities.
- 4 Verify that advance planning is performed to routinely update the schedule of maintenance activities.
- 5 Verify that special surveillance and support activities are planned in the maintenance work packages.
- 6 Verify that completed work packages are reviewed for proper completion of the administrative requirements.
- 7 Interview individuals from the craftsperson to the manager of maintenance to determine if maintenance work packages are adequate to be worked when they are turned over, or if they routinely require rework prior to implementation.
- 8 Verify that maintenance work packages contain the material required to perform work.
- 9 Verify that maintenance work packages contain information to safely perform work activities in the facilities.

Acceptance Evidence:

Field observation records

Interview records

Listing of maintenance work packages reviewed

Results:

MSA APPRAISAL FORM

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.I

A Preventative Maintenance Program exists that includes systems and equipment that affect safe and reliable operation. The backlog of preventative maintenance is minimized. Preventative maintenance is not changed revised or waived beyond the grace period without justification, documentation and management approval. Preventative maintenance effectiveness is periodically evaluated at an appropriate management level, and the results are used to make program improvements.

CRITERIA NO: 15.3.O.I.1

A Preventative Maintenance Program is in place and measured for effectiveness.

Actions to Accomplish:

- 1 Verify that preventative maintenance backlog is minimized and performed at predetermined and scheduled intervals
- 2 Verify that preventative maintenance work procedures are used for facility equipment.
- 3 Verify that good lubrication practices are evident and a lubrication schedule is implemented.

Acceptance Evidence:

Field walkdown records

Interview records

Listing of preventative maintenance procedures

Preventative maintenance backlog records

Preventative maintenance records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

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Date:

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Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.I

A Preventative Maintenance Program exists that includes systems and equipment that affect safe and reliable operation. The backlog of preventative maintenance is minimized. Preventative maintenance is not changed revised or waived beyond the grace period without justification, documentation and management approval. Preventative maintenance effectiveness is periodically evaluated at an appropriate management level, and the results are used to make program improvements.

CRITERIA NO: 15.3.O.I.2

Preventative maintenance is not changed, revised, or waived beyond the grace period without proper justification, documentation and management approval.

Actions to Accomplish:

- 1 Verify that a deficiency status report is periodically reported to the facility manager showing the reasons and the intended actions necessary when preventative maintenance items are waived or deferred.
- 2 Verify that preventative maintenance items are waived or deferred only with management approval.

Acceptance Evidence:

Interview records

Report records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.j

A freeze protection program is prepared, approved, and implemented to ensure protection of the equipment/facility from the effects of cold weather and/or freezing.

CRITERIA NO: 15.3.O.j.1

A freeze protection program is in place and implemented.

Actions to Accomplish:

- 1 Verify that the plan includes details on inspection, preventative maintenance, and corrective maintenance imposed on equipment and buildings to assure continued safe facility operation.
- 2 Verify that a freeze protection plan is prepared for K Basins, CVD, and CSB.

Acceptance Evidence:

Field walk-down records.

Interview records.

Listing of administrative procedures

The freeze protection program records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.k

All phases of receiving, inspection, handling, storing, retrieving, and issuing of equipment, parts, and materials for conducting maintenance activities are covered by effective policies and procedures from the time an item is received until it is installed at the facility.

CRITERIA NO: 15.3.O.k.1

Programs are implemented to order, receive and issue proper parts and material for normal maintenance, and modification work. Methods exist to ensure that stock levels are adjusted and necessary to meet maintenance needs.

Actions to Accomplish:

- 1 Verify that all phases of receiving, inspection, handling, storing, retrieving, and issuing equipment, parts and material for maintenance are covered in the policies and procedures.
- 2 Verify that procedures are prepared that specifically describe the responsibilities of personnel involved in the procurement function.
- 3 Verify that the policies are understood by personnel who interface with the stores and purchasing operation, such as maintenance supervisors, planning, and scheduling personnel.
- 4 Verify that policies have been established for the procurement of parts, material, and services.

Acceptance Evidence:

Copies of field documents ordering, and issuing parts and materials

Listing of procedures reviewed

Interview records

Polices reviewed

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.k

All phases of receiving, inspection, handling, storing, retrieving, and issuing of equipment, parts, and materials for conducting maintenance activities are covered by effective policies and procedures from the time an item is received until it is installed at the facility.

CRITERIA NO: 15.3.O.k.2

Material is inspected prior to acceptance and storage to ensure conformance to design requirements. Acceptance is documented and in conformance with design requirements. Acceptance is documented and nonconforming items are clearly identified to prevent their use.

Actions to Accomplish:

- 1 Verify that warehouse documents are updated to reflect receipt of material.
- 2 Verify that nonconformance are documented on a nonconformance report.
- 3 Verify that nonconforming material is clearly tagged or labeled to prevent inadvertent issue.
- 4 Verify that technical staff and quality control personnel approve any deviation from specifications of material received before it is accepted into the stores system.
- 5 Verify that items that are important to safe and reliable facility operation are physically inspected to ensure that the vendor has supplied what was ordered, that the necessary formal documentation was accompanying the shipment.
- 6 Verify that upon receipt, store personnel inspect parts, material, and equipment before they are accepted for storage or use.

Acceptance Evidence:

Field observation records

Records of interviews

Listing of policies and procedures reviewed

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.k

All phases of receiving, inspection, handling, storing, retrieving, and issuing of equipment, parts, and materials for conducting maintenance activities are covered by effective policies and procedures from the time an item is received until it is installed at the facility.

CRITERIA NO: 15.3.O.k.3

The quality of stored equipment, parts, and material is maintained by preventative maintenance and environmental and shelf life controls.

Actions to Accomplish:

- 1 Verify that quality of stored equipment, parts, and materials is maintained according to vendor information by appropriate means, such as environmental and shelf-life controls and preventative maintenance activities.
- 2 Verify that items with finite lifetime are tracked so that stock that has exceeded its shelf-life is not used.
- 3 Verify that a shelf-life control program is provided for storage items that are important to safe and reliable facility operation.

Acceptance Evidence:

Field walkdown records

Interview records

List of policies and procedures reviewed

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.k

All phases of receiving, inspection, handling, storing, retrieving, and issuing of equipment, parts, and materials for conducting maintenance activities are covered by effective policies and procedures from the time an item is received until it is installed at the facility.

CRITERIA NO: 15.3.O.k.4

Provisions are established for proper storage segregation and control of hazardous material such as chemicals, reagents explosives, and flammable items.

Actions to Accomplish:

- 1 Interview key staff to determine if maintenance management, storekeepers, warehouse persons and craftpersons understand the policies and procedures.
- 2 Confirm via interviews that individuals understand the hazardous waste program, and properly control the use of these items.
- 3 Verify there is a program in place for the handling of hazardous materials from the time of receipt through use in the field.
- 4 Verify there is a periodic general inspection of the store issue room(s) and warehouse areas to determine proper storage, segregation and control of hazardous materials.
- 5 Confirm that flammable and hazardous materials are identified, segregated, and properly controlled during receipt inspection, storage and issuance.

Acceptance Evidence:

Interview records

Field observation records

Schedules, procedures and plans reviewed

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

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S/RID Reference: (S/RID 3.7.3, 3.7.4, 3.7.5, 3.7.6, 3.7.7, 3.7.8, and 3.7.9)[DOE 5480.20A]

OBJECTIVE NO: 2.1.O.c

Operations and operations support personnel with responsibilities for computer software demonstrate their knowledge of a software configuration control program. These individuals also demonstrate an adequate understanding of the software configuration control procedures that are in place.

CRITERIA NO: 2.1.O.c.2

Maintenance personnel demonstrate their knowledge of the SNF software configuration control program. Maintenance individuals can demonstrate understanding of the software configuration control procedures. Maintenance procedures are in place and the program is approved and implemented.

Actions to Accomplish:

- 1 Conduct interviews to verify implementation of computer software configuration control policies and procedures and maintenance personnel knowledge.
- 2 Confirm that policies and procedures are written, approved, and implemented that reflect computer software configuration control.
- 3 Confirm that maintenance personnel are trained and knowledgeable of computer software configuration control. Confirm that Maintenance training is documented.

Acceptance Evidence:

Policies and procedures reviewed (listing or attached procedures)

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.2

Safety, operating, and environmental requirements included within the S/RIDs are implemented into procedures.

Actions to Accomplish:

- 1 Confirm during interviews that personnel understand the importance of S/RID compliance.
- 2 Confirm that procedures are complete and in use.
- 3 Review K Basins/CVD and CSB/Hot Conditioning S/RIDs for the maintenance function. Verify that maintenance procedures include the S/RID requirements where applicable.
- 4 Confirm that procedures for the CSB, CVD, K Basins, and Cask Transportation include S/RID requirements.

Acceptance Evidence:

Interview records

S/RIDs Phase 2 adherence assessment documentation

Polices and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter I, Section C.1, and Chapter 16, Section

C.7]

OBJECTIVE NO: 3.1.O.i

Procedure users are aware. They are authorized, to take whatever action is necessary during emergency conditions, to place the facility in a safe condition to protect equipment, personnel and public safety without first initiating a procedure change.

CRITERIA NO: 3.1.O.i.1

Procedure users are aware they are authorized to take whatever action is necessary during emergency conditions to place the facility in a safe condition to protect equipment, personnel and public safety without first initiating a procedure change. SNF Applicability Matrix: AP 9-004, "Technical Procedure Use and Compliance"; and HNF-PRO-229, "Technical Procedure Standard".

Actions to Accomplish:

- 1 Verify training is completed on emergency actions required to place the facilities in a safe condition.

Acceptance Evidence:

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference:

OBJECTIVE NO: 4.0.O.a

Instruments required to safely operate the vital process equipment and components are listed on the Instrument calibration data base, and have a current calibration.

CRITERIA NO: 4.0.O.a.1

KW Basin, CVD, and CSB instruments required to safely operate the vital process equipment and components are listed in a up to date calibration data base, and have a current calibration. The calibration program is functioning, and documented in the SNF policies and procedures.

Actions to Accomplish:

- 1 Verify KW Basin safety instruments are identified and in the calibration data base. KW Basin instruments required to safely operate have a current calibration.
- 2 Verify CSB safety instruments are identified and in the calibration data base. CSB instruments required to safely operate have a current calibration.
- 3 Review maintenance performance documentation on safety surveillance tests to determine if the test result were documented and evaluated by the cognizant engineer and the shift manager was advised to the test results.
- 4 Document the interviews with engineering management and verify that engineering is involved in the calibration program according to policies and procedures.
- 5 Verify that engineering determined that instruments and gauges are operational, calibrated, on scale, labeled properly and indicating values are representative of system and equipment line up conditions.
- 6 Confirm by interviews that maintenance, operations personnel understand the calibration policies and procedures.
- 7 Verify CVD safety instruments are identified and in the calibration data base. CVD instruments required to safely operate have a current calibration.
- 8 Confirm policies and procedures are in place for the SNF calibration of safety instruments in the CSB, CVD, and KW Basin.

Acceptance Evidence:

Field walk down results

Calibration records

Policies and procedures

Interview Records

MSA APPRAISAL FORM

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [10 CFR 830, Part 120(c)(1)(ii); DOE 5480.20A, Revision 0, Chapter 1, Section

7b; Preamble, Section 6.b, 8.a, and 8.b; WAC 173-0303, Section 330(1), (1)(a), 1(b), 1(c), 1(d) and (2)]

OBJECTIVE NO: 5.0.O.c

Goals, objectives, and plans are in place that describes the implementation of training and qualification programs. The training and qualification program status is current with the TIM.

CRITERIA NO: 5.0.O.c.2

Goals, objectives, and plans are in place that describe qualification programs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify that qualification criterion is established.
- 2 Verify maintenance management decides individual training needs and tailors the training program for each individual based on previous education, training experience and skill level.
- 3 Verify that maintenance management defines the training programs for each position and decides the content and emphasis of the training needed.
- 4 Verify that maintenance management defines the jobs, tasks, skill levels and responsibilities and identifies individuals to fill these positions.
- 5 Confirm maintenance has established goals, objectives, and plans for qualification programs.

Acceptance Evidence:

Trainee's previous education records, experience, and skill level

Interview records

Maintenance training plan

Training implementation matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [29CFR1910, Part 120(e)(5), (e)(6) and (q)(7); DOE 5480.20A, Revision 0, Chapter I, Section 3, Chapter IV, Section 2.a, 2.f, and 3]

OBJECTIVE NO: 5.1.M.b

Line management is responsible for the implementation of the training and qualification program(s). This objective is applicable to Facility/System Startup, Facility Operations, Facility Maintenance, Operational Readiness, Training and Procedures, Facility Projects and Radiation Protection.

CRITERIA NO: 5.1.M.b.2

Line management is responsible for the implementation of the training and qualification program(s). This criteria is only applicable only for Facility Maintenance.

Actions to Accomplish:

- 1 Verify OJT is a formal part of the maintenance training program.
- 2 Verify maintenance training facilities are adequate.
- 3 Verify maintenance personnel are qualified to perform tasks.
- 4 Verify that radiation worker retraining is conducted at a sufficient frequency, not to exceed two years.
- 5 Verify maintenance radiation workers are knowledgeable of radiation safety fundamentals.
- 6 Field verify that line managers and supervisors routinely observe work activities and correct deficiencies as they relate to training.
- 7 Field verify that each management function meets the requirements of AP 8-008-02, "Training Records", and verify that line management is responsible for the implementation of the training and qualification program(s).

Acceptance Evidence:

Staff qualification records

Radiation work training records

Interviews records

SNF Policies and procedures for maintenance training

Training Implementation Matrix and TMX

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.3.3) (DOE 5480.20A, Revision 0, Chapter 1, Section 7.g.(1) & (2) and Chapter IV, Section 2.e
(S/RID 4.1.2) (DOE 5480.20A, Revision 0, Chapter 1, Section 5
(S/RID 4.3.4) (29 CFR 1910, Part 120(e)(4))

OBJECTIVE NO: 5.6.O.a

Minimum staffing requirements are established for operations personnel, supervisors, process engineers, maintenance, and managers and are consistent with TSRs.

CRITERIA NO: 5.6.O.a.1

Minimum staffing requirements are established for operations personnel. Minimum staffing requirements are consistent with TSRs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify that organization charts demonstrate the required minimum staff.
- 2 Review minimum shift complement to ensure sufficient numbers are available to carry out facility programmatic operations.
- 3 Review training records to verify operations personnel assigned are qualified to carry out facility programmatic operations.
- 4 Review staffing requirements to determine that technical safety requirements are met.
- 5 Verify that administrative procedures identify the minimum staffing requirements for safe operation.

Acceptance Evidence:

Technical Safety Requirements

Administrative procedures

Organization charts

Training records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1 and 12.2.5) [DOE 420.1; DOE 5480.20A, Chapter I and IV]

OBJECTIVE NO: 6.6.O.b

Operations personnel demonstrate the ability to anticipate, recognize, evaluate and respond to fire hazards.

CRITERIA NO: 6.6.O.b.2

Maintenance personnel demonstrate the ability to anticipate, recognize and respond to fire hazards under their cognizance. Maintenance performs facility walkdowns checking for good housekeeping and minimal combustible storage.

Actions to Accomplish:

- 1 Verify that maintenance personnel perform facility walkdowns in maintenance areas (e.g., maintenance shops and maintenance areas within the K Basins, CVD, and CSB).
- 2 Confirm that maintenance personnel are knowledgeable of fire protection, good housekeeping, and proper storage of combustible materials.

Acceptance Evidence:

Field records and building tours indicate good housekeeping practices and safe combustible loading in maintenance areas.

Interviews document that maintenance personnel can anticipate, recognize, evaluate and respond to fire hazards under their cognizance.

Maintenance records and procedures.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1, 4.3.1, and 12.2.5) (DOE 4330.4B, Chapter II, Sect. 5); (DOE 5480.20A, Chapter I Section 7); (29 CFR 1910 Part 38)

OBJECTIVE NO: 6.7.O.a

Maintenance personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 6.7.O.a.1

Maintenance personnel demonstrate the ability to carry out normal procedures and emergency procedures under their cognizance.

Actions to Accomplish:

- 1 Verify the maintenance manager has the primary responsibility to ensure implementation of management and facility policies that affect the maintenance organization.
- 2 Verify in the field that maintenance complies with the procedures.
- 3 Verify emergency procedures that involve maintenance are approved and in place.
- 4 Verify maintenance personnel clearly understand their authority, responsibility, accountability and interfaces with other groups relating to procedures.
- 5 Verify maintenance work is performed in compliance with procedures. Verify normal procedures used in daily maintenance are approved and in place. Review preventive maintenance, corrective maintenance, modification maintenance, work control, and administrative procedures.

Acceptance Evidence:

Field observation records

Field interviews

Maintenance procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1/4.3.1/4.3.3)(DOE 4330.4B, Chapter II, Sect. 5); (DOE 5480.20A, Chapter. I Section 7); (29 CFR 1910 Part 38)

OBJECTIVE NO: 6.7.O.b

Maintenance support personnel demonstrate a working knowledge of facility systems and components related to safety and an attention to health, safety, and environmental protection issues.

CRITERIA NO: 6.7.O.b.1

Maintenance support personnel demonstrate a working knowledge of facility systems and components related to safety and an attention to health, safety, and environmental protection issues.

Actions to Accomplish:

- 1 Verify maintenance personnel can demonstrate a knowledge of radiation safety fundamentals.
- 2 Verify maintenance personnel demonstrate an understanding of the safety requirements when working on facility systems. Verify job hazard analysis is performed. Verify maintenance personnel understand the importance of the job hazard analysis.
- 3 Verify maintenance personnel have sufficient systems knowledge in the areas of instrumentation and control, electrical distribution, vacuum systems, piping systems, and mechanical pumping equipment.
- 4 Verify maintenance personnel have the following level of knowledge related to facility operations; Status change authorization and reporting; Equipment Lock and Tag; Equipment Deficiency and Identification; Work authorization and documentation; Post maintenance testing and return to service; Temporary modification control; and Distribution and Control of Equipment and System Documents.

Acceptance Evidence:

Interviews with maintenance personnel demonstrate an understanding of the health and safety issues related to performing work on plant systems and components. This review covers the CSB, CVD and K West Basin.

Documented observations verify that maintenance personnel demonstrate a level of knowledge related to facility systems and components. Observations indicate that personnel working on facility systems and components understand the job hazards analysis. Observations indicate that job hazards are observed and maintenance performs work accordingly.

Maintenance training records.

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 4.3.8) (DOE 5480.20A, Revision 0, Chapter I, Section 7)

OBJECTIVE NO: 6.7.O.c

Entry-level requirements are established for each maintenance positions and includes as applicable the minimum education, experience, technical, and medical requirements.

CRITERIA NO: 6.7.O.c.1

Entry-level requirements are established for each maintenance position and includes as applicable the minimum education, experience, technical, and medical requirements.

Actions to Accomplish:

- 1 Verify that position descriptions include minimum education, experience, technical, and medical requirements.
- 2 Review position descriptions for each maintenance position.

Acceptance Evidence:

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T120, Maintenance & Work Control

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3 and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.O.f

Maintenance and operating procedures are implemented that monitor, control configuration and status process systems.

CRITERIA NO: 7.0.O.f.2

Maintenance procedures are written that identify, document and require that when deficiencies are found an individual is identified as responsible and how they are to be corrected.

"Shift Routines and Operating Practices" AP 2-009, "KB Shutdown Tagging" AP 7-002, "K Basins Work Control" Process Standards AP 2-012, "Control of Equipment and System Status" AP 2-018, "Log Keeping" AP 2-019 "

Actions to Accomplish:

- 1 Verify that administrative requirements contain provisions requiring all procedure be periodically reviewed.
- 2 Verify that maintenance procedure approval is consistent with facility technical specification or their equivalent and administrative procedures.
- 3 Verify the maintenance manager or delegate approves maintenance procedures and revisions to those procedures.
- 4 Verify that maintenance procedures are controlled by the facility administrative system.
- 5 Verify implementing maintenance policies are clearly defined and understood.
- 6 Review the work control process and verify whom is responsible to identify, and document equipment deficiencies.
- 7 Verify that work control procedures define how to identify, document, and communicate equipment deficiencies.
- 8 Verify that work control procedures define, review, approve, and document temporary modifications.
- 9 Verify that work control procedures define when and how equipment and system alignments are conducted and documented.

Acceptance Evidence:

Maintenance procedures

Interview records

Temporary modifications

MSA APPRAISAL FORM

Observation records:

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

HNF-2039, Rev.0

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Health Physics
2T130

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.5

Facility support radiation protection management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Review radiation protection policy and verify that maintenance employees understand his/her accountability for performance.
- 2 Verify radiation protection personnel clearly understand their authority, responsibility, accountability, and interfaces with other groups.
- 3 Verify that radiation protection management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

Record review

Interview records

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (HSRCM-1 Articles 111-156)

OBJECTIVE NO: 15.2.S.a

The radiation protection program shall be administrated according to the requirements of HSRCM-1 and shall include provisions for: 1) HSRCM-1 manual control, 2) management commitment to leadership in radiological control, 3) continuous improvement in radiation protection, 4) a clearly defined radiological control organization structure, and 5) appropriate interfaces with DOE management.

CRITERIA NO: 15.2.S.a.1

Clearly defined processes and controls for HSRCM-1 manual updates and revisions, clearly established policies which promote management commitment to leadership in radiological control, procedures and/or processes which drive continuous improvement in radiation protection, a clearly defined radiological control organization structure and interface mechanisms which coordinate with DOE management.

Actions to Accomplish:

- 1 Review radiological control procedures and company policy statements which verify that a sufficient emphasis is placed on radiation protection.
- 2 Review and verify that sufficient process controls are in place for HSRCM-1 manual control.
- 3 Verify that sufficient mechanisms are in place to promote continuous improvement in radiation protection.
- 4 Review company charters/organization structures to verify that the radiological control organization is clearly defined and is appropriately administrated according to HSRCM-1 requirements.
- 5 Verify that appropriate interfaces exist which enable the radiological control organization to coordinate activities in concert with DOE management.

Acceptance Evidence:

Administrative procedures

Company charts/charters

Interview records

Audit/Assessment reports

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (HSRCM-1, Articles 211-237, Appendixes 2A-H2D)

OBJECTIVE NO: 15.2.S.b

Radiation Protection programs shall be sufficient to administrate DOE mandated personnel exposure limits, contamination control, and technical criteria for radiological posting.

CRITERIA NO: 15.2.S.b.1

Administrative exposure control levels and dose limit criteria are clearly defined as defined by HSRCM-1, Articles 211-216. Guidance's for control of emergency exposures are defined as defined in HSRCM-1, Appendix 2A.

Contamination control criteria and contamination control levels are clearly defined as specified by HSRCM-1, Articles 221-223.

Criteria for radiological posting are specified by HSRCM-1, Articles 231-237.

Actions to Accomplish:

- 1 Review radiological access control procedures and methods to verify that HSRCM-1 mandated exposure controls are implemented in accordance with the HSRCM-1 criteria.
- 2 Review and verify that sufficient process controls are in place to meet or exceed HSRCM-1 criteria for contamination control.
- 3 Verify that radiological posting at the facility is consistent with HSRCM-1 criteria, and that sufficient programs are in place to maintain full compliance.

Acceptance Evidence:

Procedures.

Required surveillance task descriptions

Radiological survey records

Radiological problem reports

Audit/Assessment reports

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (HSRCM-1, Articles 311-373, Appendixes 3A-3D)

OBJECTIVE NO: 15.2.S.c

Radiation protection programs shall be sufficient to meet DOE mandated criteria for planning radiological work, preparing radiological work procedures, performing pre-job briefings, establishing and enforcing entry and exit requirements, providing for radiological work controls, and evaluating performance.

CRITERIA NO: 15.2.S.c.1

Criteria for planning radiological work are clearly defined as specified by HSRCM-1, Articles 3-11-316. Criteria for preparing radiological work procedures and performing pre-job briefing are clearly defined as specified by HSRCM-1, Articles 321-325.

Criteria for establishing and enforcing radiological access requirements are clearly defined as specified by HSRCM-1, Articles 331-338.

Criteria for evaluating radiological work performance are specified by HSRCM-1, Articles 351-353.

Actions to Accomplish:

- 1 Review radiological work planning processes and procedures to verify that adequate process controls are in place to meet or exceed HSRCM-1 criteria.
- 2 Review and verify that radiological work procedures and pre-job briefings are performed in accordance with HSRCM-1 criteria.
- 3 Verify that access control processes and procedures are in place and are consistent with HSRCM-1 criteria.
- 4 Verify that radiological performance is periodically evaluated under a program that meets or exceeds HSRCM-1 criteria.

Acceptance Evidence:

Administrative Procedures

Performance Indicators

Radiological work packages

Radiological survey records

Radiological problem reports

Audit/Assessment reports

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (HSRCM-1, Articles 411-H464.2)

OBJECTIVE NO: 15.2.S.d

Radiation protection programs shall be sufficient to meet DOE standards for radioactive material identification/storage/control, radioactive material release/transport, radioactive source controls, radioactive waste management, control of radioactive liquids and airborne radioactivity, and provision for radiological support activities.

CRITERIA NO: 15.2.S.d.1

Criteria for radioactive material identification, storage and control are clearly defined as specified by HSRCM-1, Articles 411-414.

Criteria of release and transport of radioactive material are clearly defined as specified by HSRCM-1, Articles 421-423.2.

Criteria for controlling radioactive sources are clearly defined as specified by HSRCM-1, Article 431.

Criteria for managing radioactive waste are specified by HSRCM-1, Articles 441-443.

Criteria for controlling radioactive liquids and radioactive airborne are specified by Articles 451-453.

Criteria for providing radiological support are specified by HSRCM-1, Articles 461-464.2.

Actions to Accomplish:

- 1 Review procedures and processes which administrate radioactive material identification, storage, and control.
- 2 Review procedures and processes which govern material release and the transport of radioactive material.
- 3 Review procedures and processes which govern radioactive source controls.
- 4 Review procedures and processes which govern radioactive waste management.
- 5 Review procedures and processes which govern the control of radiological liquids and radioactive airborne.
- 6 Review procedures and processes which govern radiological support activities.
- 7 Perform field observations which verify compliance to all of the above listed procedures and processes.

Acceptance Evidence:

Procedures

Radiological survey records

Radiological problem reports

MSA APPRAISAL FORM

Audit/Assessment reports

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (HSRCM-1, Articles 511-564)

OBJECTIVE NO: 15.2.S.e

Radiation protection programs shall be sufficient to meet DOE standards for external dosimeter, internal dosimetry, respiratory protection, handling contaminated personnel, radiological monitoring, and radiological instrumentation calibration.

CRITERIA NO: 15.2.S.e.1

Criteria for external dosimetry are clearly defined as specified by HSRCM-1, Articles 511-515.

Criteria for internal dosimetry are clearly defined as specified by HSRCM-1, Articles 521-523.

Criteria for respiratory protection are clearly defined as specified by HSRCM-1, Articles 532-535.

Criteria for handling contaminated personnel are clearly defined as specified by HSRCM-1, Articles 541-543.

Criteria for radiological monitoring are specified by Articles 551-555.

Criteria for radiological instrumentation calibration are specified by HSRCM-1, Articles 561-564.

Actions to Accomplish:

- 1 Review procedures and processes which administrate external dosimetry.
- 2 Review procedures and processes which govern internal dosimetry.
- 3 Review procedures and processes which govern respiratory protection.
- 4 Review procedures and processes which govern the handling of contaminated personnel.
- 5 Review procedures and processes which govern radiological monitoring.
- 6 Review procedures and processes which govern radiological instrumentation calibration.
- 7 Perform field observations which verified compliance to all of the above listed procedures and processes.

Acceptance Evidence:

Procedures

Instrument records

Radiological survey records

Radiological problem reports

Audit/Assessment reports

Results:

MSA APPRAISAL FORM

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (HSRCM-1, Articles 611-664)

OBJECTIVE NO: 15.2.S.f

Radiation protection program shall be sufficient to meet DOE standards for general radiological training requirements, general employee radiological training, radiological control technician qualifications, radiological training for individuals contributors and visitors, and special application training.

CRITERIA NO: 15.2.S.f.1

Criteria for general radiological training requirements are clearly defined as specified by HSRCM-1, Articles 611-616.

Criteria for general employee radiological training are clearly defined as specified by HSRCM-1, Articles 621 and 622.

Criteria for radiological control technician qualifications are clearly defined as specified by HSRCM-1, Articles 631-634.

Criteria for radiological training for individuals contributors and visitors are clearly defined as specified by HSRCM-1, Articles 651-657,

Actions to Accomplish:

- 1 Review procedures and processes which administrate general radiological training requirements.
- 2 Review procedures and processes which govern employee radiological training.
- 3 Review procedures and processes which govern radiological control technician qualifications.
- 4 Review procedures and processes which govern radiological training for individual contributors and visitors.
- 5 Review procedures and processes which govern special applications as specified by HSRCM-1, Articles 661-664.
- 6 Perform field observations which verify compliance to all of the above listed procedures and processes.

Acceptance Evidence:

Procedures

Training and qualification records

Radiological problem reports

Audit/Assessment reports

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm CSAs are tracked and any open items have a planned completion date.
- 2 Confirm during interviews that personnel understand the implementation requirements.
- 3 Confirm that procedures are implemented.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter

XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.2

Safety, operating, and environmental requirements included within the S/RIDs are implemented into procedures.

Actions to Accomplish:

- 1 Confirm during interviews that personnel understand the importance of S/RID compliance.
- 2 Confirm that procedures are complete and in use.
- 3 Review K Basins/CVD and CSB/Hot Conditioning S/RIDs for the maintenance function. Verify that maintenance procedures include the S/RID requirements where applicable.
- 4 Confirm that procedures for the CSB, CVD, K Basins, and Cask Transportation include S/RID requirements.

Acceptance Evidence:

Interview records

S/RIDs Phase 2 adherence assessment documentation

Polices and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.I

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T130, Health Physics

Date: 1/26/98

S/RID Reference: (S/RID 4.3.3) (DOE 5480.20A, Revision 0, Chapter 1, Section 7.g.(1) & (2) and Chapter IV, Section 2.e
(S/RID 4.1.2) (DOE 5480.20A, Revision 0, Chapter 1, Section 5
(S/RID 4.3.4) (29 CFR 1910, Part 120(e)(4))

OBJECTIVE NO: 5.6.O.a

Minimum staffing requirements are established for operations personnel, supervisors, process engineers, maintenance, and managers and are consistent with TSRs.

CRITERIA NO: 5.6.O.a.1

Minimum staffing requirements are established for operations personnel. Minimum staffing requirements are consistent with TSRs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify that organization charts demonstrate the required minimum staff.
- 2 Review minimum shift complement to ensure sufficient numbers are available to carry out facility programmatic operations.
- 3 Review training records to verify operations personnel assigned are qualified to carry out facility programmatic operations.
- 4 Review staffing requirements to determine that technical safety requirements are met.
- 5 Verify that administrative procedures identify the minimum staffing requirements for safe operation.

Acceptance Evidence:

Technical Safety Requirements

Administrative procedures

Organization charts

Training records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

Facility/Systems Startup
2T140

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T140, Facility/Systems Startup

Date: 1/26/98

S/RID Reference: (S/RID 1.7.1) [DOE 425.1 Section 2.d]

OBJECTIVE NO: 14.0.O.a

A startup test program has been developed that includes plans for graded operating testing to simultaneously confirm operability of equipment, the viability of procedures and the training for operators.

CRITERIA NO: 14.0.O.a.1

The startup program is established and implemented.

Actions to Accomplish:

- 1 Verify all required equipment is in the calibration recall program.
- 2 Verify that a startup plan has been formalized and is published. Verify that schedules and budgets support its implementation.
- 3 Review records list of reviewers, markups, and meeting minutes to assure that adequate reviews and evidence exist to assure senior management that the specific hazards and evaluations (SARs, TSRs, CSERs, Permits) have been correctly and thoroughly implemented.
- 4 Confirm that management controls exist such that the startup plan will be carried out in the manner it was intended, or the operation evolution will be terminated in a safe manner.
- 5 Verify that a management self assessment of sufficient depth has been completed to assure that the startup plan is adequate and the specific hazards and evaluations are appropriately addressed.
- 6 Confirm that a startup plan has been established for initial operations and acceptance criteria is identified. Verify the acceptance criteria defines specific operations activities that are addressed prior to achieving hot operations.
- 7 Confirm that the authorization basis documents (e.g., SARs, CSERs, etc.) and their implementing documents (TSRs, environmental permits, and process standards) have been implemented into the procedures and the startup plan.

Acceptance Evidence:

Startup plan

Recall calibration program

Management self assessment plan, schedule, and records

Listing of authorization documents implemented

Schedules

RCRs

Review distribution memorandums

Charters to review groups

MSA APPRAISAL FORM

Procedures and plans

Budget sheets

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T140, Facility/Systems Startup

Date: 1/26/98

S/RID Reference: (S/RID 1.7.2.1) [DOE 425.1, Section 2.d.(11)]

OBJECTIVE NO: 3.2.O.e

An approved startup plan is prepared. Plans include graded operations testing to simultaneously confirm operability of equipment, the viability of procedures, and the training of operators.

CRITERIA NO: 3.2.O.e.1

An approved startup plan is prepared. Operators are familiar and knowledgeable of the plan contents. Testing is planned to confirm operability of equipment.

Actions to Accomplish:

- 1 Confirm that operations procedures and operations training was validated.
- 2 Verify that procedures were performed and the results were satisfactory on confirming the operability of equipment.
- 3 Field verify that line management and operators are familiar and knowledgeable of the plan contents.
- 4 Confirm that a startup plan is prepared and includes testing of equipment, procedures, and confirms operability of equipment.

Acceptance Evidence:

Interview records

Procedure validation records

Startup plan

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T140, Facility/Systems Startup

Date: 1/26/98

S/RID Reference: (S/RID 1.7.2.1) (DOE 425.1)

OBJECTIVE NO: 3.3.O.b

Safety significant operating surveillance, maintenance, calibration, and preventative maintenance required for operation are developed, validated and approved. Processes, equipment, and utilities necessary to safely operate the SNF Project have satisfactorily passed all specified system operability tests.

CRITERIA NO: 3.3.O.b.1

Processes, equipment, and utilities necessary to safely operate the SNF Project have satisfactorily passed all specified system operability tests.

Actions to Accomplish:

- 1 Confirm that all startup testing procedures are complete for the CSB, CVD, Cask Transportation, and K Basins.
- 2 Verify that records are available and established for the startup testing program.
- 3 Verify that equipment that was inspected and passed specific system startup tests.
- 4 Verify that start up testing is complete for the CSB, CVD, K Basins, Cask Transportation system, and Integrated Water Treatment System.

Acceptance Evidence:

Startup testing procedures

Startup testing records, CSB, CVD, Cask Transportation, and K Basins.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T140, Facility/Systems Startup

Date: 1/26/98

S/RID Reference: S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter VIII)

OBJECTIVE NO: 3.3.O.e

Systems and components are operational. Safety-related processes and utility systems are operational. This conclusion is based on observation of the facilities physical condition and demonstrated operability of the systems. The safety-related operation status is satisfactory. The condition of safety and safety-related utility systems, facilities and components are satisfactory.

CRITERIA NO: 3.3.O.e.3

Startup testing of safety-related processes and the operability is determined to be satisfactory for CVD, CSB, and KW Basin modifications. Startup testing concludes that safety related processes are ready to operate.

Actions to Accomplish:

- 1 Verify that safety related equipment was functionally tested and operates according to the safety basis requirements.
- 2 Verify that facility pre-operational and operations test procedures and disposition of any findings was completed.
- 3 Verify that startup packages were completed for the CSB, CVD, and K Basins and verify that safety related systems and components are operational.

Acceptance Evidence:

Safety related process equipment system line ups for CVD and CSB

Equipment status and testing results

Pre-operational and operational test procedures

System walk down results

Startup testing procedures and completed test packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T140, Facility/Systems Startup

Date: 1/26/98

S/RID Reference: S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter VIII)

OBJECTIVE NO: 3.3.O.e

Systems and components are operational. Safety-related processes and utility systems are operational. This conclusion is based on observation of the facilities physical condition and demonstrated operability of the systems. The safety-related operation status is satisfactory. The condition of safety and safety-related utility systems, facilities and components are satisfactory.

CRITERIA NO: 3.3.O.e.4

Startup testing of safety-related utility systems and components is determined to be satisfactory for the CVD, CSB, and KW Basin modifications. Startup testing concludes that safety related utilities are ready to operate.

Actions to Accomplish:

- 1 Verify that safety related utility equipment was functionally tested and operates according to the safety basis requirements.
- 2 Verify that facility pre-operational and operations test procedures and disposition of any findings was completed.
- 3 Verify that startup packages were completed for the CSB, CVD, and K Basins and verify that safety related utility systems and components are operational.

Acceptance Evidence:

Safety related utilities system line ups for CVD and CSB

Equipment status and testing results

Pre-operational and operational test procedures

System walk down results

Startup testing procedures and completed test packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T140, Facility/Systems Startup

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [29CFR1910, Part 120(e)(5), (e)(6) and (q)(7); DOE 5480.20A, Revision 0, Chapter I, Section 3, Chapter IV, Section 2.a, 2.f, and 3]

OBJECTIVE NO: 5.1.M.b

Line management is responsible for the implementation of the training and qualification program(s). This objective is applicable to Facility/System Startup, Facility Operations, Facility Maintenance, Operational Readiness, Training and Procedures, Facility Projects and Radiation Protection.

CRITERIA NO: 5.1.M.b.1

Line management is responsible for the implementation of the training and qualification program(s). This criteria is only applicable only for Facility/System Startup.

Actions to Accomplish:

- 1 Field verify that line managers and supervisors routinely observe work activities and correct deficiencies as they relate to training.
- 2 Verify that line management is responsible for the implementation of the training and qualification program(s). Verify that TIM and TMX are current.

Acceptance Evidence:

Training Implementation Matrix and TMX
Policies and procedures
Interview records
Management approved training requirements

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Facility Projects Director
2T150

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.3

Facility support management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Conduct periodic inspections of structures, systems, components, and equipment. Verify that inspections are complete to find out whether deterioration is taking place and to identify and address technical obsolescence that threatens performance, safety or facility preservation.
- 2 Verify that the maintenance manager has established policies that affect maintenance in the K Basins, CVD, and CSB.
- 3 Verify that maintenance management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

Interviews records

Facility tour documents

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.6

Facility support engineering management monitor facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Review engineering policy and verify that engineering employees understand his/her accountability for performance.
- 2 Verify engineering personnel clearly understand their authority, responsibility, accountability and interfaces with other groups.
- 3 Verify that engineering management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

Interviews

Record Review

Field observation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 10.1) (DOE 4330.4B, Revision 0, Preamble, Section 10)

OBJECTIVE NO: 15.3.O.c

Required spare parts for vital equipment are identified and available.

CRITERIA NO: 15.3.O.c.1

CSB, CVD and K Basins required spare parts for vital equipment are identified and available.

Actions to Accomplish:

- 1 Field verify that spare parts are in place and engineering personnel have provided the necessary spare parts information to purchase the materials.
- 2 Verify that material and parts required for safety related modifications and repairs are reviewed by engineering for possible addition to spare parts inventories.
- 3 Verify that engineering established equipment maintenance and repair files that contain spare parts data information.
- 4 Verify that spare parts that are for vital equipment at the CSB, CVD, and K Basins are identified and available.

Acceptance Evidence:

Interview records

Equipment maintenance modification and repair files

Spare parts lists

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 7.0) (DOE 4700.1 and DOE Notice 4700.5)
(S/RID 2.6.) (10 CFR 72, Part 150, 156, 158, 166)
(S/RID 2.7) 10 CFR 72, Part 146

OBJECTIVE NO: 15.6.E.a

The engineering program is established. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and implemented.

CRITERIA NO: 15.6.E.a.1

Verify that the engineering program is established to support operations.

Actions to Accomplish:

- 1 Interview engineering personnel to determine that functions, assignments, and responsibilities are understood and implemented.
- 2 Verify that administrative and operations procedures define the responsibilities and reporting relationships.
- 3 Verify that policies and procedures were developed and implemented to direct the engineering activities. Verify that engineering staff understand the policies and procedures.
- 4 Verify that a formal design process is established that provides control of design inputs, outputs, verification, configuration and design changes, documentation, records and technique and administrative interfaces. Engineering is trained to this process.
- 5 Verify that engineering has established system boundaries on engineering documents. Verify that engineering personnel are trained on where system information is available and its use.
- 6 Verify that the engineering staff has an understanding of their roles and responsibilities.
- 7 Verify that administrative and engineering procedures define the responsibilities and reporting relationships.

Acceptance Evidence:

Interview records

Policies and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.a

Engineering work is performed to prescribed standards, procedures, or instruction of a detail commensurate with the complexity and importance of the work. The work process is designed to produce the desired quantity and quality of output.

CRITERIA NO: 15.7.E.a.1

A formal design process is established that provides control of design inputs, outputs, verification, configuration and design changes, documentation, records, and technical and administrative procedures.

Actions to Accomplish:

- 1 Review that design changes undergo a formal, technical, interdisciplinary review and approval, and the basis of these reviews are clearly documented.
- 2 Verify a formal change control process is in place.
- 3 Verify that a system is implemented to ensure that engineering baseline documentation, including drawings and specification is approved, current and in place.
- 4 Verify that system boundaries are defined and identified on engineering documents for the CSB, CVD, and K Basins.
- 5 Verify that policies and procedures are developed and implemented to direct the engineering activities.

Acceptance Evidence:

Interviews records

Design records

Engineering policies and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.a

Engineering work is performed to prescribed standards, procedures, or instruction of a detail commensurate with the complexity and importance of the work. The work process is designed to produce the desired quantity and quality of output.

CRITERIA NO: 15.7.E.a.2

Design work is based upon sound engineering and scientific principles.

Actions to Accomplish:

- 1 Verify that design verification is taking place.
- 2 Verify that engineering uses references on design/drawings, specifications for analysis/calculations, and provide the bases for the design.

Acceptance Evidence:

Interview records

Design records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.a

Engineering work is performed to prescribed standards, procedures, or instruction of a detail commensurate with the complexity and importance of the work. The work process is designed to produce the desired quantity and quality of output.

CRITERIA NO: 15.7.E.a.3

Engineering documents are readily accessible to the engineer. Engineering documents are based on the skill of the engineers using them and on the complexity and importance of the engineering activity. Engineering documents include requirements for special processes that are highly dependent on the control of the process or the skill of the operator, and where the quality can not be controlled by an inspection or test.

Actions to Accomplish:

- 1 Verify that engineering personnel received training and are qualified for engineering work processes.
- 2 Verify that requirements for special processes are addressed in work process documents.
- 3 Verify that applicable procedures and manuals are used by engineers that are identified.
- 4 Verify that engineering documentation is available to staff, approved, verified, current, and distribution is controlled according to the requirements.

Acceptance Evidence:

Interview records

Engineering policies and procedures

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.a

Engineering work is performed to prescribed standards, procedures, or instruction of a detail commensurate with the complexity and importance of the work. The work process is designed to produce the desired quantity and quality of output.

CRITERIA NO: 15.7.E.a.4

Engineering interface requirements with systems, facilities, utilities, hardware, software, and procedures are established.

Actions to Accomplish:

- 1 Verify that engineering drawings contain requirements controlled by interface control drawings or documents and is consistent with the interface boundaries.
- 2 Verify that interface control drawings and documents were prepared for the functional features between equipment or equipment items and facilities that result in a mismatch, omission, interference, or duplication.
- 3 Verify that an administrative system is implemented by engineering and identifies the controls, requirements, that affect the design and modification of systems, equipment and structures.

Acceptance Evidence:

Policies and procedures

Interview records

Engineering interface control documents and drawings

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.a

Engineering work is performed to prescribed standards, procedures, or instruction of a detail commensurate with the complexity and importance of the work. The work process is designed to produce the desired quantity and quality of output.

CRITERIA NO: 15.7.E.a.5

Clear lines of communication and timely dissemination of changes to interface documents are maintained.

Actions to Accomplish:

- 1 Polices and procedures document communication practices as related to interface documents.

Acceptance Evidence:

Interview records

Program polices and procedures

Drawings and Designs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.c

Design changes that impact the technical baseline are controlled. The completed design is documented in drawings, specification, test/inspection plans, maintenance requirements, and reports.

CRITERIA NO: 15.7.E.c.1

A document control process establishes requirement to release documents for distribution, identify recipients, specify actions taken with existing documents and identify unique revisions and copies.

Actions to Accomplish:

- 1 Verify that engineering documents in the revision and change processes are verified before performance of actual field work.
- 2 Verify that engineering documents are approved in accordance with engineering policies and procedures.

Acceptance Evidence:

Engineering Documents

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference:

OBJECTIVE NO: 17.0.p.3

Project turn over for Cask Transportation, IWTS, and fuel removal system is complete.

CRITERIA NO: 17.0.p.3.1

Project turn over for Cask Transportation, IWTS, and fuel removal system is complete

Actions to Accomplish:

1 CD-4 is complete.

Acceptance Evidence:

CD-4 turn over packages are complete and turned over to Facility Engineering.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 3.4 and 3.7.4)[10 CFR 830, Section 6; DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 2.0.O.a

Administrative controls are in place to ensure that repairs or modifications are analyzed to identify system degradation and that design changes are documented and approved prior to implementation.

CRITERIA NO: 2.0.O.a.2

Modifications are administered under a configuration control system. Modifications are approved prior to implementation. Repairs are administered under the configuration control program and are approved prior to implementation.

Actions to Accomplish:

- 1 Verify that as-built drawings and shop drawings were maintained after production or construction to show actual configuration. Verify that the as-built drawing policy and procedures are functioning.
- 2 Verify that a safety equipment list was prepared for the K Basins, CVD, and CSB. Review the safety list for compatibility with the SAR.
- 3 Verify that policies and procedures that cover design methods, materials parts, equipment, and process that are essential to the function of the SSC's are in place and functioning.
- 4 Verify that modifications were reviewed for compatibility with the SAR.
- 5 Verify that modifications for the CSB and the CVD, important to safety, are under configuration. Review safety items that were modified and verify that modifications were reviewed and approved prior to implementation. Review modifications that were performed at the CSB, CVD, and K Basins.
- 6 Verify that safety equipment repairs are under configuration control. Review safety items that were repaired and verify that repair items were reviewed and approved prior to implementation. Review items at the K Basins, CVD and CSB.
Verify the following Administrative procedures are current:
AP 6-002, "Plant System Designations",
AP 6-005, "Job Control System Component Identifier and Labeling Control",
AP 6-006, "Essential Drawing Controlled Print File Management ", and

Acceptance Evidence:

Engineering interview records

Repair packages

Administrative procedures and policies

MSA APPRAISAL FORM

Modification work packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter

XVII] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm CSAs are tracked and any open items have a planned completion date.
- 2 Confirm during interviews that personnel understand the implementation requirements.
- 3 Confirm that procedures are implemented.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter

XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.2

Safety, operating, and environmental requirements included within the S/RIDs are implemented into procedures.

Actions to Accomplish:

- 1 Confirm during interviews that personnel understand the importance of S/RID compliance.
- 2 Confirm that procedures are complete and in use.
- 3 Review K Basins/CVD and CSB/Hot Conditioning S/RIDs for the maintenance function. Verify that maintenance procedures include the S/RID requirements where applicable.
- 4 Confirm that procedures for the CSB, CVD, K Basins, and Cask Transportation include S/RID requirements.

Acceptance Evidence:

Interview records

S/RIDs Phase 2 adherence assessment documentation

Polices and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 1.2.2)(S/RID 1.2.3)(DOE 5480.19, Revision C01, Chapter 16)

OBJECTIVE NO: 3.1.O.b

Procedures are revised to reflect facility modifications. A process is in place to evaluate modifications and to determine when procedure modifications are required.

CRITERIA NO: 3.1.O.b.2

Engineering has a process in place to evaluate modifications and to determine when procedure modifications are required.

Actions to Accomplish:

- 1 Verify that engineering processes are understood by engineering personnel for the updating of technical procedures.
- 2 Verify that administrative processes are in place that updated operating procedures to reflect facility modifications. (Operating procedures are maintenance, operations, and management procedures)

Acceptance Evidence:

Field interview records

Design modification and procedures records

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 9.2.1, 9.2.3, and 9.2.6)[DOE 5480.19 Revision C01, Chapters, viii, and xi]

OBJECTIVE NO: 4.0.S.a

Confirmation of safety requirements is required by procedures and includes clearly defined surveillance intervals and periodic self assessments.

CRITERIA NO: 4.0.S.a.2

Engineering has defined surveillance intervals for confirmation of safety requirements during facility operations.

Actions to Accomplish:

- 1 Review self assessment reports performed by engineering to determine the overall effectiveness of the program.
- 2 Field verify that confirmation of safety requirements is required by procedures and that surveillance intervals are defined.
- 3 Verify that maintenance safety surveillance requirements define the inspection intervals required. Review preventative maintenance and predictive maintenance procedures performance and determine surveillance's are meeting engineering requirements.

Acceptance Evidence:

Interview records

Field observation records

Surveillance and assessment records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 9.1) (DOE 5480.19)

OBJECTIVE NO: 4.1.O.c

Processes, equipment, and utilities to safely operate the SNF Project are identified.

CRITERIA NO: 4.1.O.c.2

Processes to safely operate the SNF Project CVD, CSB Cask Transportation System and K Basins are identified.

Actions to Accomplish:

- 1 Verify that the labeling procedure is in use for equipment, process areas, and utilities that are required to safety operate.
- 2 Verify that procedures are place for the labeling process to identify safety related equipment, processes, and utilities in the CSB, CVD, K Basins, and Cask Transportation equipment.

Acceptance Evidence:

Facilities walk-down records

Labeling Procedure

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [10 CFR 830, Part 120(c)(1)(ii); DOE 5480.20A, Revision 0, Chapter 1, Section

7b; Preamble, Section 6.b, 8.a, and 8.b; WAC 173-0303, Section 330(1), (1)(a), 1(b), 1(c), 1(d) and (2)]

OBJECTIVE NO: 5.0.O.c

Goals, objectives, and plans are in place that describes the implementation of training and qualification programs. The training and qualification program status is current with the TIM.

CRITERIA NO: 5.0.O.c.2

Goals, objectives, and plans are in place that describe qualification programs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Conduct oral interviews with all technical staff within engineering to assess their understanding of the Authorization Documents, procedures and policies related to environmental safety and health compliance.
- 2 Verify engineering management decides individual training needs and tailors the training program for each individual based on previous education, training experience and skill level.
- 3 Verify that engineering management defines the jobs, tasks, skill levels and responsibilities and identifies individuals to fill these positions.
- 4 Verify that engineering management defines the training programs for each position and decides the content and emphasis of the training needed.
- 5 Confirm engineering has established goals, objectives, and plans for qualification programs.

Acceptance Evidence:

Oral engineering interview records

Letter defining engineering training and certification requirements and knowledge expectations

Engineering organization training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [29CFR1910, Part 120(e)(5), (e)(6) and (q)(7); DOE 5480.20A, Revision 0, Chapter I, Section 3, Chapter IV, Section 2.a, 2.f, and 3]

OBJECTIVE NO: 5.1.M.b

Line management is responsible for the implementation of the training and qualification program(s). This objective is applicable to Facility/System Startup, Facility Operations, Facility Maintenance, Operational Readiness, Training and Procedures, Facility Projects and Radiation Protection.

CRITERIA NO: 5.1.M.b.5

Line management is responsible for the implementation of the training and qualification program(s). This criteria is only applicable for Facility Projects..

Actions to Accomplish:

- 1 Verify that line managers demonstrate and ownership of the training and qualification program for engineering.
- 2 Verify that radiation work retraining is conducted at a sufficient frequency, not to exceed two years.
- 3 Field verify that each management function meets the requirements of AP-8-008-02, "Training Records", and verify that line management is responsible for the implementation of the training and qualification programs(s).
- 4 Field verify that line managers and supervisors routinely observe work activities and correct deficiencies as they relate to training.

Acceptance Evidence:

Interview records

SNF Policies and procedures

TIM and TMX records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.3.3) (DOE 5480.20A, Revision 0, Chapter 1, Section 7.g.(1) & (2) and Chapter IV, Section 2.e
(S/RID 4.1.2) (DOE 5480.20A, Revision 0, Chapter 1, Section 5
(S/RID 4.3.4) (29 CFR 1910, Part 120(e)(4))

OBJECTIVE NO: 5.6.O.a

Minimum staffing requirements are established for operations personnel, supervisors, process engineers, maintenance, and managers and are consistent with TSRs.

CRITERIA NO: 5.6.O.a.1

Minimum staffing requirements are established for operations personnel. Minimum staffing requirements are consistent with TSRs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify that organization charts demonstrate the required minimum staff.
- 2 Review minimum shift complement to ensure sufficient numbers are available to carry out facility programmatic operations.
- 3 Review training records to verify operations personnel assigned are qualified to carry out facility programmatic operations.
- 4 Review staffing requirements to determine that technical safety requirements are met.
- 5 Verify that administrative procedures identify the minimum staffing requirements for safe operation.

Acceptance Evidence:

Technical Safety Requirements

Administrative procedures

Organization charts

Training records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 3.3.1) (DOE-STD-1073-93, Revision 1, Chapter 1, Section 1.3.3); (S/RID 3.7.3)

OBJECTIVE NO: 5.9.O.a

Essential drawings are identified and placed under configuration control.

CRITERIA NO: 5.9.O.a.1

AP 6-006, "Essential Drawing Controlled Print File Management", is followed and field verified that personnel understand the requirements

Actions to Accomplish:

- 1 Verify that plans are in place to maintain the essential drawings current and under configuration control.
- 2 Verify that essential drawings located in the K Basins, CVD, and CSB facilities are under configuration control and that individuals in the field understand their importance.
- 3 Verify that engineering implemented essential drawings in the field and controlled according to AP 6-006, "Essential Drawing Controlled Print File Management".
- 4 Verify that essential drawings were received from the projects and corporate into the SNF essential drawing files.

Acceptance Evidence:

Policies and procedures

Field interview records

Essential drawings

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 3.3.3) (DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.3.3)

OBJECTIVE NO: 5.9.O.b

Essential drawings are verified for accuracy and a process is established ensuring drawings are accurate. Operators understand the control and use of essential drawings.

CRITERIA NO: 5.9.O.b.1

Essential drawings are verified for accuracy and a process is established ensuring drawings are accurate.

Actions to Accomplish:

- 1 Verify essential drawings contain the information and current configuration of structures, systems, and components.
- 2 Essential drawings are available and up to date for operations use.
- 3 Verify that engineering essential systems were walked down by engineering and that the walk down resulted in documented and verified essential drawings.

Acceptance Evidence:

Records that as-built drawing were walked down and verified accurate to current plant configuration.

As-built drawings

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.19 Chapter XIII; DOE 5480.20A, Revision 0, Chapters 1 and 4]

OBJECTIVE NO: 6.0.O.a

Operations are performed safely and operators demonstrate the necessary knowledge. Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

CRITERIA NO: 6.0.O.a.7

Engineering personnel demonstrates that the level of knowledge is adequate to operate safely.

Actions to Accomplish:

- 1 Verify that engineering staff has obtained the level of knowledge required for supporting facility operations. Engineers demonstrate a level of knowledge in change authorizations, equipment and system alignments, lock and tag; operational limits compliance; equipment deficiency and identification documentation; work authorization and documentation; equipment post maintenance testing and return to service; alarm status; distribution and control of equipment and system documents; and emergency response.
- 2 Verify that engineering staff demonstrate knowledge of quality assurance requirements and the implementation of those requirements.
- 3 Field verify engineering shift support personnel are aware of the environmental, safety and health issues required in the support of facility operations.
- 4 Verify that engineering staff can demonstrate that they have achieved the level of knowledge commensurate with supporting operations in the K Basins, CVD and CSB SNF facilities. This includes the following:
repairs, surveillance's, preventative maintenance, spare parts, and material control.
- 5 Verify that engineering management defined the level of knowledge required of the engineering staff to support operations in the areas of worker, public, and environmental safety.

Acceptance Evidence:

Interview records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.3.8, 7.1.3, and 4.1.1)(DOE 5480.20A, Chapter I and IV)

OBJECTIVE NO: 6.2.S.a

Engineering personnel demonstrate the ability to carry out normal, abnormal, and emergency procedures that are under their cognizance. Engineering personnel demonstrate a working knowledge of facility systems and components related to safety. These personnel also give adequate attention to health, safety and environmental protection issues.

CRITERIA NO: 6.2.S.a.1

Engineering personnel demonstrate the ability to carry out normal, abnormal, and emergency procedures that are under their cognizance. Engineering personnel demonstrate a working knowledge of facility systems.

Actions to Accomplish:

- 1 Verify that engineering staff assigned to support shift operations have completed their Oral boards.
- 2 Verify that engineering personnel have rigor in the areas of procedure compliance.
- 3 Verify that shift engineering personnel participated in response training, drills , and dry run participations.
- 4 Verify that engineering personnel assigned to operations demonstrate a level of knowledge to carry out normal, abnormal, and emergency procedures.

Acceptance Evidence:

Drill performance records

Interviews and oral boards records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T150, Facility Projects Director

Date: 1/26/98

S/RID Reference: (S/RID 4.3.8) (DOE 5480.20A, Chapter 1 and 4)

OBJECTIVE NO: 6.3.E.a

Entry-level requirements are established for each engineering support position. Each position includes the minimum education, experience, technical, and medical requirements.

CRITERIA NO: 6.3.E.a.1

Entry-level requirements are established for each engineering support position. Each position includes the minimum education, experience, technical, and medical requirements.

Actions to Accomplish:

- 1 Verify that each entry level position description includes educational, technical, and medical requirements.
- 2 Verify that position descriptions were established for each engineering entry level position.

Acceptance Evidence:

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Plant Engineering
2T151

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.7)(10 CFR 72, Part 146); (10 CFR 830, Part 120); (DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.d

Design inspection and acceptance testing methods establish requirements for a calibration system to verify conformance to design requirements and are uniquely identified and traceable to their calibration data. The design inspection and test process identifies the status of systems structures, and components requiring review and documentation of changed inspection or test parameters.

CRITERIA NO: 15.7.E.d.2

Inspection and test methods are established to the (systems, structures, and componenets),SSC requirements. Inspection and testing verifies that SSCs conformance to the SSC's requirements. Results are documented.

Actions to Accomplish:

- 1 Test and inspection specification are prepared, release, and controlled.

Acceptance Evidence:

Field walk down records

SSC's lists

Test and inspection records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.1

CSB surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify CSB follow up actions were identified, documented and tracked to completion.
- 2 Verify completed CSB surveillance and tests were reviewed by facility engineering.

Acceptance Evidence:

Action tracking records

Surveillance and test records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.2

CVD surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify CVD follow up actions are identified, documented and tracked to completion.
- 2 Verify completed CVD surveillance and tests are reviewed by engineering.

Acceptance Evidence:

Action tracking records

Surveillance and test records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.3

KW Basin surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify KW Basin follow up actions were identified, documented, and tracked to completion.
- 2 Verify completed KW Basin surveillance and tests were reviewed by engineering..

Acceptance Evidence:

Action tracking records

Surveillance and test records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.11) (10 CFR Part 160 & 176) (DOE/RW-0333P, Revision 5, Section 2.2.6)

OBJECTIVE NO: 4.0.S.c

Surveillances and tests are reviewed and follow up actions documented.

CRITERIA NO: 4.0.S.c.4

Cask Transportation surveillances and tests are reviewed and follow up actions documented.

Actions to Accomplish:

- 1 Verify Cask Transportation follow up actions were identified, documented and tracked to completion.
- 2 Verify completed Cask Transportation surveillance and tests were reviewed by facility engineering.

Acceptance Evidence:

Follow up action list and tracking mechanisms

Completed surveillances and tests

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T151, Plant Engineering

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.19 Chapter XIII; DOE 5480.20A, Revision 0, Chapters 1 and 4]

OBJECTIVE NO: 6.0.O.a

Operations are performed safely and operators demonstrate the necessary knowledge. Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

CRITERIA NO: 6.0.O.a.5

Facility staff demonstrate a level of knowledge on Fire Protection that is adequate to operate safely.

Actions to Accomplish:

- 1 Review, Training Policies and Procedures.
- 2 Confirm that facility staff demonstrate a level of knowledge on Fire Protection that is adequate to operate safely.

Acceptance Evidence:

Observation records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Facility Systems Engineering

2T152

HNF-2039, Rev.0

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID-18.4) [DOE 5480.22, Revision C01, Section 9)

OBJECTIVE NO: 1.0.S.f

The Safety Basis Documentation is implemented.

CRITERIA NO: 1.0.S.f.1

Requirements specified in the safety basis are defined and implemented in facility operational and maintenance documentation.

Actions to Accomplish:

- 1 Verify that the procedures in place contain the appropriate information to maintain the facilities within the safety basis.
- 2 Verify that engineers understand the Technical Safety Requirements and that these requirements are reflected in the developed engineering procedures.
- 3 Verify that the correct version of the safety basis documentation was used in the development of administrative procedures, operational procedures, and maintenance.
- 4 Verify that systems engineering understands the FSAR implementation matrixes that are under configuration control, and used this information in the development of operations and maintenance procedures.
- 5 Verify that engineers understand the safety basis as related to systems engineering requirements and that systems engineering has implemented the requirements.

Acceptance Evidence:

Listing of documents and procedures reviewed

Interview records

Assessment records and reports

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.1.4)[DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 1.1.S.a

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current. The documentation defines the safety functions and is available to the operators. Safety documentation (i.e., SAR, and other safety basis documents) is assessed.

CRITERIA NO: 1.1.S.a.1

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current.

Actions to Accomplish:

- 1 Verify that engineering implemented the SSC's using SDDs for CSB, CVD, K Basins, and Cask Transportation systems. Verify that the SSCs are complete and define safety functions.
- 2 Verify that documentation important to safety is assessed.
- 3 Verify that engineering maintains the list of SSCs. Verify that engineering believes that SSCs are important to safe operation of the facilities.
- 4 Verify that engineering has implemented the SNF configuration management program and that it is in place at the CSB, CVD, and K Basins.

Acceptance Evidence:

Interview records

Configuration procedures

SSC review documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.1.4)[DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 1.1.S.a

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current. The documentation defines the safety functions and is available to the operators. Safety documentation (i.e., SAR, and other safety basis documents) is assessed.

CRITERIA NO: 1.1.S.a.2

The documentation defines the safety functions and is available to the operators.

Actions to Accomplish:

- 1 Verify that safety documentation is available for operations.
- 2 Verify that the SSC's are available for operations use.

Acceptance Evidence:

Safety basis documentation locations

SSC locations

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.3.3, 3.5.2, and 7.3)(DOE-STD-1073-93, Chapter 1.3)

OBJECTIVE NO: 1.1.S.b

Drawings, procedures, and safety basis documentation relied upon for operations and maintenance activities and the documentation is consistent with the existing plant configuration.

CRITERIA NO: 1.1.S.b.1

Technical procedures, drawings, and safety basis documentation are consistent with the existing plant configuration (i.e., essential drawings and procedures important to safety).

Actions to Accomplish:

- 1 Confirm engineering walked down the systems for existing configuration and used plant configuration as a basis for development of technical procedures.
- 2 Verify that engineering provided the technical basis for the technical procedures and that contain they contain the current configuration and control data.
- 3 Verify that essential drawings, and surveillances related to safety basis documentation are consistent with existing system configurations in the CSB, CVD, and K Basins.

Acceptance Evidence:

Field walk-down records

Essential Drawings

Interview records

Technical procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.b

Design inputs are technically correct and complete.

CRITERIA NO: 15.7.E.b.1

Design is completed from a total system viewpoint and includes facilities, utilities, hardware, software, personnel, and procedures.

Actions to Accomplish:

- 1 Verify that engineering personnel are ready to operate.
- 2 Verify that the facilities are complete, including the software, hardware and procedures.

Acceptance Evidence:

Field verification records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.b

Design inputs are technically correct and complete.

CRITERIA NO: 15.7.E.b.2

Design requirements regarding design compatibility are defined in specifications.

Actions to Accomplish:

- 1 Verify that engineering drawings contain requirements and are consistent with interface features contained in the interface control drawings.

Acceptance Evidence:

Engineering documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.7) (10 CFR 830, Part 120; DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.c

Design changes that impact the technical baseline are controlled. The completed design is documented in drawings, specification, test/inspection plans, maintenance requirements, and reports.

CRITERIA NO: 15.7.E.c.2

Deviation from specified standards are identified and procedures are established to ensure control.

Actions to Accomplish:

- 1 Verify deviations from the specified standards were documented, controlled, and appropriate actions were taken.
- 2 Verify that screening for unreviewed safety questions (USQs) was performed for modifications affecting CSB, CVD, and K Basins.

Acceptance Evidence:

Interview validation records

Modification records and USQ records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.7)(10 CFR 72, Part 146); (10 CFR 830, Part 120); (DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.d

Design inspection and acceptance testing methods establish requirements for a calibration system to verify conformance to design requirements and are uniquely identified and traceable to their calibration data. The design inspection and test process identifies the status of systems structures, and components requiring review and documentation of changed inspection or test parameters.

CRITERIA NO: 15.7.E.d.1

Design testing is performed to approve test procedures.

Actions to Accomplish:

- 1 Verify that calibration requirements conform to the design requirements.
- 2 Interviews with system engineering document an understanding of the requirements.
- 3 Verify that design inspection and testing was reviewed to establish requirements for the calibration system.

Acceptance Evidence:

Document calibration records

Interviews records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 2.7)(10 CFR 72, Part 146); (10 CFR 830, Part 120); (DOE/RW-0333P, Revision 5, Sections 3.2.1 to 3.2.9)

OBJECTIVE NO: 15.7.E.d

Design inspection and acceptance testing methods establish requirements for a calibration system to verify conformance to design requirements and are uniquely identified and traceable to their calibration data. The design inspection and test process identifies the status of systems structures, and components requiring review and documentation of changed inspection or test parameters.

CRITERIA NO: 15.7.E.d.3

The inspection and test process identifies the status of SSC's. Methods are in place to control reinspection and retesting for previously failed SSC's. The methods provide for review and documentation of changed inspection and test parameters.

Actions to Accomplish:

- 1 Verify that nonconformance reports are processed for all damaged or discrepant items in accordance with the requirements.
- 2 Nonconforming items are reviewed accepted, rejected, repaired, or reworked in accordance with documented procedures.
- 3 Verify that design changes to acceptance criteria or to change safety or environmental instructions are prepared as part of the design.
- 4 Verify testing malfunctions, degradations or other deficiencies observed that are important to safety are reported and documented.
- 5 Verify that inspections address method to prevent the use of incorrect or defective materials, parts, or components.
- 6 Verify that measures are established as to the status of inspections to prevent inadvertent operation.

Acceptance Evidence:

Interviews indicate the program is functioning

Field work records

Inspections and test records

Design change records

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.4 and 3.7.4)[10 CFR 830, Section 6; DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 2.0.O.a

Administrative controls are in place to ensure that repairs or modifications are analyzed to identify system degradation and that design changes are documented and approved prior to implementation.

CRITERIA NO: 2.0.O.a.1

Repairs and modifications are analyzed to identify system degradation and approved prior to implementation.

Actions to Accomplish:

- 1 Verify that AP 6-006, "Essential Drawing Controlled Print File Management", is being followed in the field.
- 2 Verify that administrative procedure AP 6-002, "Plant System Designations", is revised to include the CSB, CVD, and K Basins. Review the labeling program AP-6-005-00, "Job Control System Component Identifier and Labeling Control", and field verify that labeling is in place at K Basins, CVD, and CSB.
- 3 Verify that modifications important to safety are under configuration control. Review modification packages and determine that controls are being followed and that engineering reviews SSCs for degradation.
- 4 Verify that safety equipment is under configuration control and that safety repairs and modifications are reviewed and approved prior to implementation.

Acceptance Evidence:

Interviews document a configuration control program is functioning and in place.

Confirm administrative modification control procedures are in place.

Repair and modification work packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.1.1)(DOE 4700.1 Chapter 3, Part C; DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.1.1)

OBJECTIVE NO: 2.0.O.e

The Configuration Management Program is established for each facility.

CRITERIA NO: 2.0.O.e.1

The Configuration Management Program is established for each of the facilities.

Actions to Accomplish:

- 1 Confirm that individuals are interviewed to determine that the configuration program is current and implemented according to SNF policies and procedures.
- 2 Confirm that configuration management training is complete for operations support and operating personnel that operate SNF projects.
- 3 Verify that the configuration management program was documented and implemented for SNF Project.

Acceptance Evidence:

Training completion records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.7) [DOE 425.1, DOE 1324.5B, 10 CFR 830]

OBJECTIVE NO: 2.1.O.a

A program is in place to control the configuration of the computer software.

CRITERIA NO: 2.1.O.a.1

A program is in place to control the configuration of the computer software.

Actions to Accomplish:

- 1 Verify that policies, procedures and programs are issued and controlled and meet the requirements to control computer software used to support the project mission.
- 2 Verify that procedures and policies that are issued to control computer software are implemented in the field.

Acceptance Evidence:

Interview records

Confirm policies and procedures were issued

Copies of policies, procedures and plans that apply (or list of documents with their current revision numbers)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.4.1 and 2.6.1)[DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.4.1;
DOE/RW-0333P, Revision 5, Supplement 1.2.1]

OBJECTIVE NO: 2.1.O.b

A review of computer software development and change records indicates that software control is properly implemented, documented, and under configuration control.

CRITERIA NO: 2.1.O.b.1

A review of computer software development and change records indicates that software control was properly implemented. A review of computer software development is properly documented.

Actions to Accomplish:

- 1 Verify that software changes and change records were properly implemented.

Acceptance Evidence:

Surveillance's and corrective actions

Documented software changes

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 3.7.3, 3.7.4, 3.7.5, 3.7.6, 3.7.7, 3.7.8, and 3.7.9)[DOE 5480.20A]

OBJECTIVE NO: 2.1.O.c

Operations and operations support personnel with responsibilities for computer software demonstrate their knowledge of a software configuration control program. These individuals also demonstrate an adequate understanding of the software configuration control procedures that are in place.

CRITERIA NO: 2.1.O.c.3

Engineering personnel demonstrate their knowledge of the SNF software configuration control program. Individuals can demonstrate understanding of the software configuration control procedures. Engineering procedures are in place and the program is approved and implemented.

Actions to Accomplish:

1. Confirm with interviews that engineering personnel understand configuration control and policies.
2. Confirm that policies and procedures are written, approved and implemented that reflect computer software configuration control.
3. Verify that engineering personnel demonstrate knowledge of plant configuration.

Acceptance Evidence:

Interview records

Policies and procedures

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter XVIII)

OBJECTIVE NO: 3.3.O.d

All systems and components are labeled to support operations.

CRITERIA NO: 3.3.O.d.1

KW Basin fuel removal and Cask Transportation systems and components are adequately labeled to support operations. SNF Applicability Matrix: AP-2-022, "Equipment and Piping Labeling"

Actions to Accomplish:

- 1 Verify field labeling was completed and verified for components necessary to support operations.
Verify the following equipment was labeled:

Valves, Major Equipment (i.e., tanks, pumps, and Compressors, switches, circuit breakers, instruments, busses and motor control centers, fire protection equipment, and emergency equipment), and safety related monitoring and processes equipment.

Acceptance Evidence:

Field walk-down records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter XVIII)

OBJECTIVE NO: 3.3.O.d

All systems and components are labeled to support operations.

CRITERIA NO: 3.3.O.d.2

CVD systems and components are labeled to support operations. SNF Applicability Matrix: AP-2-022, "Equipment and Piping Labeling"

Actions to Accomplish:

- 1 Verify the following was labeled:
Valves, Major Equipment (i.e., tanks, pumps, and compressors), switches, circuit breakers, instruments, busses and motor control centers, fire protection equipment, and emergency equipment.
- 2 Verify that field labeling was completed and verified.

Acceptance Evidence:

Field document labeling records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter XVIII)

OBJECTIVE NO: 3.3.O.d

All systems and components are labeled to support operations.

CRITERIA NO: 3.3.O.d.3

CSB systems and components are labeled to support operations. SNF Applicability Matrix: AP-2-022, "Equipment and Piping Labeling"

Actions to Accomplish:

- 1 Verify the following was labeled:
Valves, Major Equipment (i.e., tanks, pumps, and compressors), switches, circuit breakers, instruments, busses and motor control centers, fire protection equipment, and emergency equipment.
- 2 Verified that field labeling was completed and verified.

Acceptance Evidence:

Field records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

This document was too large to scan as a single document; therefore, it has been divided into smaller sections.

Section 2 of 2

Document Information			
Document #	HNF-2039	Revision	0
Title	MGMT SELF ASSESSMENT PLAN		
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Originator	DEBBAN BL	Originator Co.	DESH
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Other Information			

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter VIII)

OBJECTIVE NO: 3.3.O.e

Systems and components are operational. Safety-related processes and utility systems are operational. This conclusion is based on observation of the facilities physical condition and demonstrated operability of the systems. The safety-related operation status is satisfactory. The condition of safety and safety-related utility systems, facilities and components are satisfactory.

CRITERIA NO: 3.3.O.e.1

KW Basins Fuel Removal system, Cask Transportation System and their components are operational.

Actions to Accomplish:

- 1 Verify that facility pre-operational test procedures and operations tests procedures were completed.
- 2 Verify that safety related equipment was functionally tested and operates according to the safety basis requirements.

Acceptance Evidence:

Equipment status and testing records

Document that the results were satisfactory and demonstrated equipment operability.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter VIII)

OBJECTIVE NO: 3.3.O.e

Systems and components are operational. Safety-related processes and utility systems are operational. This conclusion is based on observation of the facilities physical condition and demonstrated operability of the systems. The safety-related operation status is satisfactory. The condition of safety and safety-related utility systems, facilities and components are satisfactory.

CRITERIA NO: 3.3.O.e.2

CVD systems and components are operational.

Actions to Accomplish:

- 1 Verify that Facility Projects have the records under configuration control.
- 2 Field verify that:
All safety-related processes and utility systems are operational and that all operational pre-start testing is completed, and that equipment status and authority to operate equipment is controlled by operations.
- 3 Safety related equipment is functionally tested and operates according to the safety basis requirements.

Acceptance Evidence:

Interview records indicate the systems are ready to operate.

Engineering records

Equipment status and testing results

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: S/RID 9.1 Conduct of Operations Matrix) (DOE 5480.19 Chapter VIII)

OBJECTIVE NO: 3.3.O.e

Systems and components are operational. Safety-related processes and utility systems are operational. This conclusion is based on observation of the facilities physical condition and demonstrated operability of the systems. The safety-related operation status is satisfactory. The condition of safety and safety-related utility systems, facilities and components are satisfactory.

CRITERIA NO: 3.3.O.e.5

CSB systems and components are operational.

Actions to Accomplish:

- 1 Verify that Facility Projects have the records under configuration control.
- 2 Field verify that:
All safety-related processes and utility systems are operational and that all operational pre-start testing is completed and that equipment status and authority to operate equipment is controlled by operations.
- 3 Safety related equipment is functionally tested and operates according to the safety basis requirements.

Acceptance Evidence:

Interview records indicate the systems are ready to operate.

Engineering records

Equipment status and testing results

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 18.4) (DOE 5480.22, Revision C01, Section 9)

OBJECTIVE NO: 4.0.0.b

Surveillance test procedures and acceptance criteria are established and consistent with the approved operating basis for the facility.

CRITERIA NO: 4.0.0.b.1

Surveillance test procedures are established and consistent with the approved operating basis for the facility.

Actions to Accomplish:

- 1 Verify that surveillance and test procedures that include technical safety requirements were approved.
- 2 Verify that surveillance and test procedures that include technical safety requirements were documented.
- 3 Verify that field surveillance and test procedures include technical safety requirements and define operating limits and necessary administrative controls; surveillance test procedures were completed, implemented, and consistent with the approved operating basis for the facility.

Acceptance criteria were established and is consistent with the approved operating basis for the facility.

Acceptance Evidence:

Field surveillance test records are consistent with the approved operating basis

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 18.4) (DOE 5480.22, Revision C01, Section 9)

OBJECTIVE NO: 4.0.0.b

Surveillance test procedures and acceptance criteria are established and consistent with the approved operating basis for the facility.

CRITERIA NO: 4.0.0.b.2

Acceptance criteria is established and consistent with the approved operating basis for the facility.

Actions to Accomplish:

- 1 Field verify that acceptance criteria was established and according to the basis for the facility.
- 2 Verify that approved engineering, operations and maintenance surveillance procedures are consistent with the approved operating basis of the facility.

Acceptance Evidence:

Interview records

Acceptance criteria records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 9.1) (DOE 5480.19)

OBJECTIVE NO: 4.1.O.c

Processes, equipment, and utilities to safely operate the SNF Project are identified.

CRITERIA NO: 4.1.O.c.1

Safety related processes, equipment and utilities are identified in the field for use by operating personnel.

Actions to Accomplish:

- 1 Verify labeling is completed on the processes that identify safety related requirements. Examples are radiation signs, criticality postings, labeling of safety related components.
- 2 Field verify that the processes, required to safely operate the CSB, CVD Cask Transportation, and K Basin are identified in the operational documentation that includes maintenance and surveillance procedures.

Acceptance Evidence:

Field walk-down records.

Procedures are available for review.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.3) (DOE 5480.20A, Revision 0, Chapter 1 Section 6)
(S/RID 18.6.1)(DOE 5480.24, Paragraph 7; DOE 5480.20A, Chapter I and IV)

OBJECTIVE NO: 6.4.S.b

Plant personnel recognize and respond to criticality safety limits.

CRITERIA NO: 6.4.S.b.1

Responsible plant personnel working within the facility recognize and respond to criticality safety limits. Individuals responsible are operations, maintenance, system engineers, and management of these organization.

Actions to Accomplish:

- 1 Verify that training was reviewed to verify that criticality safety limits were included.
- 2 Verify that training is performed on criticality safety limits, and individual have knowledgeable and respond to criticality safety limits.

Acceptance Evidence:

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1)[DOE 5480.19, Revision C01, Chapter I and XVI]

OBJECTIVE NO: 7.0.O.a

Operators, supervisors, and process engineers understand the importance of procedural compliance and adhere to the policy.

CRITERIA NO: 7.0.O.a.2

Process engineers understand the importance of procedural compliance and adhere to the policy. SNF Applicability Matrix: AP-9-004, "Technical Procedure Use and Compliance".

Actions to Accomplish:

- 1 Review training records to confirm procedural compliance is addressed.
- 2 Interview personnel to determine their knowledge of responsibilities to procedural compliance.

Acceptance Evidence:

Training records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T152, Facility Systems Engineering

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1 and 4.3.5) [DOE 5480.19, Chapter 1]

OBJECTIVE NO: 8.0.M.c

Operators, supervisors, and process engineers are knowledgeable of safety and environmental protection requirements and understand how they are implemented.

CRITERIA NO: 8.0.M.c.2

Process engineers are knowledgeable of safety and environmental protection requirements and understand how they are implemented.

Actions to Accomplish:

- 1 Interview personnel to verify their knowledge of safety and environmental protection requirements.
- 2 Verify that SARs, TSRs, and Process Standards are available for all personnel.
- 3 Verify training is complete on safety and environmental protection requirements.

Acceptance Evidence:

Interview records

Process standards

TSR

SAR

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T152, Facility Systems Engineering

Date: 1/26/98

S/RID Reference: (S/RID 1.6)[DOE 232.1 Para. 4.c.3] (S/RID 9.2.1) (DOE 5490.19)

OBJECTIVE NO: 8.0.O.b

Operators, supervisors, and process engineers demonstrate, through their actions, an understanding of recent safety related occurrence events.

CRITERIA NO: 8.0.O.b.2

Process engineers demonstrate through their actions an understanding of recent safety related occurrence events. Refer to AP 2-016, "Lessons Learned".

Actions to Accomplish:

- 1 Interview personnel to verify a thorough understanding of recent safety related occurrence events.
- 2 Verify that occurrence reporting lessons learned information is available to process engineers.

Acceptance Evidence:

Interview records

Lessons learned program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Training & Procedures

2T170

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T170, Training and Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.7

Facility support training and procedures management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Review training and procedures policy and verify that maintenance employees understand his/her accountability for performance.
- 2 Verify training and procedures personnel clearly understand their authority, responsibility, accountability and interfaces with other groups.
- 3 Verify that training and procedures management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

Interview records

Records review

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T170, Training and Procedures

Date: 1/26/98

S/RID Reference: (S/RID 2.11) [10CFR72, Part 160, 176; DOE/RW-0333P, Revision 5, Section 2.2.6, 18.2.12]

OBJECTIVE NO: 13.0.M.a

S/RIDs are implemented and a record review of S/RIDs is observed to determine performance is satisfactory.

CRITERIA NO: 13.0.M.a.1

Performance is satisfactory in the implementation status of S/RIDs.

Actions to Accomplish:

- 1 Perform a field assessment that the appropriate administrative procedures, policies, and Fluor Daniel Hanford procedures (HNF-PROs) for S/RID development and implementation are being complied with by the project.
- 2 Review the project schedules and milestone sheets to confirm that the annual updates to the two S/RID documents are clearly identified with appropriate responsibilities defined.
- 3 Review the training and qualification records of the S/RID chapter facility experts and responsible functional area managers to assure that they have the appropriate training, credentials and facility specific understanding, as well as understanding of the S/RID process to support their roles and responsibilities in S/RID development and maintenance.
- 4 Confirm that any changes to the S/RID documents, that have been made by the contractor, as allowed by the DOE field office procedures, are documented on ECNs, with adequate justification to support the statement that the environmental safety and health posture has not been affected.
- 5 Verify that the two SNF Project S/RIDs are being properly maintained under configuration control and that the database is consistent with what was approved by the Manager, RL.
- 6 Review at least 10% of the S/RID Phase 1 and 2 assessment records to confirm that they meet the requirements specified in the DESH Administrative Procedures and Fluor Daniel Hanford Procedures for S/RID assessments.
- 7 Review the S/RID database, as well as the PIP and DTS printouts of open items to confirm that all previously identified S/RID deficiencies have been corrected.
- 8 Field verify a subset of the S/RID requirements, independent of line management to confirm that the Phase 2 assessments are complete and adequate.
- 9 Verify that all S/RID Phase I records review and Phase II verification of program implementation is complete for both the CSB Revision 0 S/RID and the CVD/K Basin Revision 1 S/RID.

Acceptance Evidence:

Field interview records

MSA APPRAISAL FORM

Assessment reports

Schedules

ECNs for S/RID documents

Training records

S/RID Phase I records and Phase II assessment forms for both S/RIDs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T170, Training and Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01,
Chapter

XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm CSAs are tracked and any open items have a planned completion date.
- 2 Confirm during interviews that personnel understand the implementation requirements.
- 3 Confirm that procedures are implemented.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T170, Training and Procedures

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [10 CFR 830, Part 120(c)(1)(ii); DOE 5480.20A, Revision 0, Chapter 1, Section

7b; Preamble, Section 6.b, 8.a, and 8.b; WAC 173-0303, Section 330(1), (1)(a), 1(b), 1(c), 1(d) and (2)]

OBJECTIVE NO: 5.0.O.c

Goals, objectives, and plans are in place that describes the implementation of training and qualification programs. The training and qualification program status is current with the TIM.

CRITERIA NO: 5.0.O.c.1

Goals, objectives, and plans are in place that describe the implementation of training. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify that the training program and plan is implemented for each management area.
- 2 Verify that Training Implementation Matrix is updated.

Acceptance Evidence:

Interview records

Training program plan

Training Implementation Matrix.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T170, Training and Procedures

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) (DOE 5480.19, Chapter 1, ; 10 CFR 830.120)

OBJECTIVE NO: 5.1.O.a

The training organization is established. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 5.1.O.a.1

The training organization is established. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

Actions to Accomplish:

- 1 Training staff understand the safety basis documentation and training on the safety basis documentation has been validated as correct by management.
- 2 The training staff is qualified and demonstrates the necessary experience levels to provide SNF personnel training.
- 3 Define functions, responsibilities and reporting relationships in administrative procedures.
- 4 Revise and approve position descriptions for training staff.

Acceptance Evidence:

Training records

Qualification records

Training position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

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Procedures

2T171

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9]

OBJECTIVE NO: 1.0.S.h

Facility procedures and documents that implement the requirements of the SAR and TSRs contain operational limits for process variables and system operation. The procedures and documents are at least as restrictive as the SAR and TSRs.

CRITERIA NO: 1.0.S.h.2

Facility procedures and documents are at least as restrictive as the SAR and TSRs.

Actions to Accomplish:

- 1 Verify that TSRs and limiting conditions of operation are implemented, specified, and identified in procedures and documents that they are at least as restrictive as the authorization basis documents.
- 2 Verify the procedures and documents contain operational limits and process variables.

Acceptance Evidence:

SAR matrix

TSR technical procedures containing TSR's, process variables, and limits

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 3.3.3, 3.5.2, and 7.3)(DOE-STD-1073-93, Chapter 1.3)

OBJECTIVE NO: 1.1.S.b

Drawings, procedures, and safety basis documentation relied upon for operations and maintenance activities and the documentation is consistent with the existing plant configuration.

CRITERIA NO: 1.1.S.b.2

Technical procedures are consistent with the existing plant configuration which are important to safety.

Actions to Accomplish:

- 1 Interview existing staff and verify that procedure writers confirm configuration data was provided and procedures are up to date with existing configuration.
- 2 Confirm that technical procedures are up to date with exiting plant configuration.
- 3 Verify that technical procedures related to safety basis documentation are consistent with existing system configuration in the CSB, CVD, and K Basins.

Acceptance Evidence:

Field walk down records

Technical procedures

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.1, 1.2.2, and 18.4) [DOE 5480.22, Paragraph 9e; DOE 5480.19, Chapter XVI]

OBJECTIVE NO: 2.0.S.d

Operating and maintenance procedures implement applicable safety requirements and the associated limiting conditions for operation.

CRITERIA NO: 2.0.S.d.2

Technical procedures implement applicable safety requirements and the associated limiting conditions for operation.

Actions to Accomplish:

- 1 Verify that compliance or administrative procedures are in place that contain the TSR requirements including those for reporting deviations from the TSR.
- 2 Confirm that safety related technical procedures are implemented in the field via field walk downs, interviews, and spot checks. The limiting conditions of operation identified in safety basis documentation are implemented in the applicable maintenance and operations procedures.
- 3 Verify that CSB, CVD, K Basins, and Cask Transportation system safety related technical procedures are approved.

Acceptance Evidence:

Technical procedures

Administrative procedures

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.2)(S/RID 1.2.3)(DOE 5480.19, Revision C01, Chapter 16)

OBJECTIVE NO: 3.1.O.b

Procedures are revised to reflect facility modifications. A process is in place to evaluate modifications and to determine when procedure modifications are required.

CRITERIA NO: 3.1.O.b.1

Procedures are revised to reflect facility modifications.

Actions to Accomplish:

- 1 Procedures affected by modifications are up to date.
- 2 Administrative processes are in place that update operating procedures to reflect facility modifications.
- 3 Interviews with procedure writers confirm procedures are current and modifications are implemented into the procedures.

Acceptance Evidence:

Modification records

Field walk-down records

Interview records

Procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.3)[DOE 5480.19, Chapter XVI; DOE 5700.6C, Paragraph 9.b.(2)(a); DOE4330.4B, Chapter II, Section 6]

OBJECTIVE NO: 3.1.O.c

TSRs implementing and surveillance procedures meet the requirements in DOE Order 5480.19, Conduct of Operations.

CRITERIA NO: 3.1.O.c.2

Operating TSR procedures meet the requirements of DOE Order 5480.19, Chapter XVI.

Actions to Accomplish:

- 1 Verify SARTSR, implementation matrix or other methods are used to track procedure requirements.
- 2 Verify procedures are written to provide specific direction for normal, abnormal and emergency conditions.
- 3 Interview procedure staff and determine that specific directions are received for normal, abnormal, and emergency conditions.

Acceptance Evidence:

Technical procedures

Interview records

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.3)[DOE 5480.19, Chapter XVI; DOE 5700.6C, Paragraph 9.b.(2)(a); DOE4330.4B, Chapter II, Section 6]

OBJECTIVE NO: 3.1.O.c

TSRs implementing and surveillance procedures meet the requirements in DOE Order 5480.19, Conduct of Operations.

CRITERIA NO: 3.1.O.c.3

Technical procedures that incorporate TSRs, such as round/tour sheets meet the requirements of DOE Order 5480.19, Chapter XVI.

Actions to Accomplish:

- 1 Confirm that technical procedures are written to provide specific direction for normal, abnormal and emergency conditions.
- 2 Verify that procedure writers are provided appropriate information to include in TSR related procedures the appropriate commitments.

Acceptance Evidence:

Interview records

Procedure tracking system

TSR implementation matrix

TSR related procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.1)(DOE 5480.19, Revision C01, Chapter 16)

OBJECTIVE NO: 3.1.O.d

Operations, maintenance, and surveillance procedures are adequately implemented and consistent with the approved safety basis.

CRITERIA NO: 3.1.O.d.1

A procedure implementation matrix defines the universe of procedures that are required.

Actions to Accomplish:

- 1 Verify that CVD has an implementation procedures matrix that includes the operations, maintenance and surveillance procedures. Confirm procedures are implemented according to the approved safety basis.
- 2 Verify that CSB has an implementation procedures matrix that includes operations, maintenance and surveillance procedures. Confirm procedures are implemented according to the approved safety basis.
- 3 Confirm that procedures staff understand the implementation matrix.
- 4 Verify that K Basins have an implementation procedures matrix that includes the operations, maintenance and surveillance procedures. Confirm procedures are implemented according to the approved safety basis.

Acceptance Evidence:

Interview records

Implementation procedures matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.2)(DOE 5480.19, Revision C01, Chapter 16)

OBJECTIVE NO: 3.1.O.e

TSR implementing procedures and procedures required for operations are verified to be correct and consistent.

CRITERIA NO: 3.1.O.e.1

Procedures required to implement TSRs are verified to be correct and consistent.

Actions to Accomplish:

- 1 Verify that walk through or table top validations for CVD, CSB, K Basins, and Cask Transportation TSR procedures have been prepared.

Acceptance Evidence:

Interview records

Validation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.2)(DOE 5480.19, Revision C01, Chapter 16)

OBJECTIVE NO: 3.1.O.f

Procedures are designed to maintain operations within the approved Authorization Bases.

CRITERIA NO: 3.1.O.f.1

Procedures are designed to maintain operations within the approved Authorization Bases.

Actions to Accomplish:

- 1 Verify that procedurs have USQ screening evaluation performed and documented.

Acceptance Evidence:

USQ screening records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.2.2) (DOE 5480.19, Revision C01, Chapter 16, Section c)

OBJECTIVE NO: 3.1.O.g

Emergency Operating Procedures are approved by the line management (or designees), Safety, and Engineering.

CRITERIA NO: 3.1.O.g.1

Emergency Operating Procedures are approved by the line manager (or designees), and safety.

Actions to Accomplish:

- 1 Verify emergency procedures are documented and tracked.
- 2 Verify a system is in place to generate, approve and perform emergency procedures.

Acceptance Evidence:

Interviews with staff

Emergency procedures

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.7.2.1) (DOE 425.1)

OBJECTIVE NO: 3.3.O.b

Safety significant operating surveillance, maintenance, calibration, and preventative maintenance required for operation are developed, validated and approved. Processes, equipment, and utilities necessary to safely operate the SNF Project have satisfactorily passed all specified system operability tests.

CRITERIA NO: 3.3.O.b.2

Preventive maintenance procedures required for operation are developed, revised, reviewed, corrected, validated and approved.

Actions to Accomplish:

- 1 Confirm preventative maintenance records and procedure document control are established.
- 2 Preventative Maintenance records are available for review.
- 3 Verify preventive maintenance procedures are written or in the process of being written. Confirm safety related preventive maintenance procedures are developed, approved and validated.
Confirm that field performance is complete.

Acceptance Evidence:

Interviews with maintenance and work control

Interview records

Preventive maintenance records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 1.7.2.1) (DOE 425.1)

OBJECTIVE NO: 3.3.O.b

Safety significant operating surveillance, maintenance, calibration, and preventative maintenance required for operation are developed, validated and approved. Processes, equipment, and utilities necessary to safely operate the SNF Project have satisfactorily passed all specified system operability tests.

CRITERIA NO: 3.3.O.b.3

Operating surveillance procedures required for operation are developed, revised, reviewed, corrected, validated and approved.

Actions to Accomplish:

- 1 Operations procedures are available for review.
- 2 Confirm operations records and procedure document control are established.
- 3 Verify operating procedures are written or in the process of being written. Confirm safety related operations procedures are developed, approved and validated.
Confirm that field performance is complete.

Acceptance Evidence:

Procedure control file locations

Procedure records

Operations procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T171, Procedures

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Training

2T172

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter I, Section C.1, and Chapter 16, Section

C.7]

OBJECTIVE NO: 3.1.O.i

Procedure users are aware. They are authorized, to take whatever action is necessary during emergency conditions, to place the facility in a safe condition to protect equipment, personnel and public safety without first initiating a procedure change.

CRITERIA NO: 3.1.O.i.1

Procedure users are aware they are authorized to take whatever action is necessary during emergency conditions to place the facility in a safe condition to protect equipment, personnel and public safety without first initiating a procedure change. SNF Applicability Matrix: AP 9-004, "Technical Procedure Use and Compliance"; and HNF-PRO-229, "Technical Procedure Standard".

Actions to Accomplish:

- 1 Interview operations personnel to verify a thorough understanding and to assess knowledge retention of actions necessary to place facilities in a safe condition.
- 2 Interview operations personnel to verify their knowledge of requirements to protect equipment, personnel, and public safety in the event of an emergency.
- 3 Verify training is completed on emergency actions required to place the facilities in a safe condition.
- 4 Verify training provides specific direction to operations personnel regarding equipment protection, personnel and public safety, in the event of an emergency. Verify training is completed on emergency actions required to place the facilities in a safe condition.

Acceptance Evidence:

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) (DOE 5480.20A Revision 0, Chapter 1, section 2)

OBJECTIVE NO: 5.0.O.a

Procedures are developed and implemented that describe the qualification process. The procedures include provisions for examinations and certification of operations and maintenance personnel. The re-qualification, proficiency, granting of exceptions and extensions, alternatives to educational requirements, and Remediation are also included in the facility and management training program.

CRITERIA NO: 5.0.O.a.1

Procedures are developed and implemented that describe the qualification process. AP 8-001, "K Basins Qualification and Certification process" AP 8-009, "Operations Project On-the-Job Training"

Actions to Accomplish:

- 1 Verify that the management qualification program was approved.
- 2 Verify the Training Implementation Matrix contains requirements for qualifications of; Operations; Maintenance; Technical Staff; HPT's and Management.
- 3 Verify that the operator, maintenance, engineering and nuclear safety qualification programs were approved.
- 4 Verify that training implementation matrix was approved and documents, for qualification of, Operations, Maintenance, Technical Staff, Nuclear Safety, Criticality Safety, HPT's, and Management.
- 5 Verify and document that the AP-08 series is up to date with the training program.

Acceptance Evidence:

Training records

Field interview records

Administrative procedures

Training implementation matrixes

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) (DOE 5480.20A Revision 0, Chapter 1, section 2)

OBJECTIVE NO: 5.0.O.a

Procedures are developed and implemented that describe the qualification process. The procedures include provisions for examinations and certification of operations and maintenance personnel. The re-qualification, proficiency, granting of exceptions and extensions, alternatives to educational requirements, and Remediation are also included in the facility and management training program.

CRITERIA NO: 5.0.O.a.2

The procedures include provisions for examinations and certification of operations and maintenance personnel. AP 8-001, "K Basins Qualification and Certification process" AP 8-009, "Operations Project On-the-Job Training"

Actions to Accomplish:

- 1 Verify Training Implementation Matrix contains requirements for qualification of ; Operations; Maintenance; Technical Staff, and Managers.
- 2 Interview Managers and determine that the training and qualification process is understood.
- 3 Procedures include provisions for examinations and certification of personnel.

Acceptance Evidence:

Interview records

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) (DOE 5480.20A Revision 0, Chapter 1, section 2)

OBJECTIVE NO: 5.0.O.a

Procedures are developed and implemented that describe the qualification process. The procedures include provisions for examinations and certification of operations and maintenance personnel. The re-qualification, proficiency, granting of exceptions and extensions, alternatives to educational requirements, and Remediation are also included in the facility and management training program.

CRITERIA NO: 5.0.O.a.3

The re-qualification, proficiency, granting of exceptions and extensions, alternatives to educational requirements, and Remediation are also included in the facility and training management program. AP 8-001, "K Basins Qualification and Certification process" AP 8-009, "Operations Project On-the-Job Training"

Actions to Accomplish:

- 1 Verify that "Qualification and certification program", is being followed or addresses requirements for successful completion. This includes items such as written, oral, or personnel evaluations for the following: shift managers, facility managers, operators, maintenance, technical staff, and health physics.
- 2 Verify that alternatives to educational experience are defined for each position.
- 3 Confirm that training records are accurate and indicate that requalification, granting exceptions and extensions are performed according to the procedures.
- 4 Confirm that management understands the re-qualification, proficiency, granting of exceptions and extensions, alternatives to educational requirements, and remediation are also included in the facility and training management program.

Acceptance Evidence:

Interviews records

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.3.1) [29CFR1910 Part 120(e)]

OBJECTIVE NO: 5.0.O.b

Procedures are in place that ensure nonresident personnel have received the proper training for unescorted access to SNF Facilities. A review of nonresident personnel training history is also performed against the current training requirements to assure individuals working in the facility are up to date on facility specific training requirements.

CRITERIA NO: 5.0.O.b.1

Procedures are in place that ensure nonresident personnel have received the proper training for unescorted access to SNF Facilities.

Actions to Accomplish:

- 1 Verify training program was in place for non resident personnel.
- 2 Verify that non resident personnel are trained and up to date on specific facility training requirements.
- 3 Create training records that are non resident personnel.
- 4 Develop administrative procedure that is addresses non resident personnel working in DESH facilities.

Acceptance Evidence:

Non-resident personnel are not granted facility access until training is verified.

Field interviews with non resident personnel are available for review. Compare non-resident personnel working in the facilities with the training records' evidence and verify no discrepancies are noted.

Training for non-resident individuals is defined and implemented.

Non-resident training records are available.

Administrative procedures approved and implemented.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1& 4.1.2)(WAC 173-303, Section 303)(DOE 5480.20A, Revision 0, Chapter I, Section 5)

OBJECTIVE NO: 5.0.O.d

Classroom training is conducted with formal lesson plans and based upon established learning objectives. Written and oral examinations are used for trainee comprehension of training content.

CRITERIA NO: 5.0.O.d.1

Classroom training is conducted with formal lesson plans. Classroom training is based upon established learning objectives. Written and oral examinations are used for trainee comprehension of training content. "DESH 1"; "Training Implementation Matrix" AP 8-004; "Training Organization Training Requirements" AP 8-005; "KB Operations Personnel Training Requirements" AP 8-006; "KB Maintenance & Work Control Training Requirements" AP 8-007; "Technical Support Staff Training Requirements"

Actions to Accomplish:

- 1 Field review written and oral examinations and interview trainees' for competency
- 2 Verify written and oral examinations were used.
- 3 Verify that classroom training was conducted with formal lesson plans, and was based upon established learning objectives.
- 4 Verify the training design packages were completed.
- 5 Verify task analysis was completed.

Acceptance Evidence:

Examination records

Interview records

Classroom training records

Training materials

Training design packages

Task Analysis records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) (DOE 5480.20A, Chapter I)

OBJECTIVE NO: 5.0.O.e

Training programs contain formal on-the-job training (OJT) and hands-on skills are evaluated.

CRITERIA NO: 5.0.O.e.1

Training programs contain formal on-the-job training (OJT) and hands-on skills are evaluated.

Actions to Accomplish:

- 1 One on one instruction is performed for each work station.
- 2 Operational supervisors and training evaluate operator qualifications for assigned work stations.
- 3 Confirm that dry runs and field verify that formal on-the -job training and hands on skills are being evaluated.
- 4 Confirm that OJT and JPM training are complete for startup operations.
- 5 Confirm that OJT and JPM are in administrative procedures.
- 6 Verify that OJT and JPM training were implemented and are in place.

Acceptance Evidence:

Interview records

Training one-on-one operator evaluations

Field verify on shift training

Documentation of OJT program evaluations and follow-up

Administrative procedures

JPM and OJT records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.20A, Chapter I]

OBJECTIVE NO: 5.0.O.f

The qualification program for operations and operations support personnel includes requirements for successful completion of written, oral, and operational evaluations. Provisions for a provisional qualification program are specified.

CRITERIA NO: 5.0.O.f.1

The qualification program for operations personnel includes requirements for successful completion of written, and oral, operational evaluations. "DESH-1", "Training Implementation Matrix", AP 8-005, "KB Operations Personnel Training Requirements".

Actions to Accomplish:

- 1 Verify provisions for provisional qualification are defined in the administrative procedures.
- 2 Verify classroom/exams and OJT/JPM was defined and completed for each certification program element.

Acceptance Evidence:

Examination records

Administrative procedures

Provisional qualification records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1& 4.2) (S/RID 4.2.7) (DOE 5480.20 A Revision 0, Chapter 1, Section 5, & 7)

OBJECTIVE NO: 5.0.O.g

The tasks requiring competent job performance are identified and documented. A systematic analysis is performed on job requirements. The training program and learning objectives are based on the systematic analysis.

CRITERIA NO: 5.0.O.g.1

KW Basin and Transportation tasks requiring competent job performance are identified and documented. A systematic analysis is performed on job requirements. The training program and learning objectives are based on the systematic analysis. "DESH 1"; "Training Implementation Matrix" AP 8-004; "Training Organization Training Requirements" AP 8-005; "KB Operations Personnel Training Requirements" AP 8-006; "KB Maintenance & Work Control Training Requirements" AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify training design packages were completed for KW Basin, Cask Transportation and Integrated Water Treatment system.
- 2 Verify job task analysis were completed for KW Basin, Cask Transportation and Integrated Water Treatment system.

Acceptance Evidence:

Training design packages

Task analysis records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1& 4.2) (S/RID 4.2.7) (DOE 5480.20 A Revision 0, Chapter 1, Section 5, & 7)

OBJECTIVE NO: 5.0.O.g

The tasks requiring competent job performance are identified and documented. A systematic analysis is performed on job requirements. The training program and learning objectives are based on the systematic analysis.

CRITERIA NO: 5.0.O.g.2

CVD and CSB tasks requiring competent job performance are identified and documented. A systematic analysis is performed on job requirements. The training program and learning objectives are based on the systematic analysis. "DESH 1"; "Training Implementation Matrix" AP 8-004; "Training Organization Training Requirements" AP 8-005; "KB Operations Personnel Training Requirements" AP 8-006; "KB Maintenance & Work Control Training Requirements" AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Verify Training Design packages were completed for CVD and CSB.
- 2 Verify job task analysis was complete for CDV and CSB.

Acceptance Evidence:

Training design packages

Task analysis records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7) (29 CFR 1200) DOE 5480.20 A Chapter 1)

OBJECTIVE NO: 5.0.O.h

Requirements for continuing training are defined and programs developed. Continuing training includes conduct of drills for maintaining proficiency and responds to abnormal and accident situations. Also included is response to drills involving radiological hazards.

CRITERIA NO: 5.0.O.h.1

Requirements for continuing training are defined and programs developed.

Actions to Accomplish:

- 1 Verify that means are defined for training to receive requirements for program updates.
- 2 Confirm that programs such as the dry runs and future operations are being addressed by the training organization.
- 3 Verify that the continuing training program is defined and addressed in administrative procedures and that dry runs document the programs successes and lessons learned.

Acceptance Evidence:

Future operational training plans

Lessons learn records

Dry run records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7) (29 CFR 1200) DOE 5480.20 A Chapter 1)

OBJECTIVE NO: 5.0.O.h

Requirements for continuing training are defined and programs developed. Continuing training includes conduct of drills for maintaining proficiency and responds to abnormal and accident situations. Also included is response to drills involving radiological hazards.

CRITERIA NO: 5.0.O.h.2

Continuing training includes conduct of drills for maintaining proficiency and responds to abnormal and accident situations. Also included is response to drills involving radiological hazards.

Actions to Accomplish:

- 1 Verify that response to drills indicate a proficiency of operations and operations support staff.
- 2 Verify that a drill program that involves training is documented and performed.
- 3 Verify that methods are in place to maintain operator proficiency in responding to abnormal and accident situations are documented and that training includes radiological hazards in drill training scenarios.
- 4 Verify that methods are in place to maintain the Training Implementation Matrix current for SNF projects.

Acceptance Evidence:

Interview records

Field observation records

Radiological drill scenarios

List of drills for normal, abnormal, and emergencies

Training Implementation matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20 A, Revision 0, Chapter 1, Sections 7, 8, & 9)

OBJECTIVE NO: 5.0.O.i

Training programs for operation and operations support include training that contains the requirements in the approved operating basis for the facility.

CRITERIA NO: 5.0.O.i.1

Training programs for operation and operations support include training that contains the requirements in the approved operating basis for the facility. The operating basis consist of the procedures, S/RIDs, Permits, and SAR/TSR requirements. "DESH 1, "Training Implementation Matrix" AP-8-001, "KB Qualifications and Certification Program" AP-8-005, "KB Operations Personnel Training Requirements"

Actions to Accomplish:

- 1 Verify that training programs contains the requirements in the approved operating basis for the facility. Verify that training classes are consistent with the Authorization basis documentation.
- 2 Verify training is up to date according to the approved K Basin and CSB S/RIDs requirements..
- 3 Verify training is up to date according to the approved Permit requirements..
- 4 Verify training programs are verified through review of the training materials for proper inclusion of S/RIDs, Permits, and SAR/TSR data..

Acceptance Evidence:

TSR records

SAR records

Interview records

S/RIDs records

Training program review records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) (DOE 5480.19, Revision C01, Chapter 1, Section C1)

OBJECTIVE NO: 5.0.O.j

Training programs for operations and operations support personnel emphasize compliance with procedures and safety requirements.

CRITERIA NO: 5.0.O.j.1

Training programs for operations emphasize compliance with procedures and safety requirements.

Actions to Accomplish:

- 1 Verify that personnel understand procedure compliance and SNF safety requirements.
- 2 Field verify that training programs emphasize compliance with procedures and safety requirements. This includes administrative and operating procedures, and operations support procedures.

Acceptance Evidence:

Procedure training expectation records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2.3 & 4.3.8)(5480.20 A, Revision 0, Chapter 1, Section 7h)

OBJECTIVE NO: 5.0.O.k

Training of technical staff personnel is based on an assessment of position duties and responsibilities.

CRITERIA NO: 5.0.O.k.1

Training of technical staff personnel is based on an assessment of position duties and responsibilities.

Actions to Accomplish:

- 1 Confirm that in developing training JTA are used.
- 2 Verify technical staffs duties and responsibilities are defined.
- 3 Verify position descriptions for technical staff personnel are completed.

Acceptance Evidence:

JTA records

Technical staffs position descriptions

Technical staff training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) (DOE 5480.20 A, Revision 0, Chapter 1)

OBJECTIVE NO: 5.0.O.1

The training department uses post-training feedback, internal evaluations (self-assessment), and operating experience to modify the training program when needed. This includes: using feedback on training effectiveness from trainees and supervisors, incorporating feedback from operating experience at the site and from other DOE sites, conducting formal reviews of training effectiveness, and incorporation of comments from line management self-assessments and other audits

CRITERIA NO: 5.0.O.1.1

The training department uses post-training feedback, internal evaluations (self-assessment), and operating experience to modify the training program when needed. This includes: using feedback on training effectiveness from trainees and supervisors, incorporating feedback from operating experience at the site and from other DOE sites, conducting formal reviews of training effectiveness, and incorporation of comments from line management self-assessments and other audits.

Actions to Accomplish:

- 1 Verify that lesson learned and other operating experience is factored into the training program.
- 2 Field verify that self assessments and audits are conducted on the training program.
- 3 Verify training classroom pilot for maintenance is complete and feedback was used along with internal evaluations to improve training effectiveness..
- 4 Verify that training classroom pilot training for supervisors and technical support staff are complete and feedback was used along with internal evaluations to improve training effectiveness.
- 5 Verify that training classroom pilot courses for working leads, operators, shift managers and facility managers are complete and feedback was used along with internal evaluations to improve training effectiveness.

Acceptance Evidence:

Self assessment and audit records

Documented evidence is available that training is based upon feed back form trainees and management.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.2) [DOE 5480.20A, Revision 0, Chapter 4, Section 5]
(S/RID 4.3.5) [DOE 5480.20A, Revision 0, Chapter 4, Section 2 and 4; DOE/RL-92-36, Revision 0, part 4.3 to 4.5]
(S/RID 4.3.6) [DOE 5480.20A, Revision 0, Chapter 2, Section 6 and Chapter 4, Section 4]

OBJECTIVE NO: 5.0.O.n

Training frequency is defined for operators, fissionable material handlers, and supervisors. Operators, fissionable material handlers, and supervisors maintain their training requirements.

CRITERIA NO: 5.0.O.n.1

Training frequency is defined for operators, fissionable material handlers, and supervisors.

Actions to Accomplish:

- 1 Field verify that the training program contains continued training requirements for fissionable material handlers, operators, and supervisors.

Acceptance Evidence:

Certification suspension notices (if applicable)

Field interviews records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix to include the minimum education requirements, job related and nuclear facility experience required for each key position.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.3.5 & 9.1) (DOE 5480.19, Revision C01, Chapters 9 & 10)

OBJECTIVE NO: 5.0.O.p

Operations personnel are trained in independent verification techniques. Training is accomplished through detailed classroom instruction and on shift training.

CRITERIA NO: 5.0.O.p.1

Verify personnel are trained in independent verification techniques. Training is accomplished through detailed classroom instruction and on shift training. AP 2-008, "Lock and Tag"

Actions to Accomplish:

- 1 Observe training that is occurring in the class room and training on shift and determine that the techniques being taught are accomplishing an understanding for independent verification.
- 2 Interview operations supervision, and operators and observe field independent verification techniques being used and determine that training requirements are being met.
- 3 Operators are trained on independent verification techniques. Training records are available for review.

Acceptance Evidence:

Interview records

Field observation records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1)

OBJECTIVE NO: 5.1.M.c

Training facilities and equipment are available to support the training process.

CRITERIA NO: 5.1.M.c.1

Verify that training facilities support the requirements.

Actions to Accomplish:

- 1 Facilities and equipment used in the training process provide the operator with realistic job conditions and operational evolutions.
- 2 Training uses classroom and equipment mockups, and on the job training to support the training processes.
- 3 Verify that training facilities support the requirements.

Acceptance Evidence:

Training materials and facilities

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T172, Training

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) (DOE 5480.19, Chapter 1, ; 10 CFR 830.120)

OBJECTIVE NO: 5.1.O.a

The training organization is established. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 5.1.O.a.2

The training organization is staffed with qualified personnel.

Actions to Accomplish:

- 1 Verify the training staff understands the safety basis documentation and safety basis training knowledge is sufficient to train the staff.
- 2 Verify that the training staff is Qualified and trained.
- 3 Verify functions, responsibilities, and reporting relationships are clearly defined in administrative procedures.
- 4 Verify position descriptions are approved for training staff.

Acceptance Evidence:

Training on the safety basis was complete and the training staff clearly understand roles, responsibilities, and the importance of safety basis training.

Training records and qualifications are controlled.

Administrative procedures define training functions responsibilities and reporting relationships.

Training position descriptions are available for review.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) (DOE 5480.20A Chapter I and Chapter IV Section 2.; DOE 5480.19 Chapter V)

OBJECTIVE NO: 5.1.O.d

Instructors are technically qualified and qualifications include theory, subject matter knowledge, and experience. Procedures are developed and implemented that ensures individual instructors and on-the-job training instructors meet and maintain instructional and technical position qualification requirements.

CRITERIA NO: 5.1.O.d.1

Instructors are technically qualified and qualifications include theory, subject matter knowledge, and experience. AP 8-004, "Training Organization Training Requirements"

Actions to Accomplish:

- 1 Verify that administrative procedures define training instructors requirements for theory and subject matter knowledge.
- 2 Verify that methods are in place to validate instructors qualifications.

Acceptance Evidence:

Interview records

Administrative procedures

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) (DOE 5480.20A Chapter I and Chapter IV Section 2.; DOE 5480.19 Chapter V)

OBJECTIVE NO: 5.1.O.d

Instructors are technically qualified and qualifications include theory, subject matter knowledge, and experience. Procedures are developed and implemented that ensures individual instructors and on-the-job training instructors meet and maintain instructional and technical position qualification requirements.

CRITERIA NO: 5.1.O.d.2

Procedures are developed and implemented that ensures individual instructors and on-the-job training instructors meet and maintain instructional and technical position qualification AP 8-004, "Training Organization Training Requirements"

Actions to Accomplish:

- 1 Position descriptions are written for training instructors that included requirements for theory and subject matter knowledge.

Acceptance Evidence:

Interview records

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T172, Training

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) (DOE 5480.20A Revision 0, Chapter I, Section 5)

OBJECTIVE NO: 5.1.O.e

An instructional skills training program is implemented for maintaining, improving, and updating the knowledge skills of incumbent training staff. The program is based on instructor evaluations. The program also includes improvements needed for technical knowledge and skills, the correction of identified instructional deficiencies, and training on new operations and equipment.

CRITERIA NO: 5.1.O.e.1

An instructional skills training program is implemented for maintaining, improving, and updating the knowledge skills of incumbent training staff.

Actions to Accomplish:

- 1 Instructor evaluations are periodically performed.
- 2 Verify administrative procedure for the training program.
- 3 Verify instruction skill training program.

Acceptance Evidence:

Training program records

The instructors evaluation records

Instructional skill training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T172, Training

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) (DOE 5480.20A Revision 0, Chapter I, Section 5)

OBJECTIVE NO: 5.1.O.e

An instructional skills training program is implemented for maintaining, improving, and updating the knowledge skills of incumbent training staff. The program is based on instructor evaluations. The program also includes improvements needed for technical knowledge and skills, the correction of identified instructional deficiencies, and training on new operations and equipment.

CRITERIA NO: 5.1.O.e.2

The program is based on instructor evaluations. The program also includes improvements needed for technical knowledge and skills, the correction of identified instructional deficiencies, and training on new operations and equipment.

Actions to Accomplish:

- 1 Verify instructor evaluations periodically.
- 2 An administrative procedure that indicates requirements of the training program is approved and implemented.
- 3 An instruction skill training program is documented and implemented.

Acceptance Evidence:

Training class records

Training program records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 1.0, 4.0, 10, 11, 19)

OBJECTIVE NO: 5.8.O.a

Qualification programs are based on the latest modifications to the facility.

CRITERIA NO: 5.8.O.a.1

Qualification programs are based on the latest modifications to the facility.

Actions to Accomplish:

- 1 Review the qualification program and pay specific attention to modifications to training programs.
Document that reviews of training and training continuing program plans include provisions to update training based upon facility modification.
- 2 Verify the training program has in place methods to update qualification programs based on changes/modifications to the facilities.

Acceptance Evidence:

Interview records

Training records

Facility procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20A, Revision 0, Chapter 1 and 4);
(S/RID4.3)(5480.20A, Revision 0, Chapter 1 Section 7)

OBJECTIVE NO: 5.8.O.b

Training is complete for facility startup requirements. Training is documented and the latest revisions to procedures are incorporated and are performed by operations personnel, supervisors, and shift technical advisors.

CRITERIA NO: 5.8.O.b.1

Training is complete for facility startup requirements. Training requirements are defined. Requirements are reflected for all systems and operators.

Actions to Accomplish:

- 1 Verify that operations personnel can reflect the systems and operator training received.
- 2 Verify that operations personnel required to startup the facilities have completed, in class room training, drills and dry run training.
- 3 Verify training records are available and are complete.
- 4 Verify training is complete for the minimum defined staff to start up the facilities.

Acceptance Evidence:

Training records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T172, Training

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20A, Revision 0, Chapter 1 and 4);
(S/RID4.3)(5480.20A, Revision 0, Chapter 1 Section 7)

OBJECTIVE NO: 5.8.O.b

Training is complete for facility startup requirements. Training is documented and the latest revisions to procedures are incorporated and are performed by operations personnel, supervisors, and shift technical advisors.

CRITERIA NO: 5.8.O.b.2

Training is documented and the latest revisions to procedures are incorporated and are performed by operations personnel, supervisors, and shift technical advisors.

Actions to Accomplish:

- 1 Facilities procedures include the latest version and are incorporated into the training program.
Procedures are observed to be performed by operations, supervisors, and engineering support staff.
Observations indicate the latest procedures version is in the field and approved for use.

Acceptance Evidence:

Interview records

Field observation records

Surveillance and audit records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

Emergency Preparedness and Drill Program

2T180

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MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 13.4)[Title 49 CFR, Parts 171-180; DOE 460.1]

OBJECTIVE NO: 1.0.S.k

A Safety Analysis Report Packaging (SARP) program is implemented to assure and measure compliance with applicable State and Federal regulations, including those of DOT, OSHA, and EPA.

CRITERIA NO: 1.0.S.k.2

A SARP program is implemented to assure and measure compliance with DOT, OSHA, and EPA.

Actions to Accomplish:

- 1 Verify transportation is addressed in emergency procedures.

Acceptance Evidence:

Emergency procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7) [DOE 5480.19, Chapter VI; DOE 5480.20, Chapter I, Sect.7]; (S/RID 9.1)
[DOE

5480.23, Revision C01, Attachment 1, Section 17a; DOE 5480.19, Revision C01, Preamble,
Section 5.c. (Conduct of Ops Matrix)]

OBJECTIVE NO: 10.0.O.c

A routine operations drill program is established. Drills and exercises demonstrate response capability.

CRITERIA NO: 10.0.O.c.1

A routine operations drill program is established. Drills and exercises demonstrate response capability.

Actions to Accomplish:

- 1 Verify that drill records are current and reflect the status of the program.
- 2 Verify drill critiques are used to improve performance.
- 3 Observe routine drills to verify operator and management demonstrate proficiency.
- 4 Verify routine drills and exercises are performed at CVD, CSB and K Basins.
- 5 Verify the routine drill program for CVD, CSB, and K Basins has a lessons learned program in place.
- 6 Verify a routine operations drill program is developed for CVD, CSB, and K Basins.

Acceptance Evidence:

Drill critiques

Drill records

Observation records

Lessons learned

Drill program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Functional Area: 2T180, Emergency Preparedness and Drill Program

Criteria Met: Yes _____
No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.1) [DOE-RL-94-02, Revision 1, Chapter 1, and 2]; (S/RID 5.2) [DOE/RL-94-02, Revision 1, Chapter 11]

OBJECTIVE NO: 5.3.S.a

The emergency preparedness organization is established. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 5.3.S.a.1

The emergency preparedness organization is established and is up to date with the new operations.

Actions to Accomplish:

- 1 Interview emergency preparedness staff to assess plant knowledge and understanding of facility operations:
- 2 Verify the emergency preparedness staff meets the training and qualification requirements.
- 3 Review administrative and operations procedures to verify responsibilities and reporting relationships and are up to date and defined for planned operations.
- 4 Verify position descriptions exist for emergency preparedness personnel.

Acceptance Evidence:

Interview records

Operating procedures

Training records

Administrative procedures

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.1) [DOE-RL-94-02, Revision 1, Chapter 1, and 2]; (S/RID 5.2) [DOE/RL-94-02, Revision 1, Chapter 11]

OBJECTIVE NO: 5.3.S.a

The emergency preparedness organization is established. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 5.3.S.a.2

Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

Actions to Accomplish:

- 1 Interview the emergency preparedness staff to determine their understanding of responsibilities, functions, assignments, and reporting relationships.
- 2 Verify the emergency preparedness staff is qualified and meets the training and qualification requirements.
- 3 Review administrative and operations procedures that define the responsibilities and reporting relationships.
- 4 Verify position descriptions are written for emergency preparedness personnel and available for review.

Acceptance Evidence:

Interview records

Training records

Administrative procedures

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.19 Chapter XIII; DOE 5480.20A, Revision 0, Chapters 1 and 4]

OBJECTIVE NO: 6.0.O.a

Operations are performed safely and operators demonstrate the necessary knowledge. Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

CRITERIA NO: 6.0.O.a.6

Emergency Preparedness demonstrates that the level of knowledge is adequate to operate safely.

Actions to Accomplish:

- 1 Verify emergency preparedness personnel demonstrate a level of knowledge adequate to support operations.
- 2 Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

Acceptance Evidence:

Drill records

Training records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.3.5) [DOE 5480.20A, Chapter I and IV]; (S/RID 9.2.5) [DOE 5480.19, and 10CFR835]; (S/RID 5.10.1) [DOE/RL-94-02 Revision 1, Chapter 12]

OBJECTIVE NO: 6.0.O.c

Operators demonstrate the ability to carry out normal and emergency procedures.

CRITERIA NO: 6.0.O.c.2

Operators demonstrate the ability to carry out emergency operating procedures.

Actions to Accomplish:

- 1 Observe drills to verify operator ability to perform emergency actions.
- 2 Interview operations personnel to verify their knowledge of emergency procedures.
- 3 Verify drill program and drill records are available and completed.

Acceptance Evidence:

Interview records

Drill program

Drill records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [DOE 5500.1B, Paragraph 9 and 10w; DOE 5500.3A, Paragraph 11; DOE 5480.20A, Chapter 1 and IV]

OBJECTIVE NO: 6.5.O.a

Emergency response personnel demonstrate the ability to carry out emergency procedures.

CRITERIA NO: 6.5.O.a.2

Operations personnel demonstrate the ability to carry out emergency procedures.

Actions to Accomplish:

- 1 Interview operations personnel to verify their understanding of emergency procedures.
- 2 Observe drills to verify satisfactory performance by operations personnel.
- 3 Verify training addressed emergency procedures.

Acceptance Evidence:

Interview records

Drill records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Functional Area: 2T180, Emergency Preparedness and Drill Program

Criteria Met: Yes _____

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1 and 12.2.5) [DOE 420.1; DOE 5480.20A, Chapter I and IV]

OBJECTIVE NO: 6.6.O.b

Operations personnel demonstrate the ability to anticipate, recognize, evaluate and respond to fire hazards.

CRITERIA NO: 6.6.O.b.1

Operations personnel demonstrate the ability to anticipate, recognize, evaluate and respond to fire hazards.

Actions to Accomplish:

- 1 Observe drills that demonstrate operations personnel have the ability to recognize, evaluate, and respond to fires.

Acceptance Evidence:

Emergency response guides

Drill records.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,

Part 120]

OBJECTIVE NO: 9.0.O.a

An effective drill program is established. Drills and exercises are conducted and response capability is demonstrated. Operations support personnel demonstrate a knowledge and understanding of the requirements implemented in procedures.

CRITERIA NO: 9.0.O.a.1

An effective drill program is established. Drills and exercises are conducted and response capability is demonstrated. Operations and operations support personnel demonstrate a knowledge and understanding of the requirements implemented in procedures.

Actions to Accomplish:

- 1 Verify training is performed on emergency and normal procedures for operations and operations support.
- 2 Verify interface agreements with Dyncorp emergency management services and the civilian emergency management are defined, and that responsibilities are documented and understood.
- 3 Observe drills and exercises to verify response capability is demonstrated.
- 4 Verify the emergency response guides are updated to reflect scenarios, accidents, and hazards associated with the SNF Project.
- 5 Verify drill scenarios are developed for the CVD, CSB, K Basins, and cask transportation and shipping activities between the 100K and 200E areas.
- 6 Verify that administrative procedure AP 2-002, "K Basin Operational Drills and Exercises", is updated to include all SNF project facilities.

Acceptance Evidence:

Training records

Interface agreements

Drill/exercises observation records

Emergency response guides

AP 2-002

Drill scenarios

Results:

MSA APPRAISAL FORM

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,
Part 120; DOE/RL-94-02, Revision 1 Change 5, Chapter 11 Section 11.1, Paragraph 1]

OBJECTIVE NO: 9.0.O.b

Operations and operations support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 9.0.O.b.1

Operations personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

Actions to Accomplish:

- 1 Verify operations and operations support personnel demonstrate the ability to carry out emergency procedures under their cognizance.
- 2 Verify procedures are developed for operations and operations support personnel for emergency operations.
- 3 Verify operations and operations support personnel demonstrate the ability to carry out normal procedures under their cognizance.

Acceptance Evidence:

Emergency procedures

Drill observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)(DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.)(S/RID 5.2)
[10CFR1910,
Part 120; DOE/RL-94-02, Revision 1 Change 5, Chapter 11 Section 11.1, Paragraph 1]

OBJECTIVE NO: 9.0.O.b

Operations and operations support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 9.0.O.b.3

Drill exercises are conducted and records are maintained.

Actions to Accomplish:

- 1 Review drill records to verify compliance.
- 2 Verify drill program is established.

Acceptance Evidence:

Drill records

Drill program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,

Part 120; DOE/RL-94-02, Revision 1, Change 5, Chapter 11, Section 11.1 and 11.2]

OBJECTIVE NO: 9.0.O.c

Operations and operations support personnel demonstrate knowledge of facility systems and components during simulated emergencies.

CRITERIA NO: 9.0.O.c.1

Operations and operations support personnel demonstrate knowledge of facility systems and components during simulated emergencies. Knowledge of emergency procedures and responses are demonstrated. Process Standards and administrative procedures: AP 2-011, "Shift Routines and Operating Practices"; AP 2-009, "KB Shutdown Tagging"; AP 7-002, "K Basins Work Control"; AP 2-012, "Control of Equipment and System Status"; AP 2-018, "Log Keeping"; AP 2-019, "Shift Turnover".

Actions to Accomplish:

- 1 Interview operations and operations support personnel to determine their knowledge of facility systems and components in relation to emergency situations.
- 2 Observe operations emergency drills performed and critiques of the drills to determine that operations personnel are competent on emergency response.

Acceptance Evidence:

Lesson plans
Training records
Interview records
Critique records
Drill observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.3.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 4, Section 4.1]
(S/RID 5.5.2) [DOE/RL-94-02, Revision 1, Change 5, Chapter 6, Section 6.1]

OBJECTIVE NO: 9.0.O.f

Provisions are in place to manage the spectrum of operation emergencies including emergencies involving operational aspects and provisions for shifting from one type to another.

CRITERIA NO: 9.0.O.f.1

Reclassify rapidly escalating events and to provide appropriate protective actions and notification fo on site personnel.

Actions to Accomplish:

- 1 Verify drills are performed that include emergencies involving operational aspects and provisions for shifting from one type to another.
- 2 Verify emergency response guides are developed and updated for all CVD, CSB, and K Basins facilities.
- 3 Verify that procedures exist for upgrading the classification of escalating emergencies and the they include steps for notifying on site personnel of appropriate protective actions.

Acceptance Evidence:

Procedures

Building Warden training records

Building Emergency training records

List of qualified emergency personnel on duty.

Drill records

Emergency response guides

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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Inspected By:

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Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.3) [DOE 5500.3A, Revision C01, Section 11]

OBJECTIVE NO: 9.0.O.g

Provisions are in place to manage the aspects of severe accidents that involve unusual initiating events, multiple failures, or operator errors.

CRITERIA NO: 9.0.O.g.1

Provisions are in place to manage the aspects of severe accidents that involve unusual initiating events, multiple failures, or operator errors.

Actions to Accomplish:

- 1 Verify drills are performed that include emergencies involving operational aspects and provisions for shifting from one type to another.
- 2 Verify that emergency response guides have been developed for anticipated emergencies.

Acceptance Evidence:

Hazard analysis

Emergency response guides

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [10CFR1910, Part 120] (DOE/RL, Revision 1, Change 5, Chapter 11, Section 11)

OBJECTIVE NO: 9.0.O.h

Initial emergency emergency response training includes a mix of classroom instruction, table top exercises, or walk-throughs and drills.

CRITERIA NO: 9.0.O.h.1

Initial emergency emergency response training includes a mix of classroom instruction, table top exercises, or walk-through and drills. Training includes; elements of the emergency response plan and standard operating procedures, that have been established for the jobs, the personnel protective equipment to be worn, and procedures for handling emergencies.

Actions to Accomplish:

- 1 Verify training includes topics related to emergency response plan, standard operating procedures, personnel protective equipment, and procedures for handling emergencies.
- 2 Review training plan to verify training consists of class room and hands on training sessions.
- 3 Review internal training records of response personnel to determine their participation and completion of training.

Acceptance Evidence:

Drill records and rosters

Lesson plans

Training records

Training plan

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [10CFR1910, Part 120]

OBJECTIVE NO: 9.0.O.i

A program is established and implemented for the planning, scheduling, preparation, conduct, control, critique, and documentation of drills and exercises associated with emergency response.

CRITERIA NO: 9.0.O.i.1

A program is established and implemented for the planning, scheduling, preparation, conduct, control, critique, and documentation of drills and exercises associated with emergency response.

Actions to Accomplish:

- 1 Verify emergency response procedures are issued for SNF Project facilities and work activities within 100K and 200E areas.
- 2 Verify emergency plans for the SNF Project are updated and include CVD, CSB, and Cask Transportation.
- 3 Verify a program is established that implements planning, scheduling, preparation, conduct, control, critique, and documentation of drills and exercises.

Acceptance Evidence:

Emergency response guides

Emergency plans

Drill program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [29CFR1910, Part 120; DOE/RL-94-02, Revision 1, Change 5, Chapter 11, Section 11.1, paragraph 1]; (S/RID 5.10.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 12, Sections 12.0 and 12.1]

OBJECTIVE NO: 9.0.O.j

Emergency drills test response to simulated emergencies for medical emergencies, radiological and hazardous materials monitoring (spills, airborne releases, sampling, etc.), fires, loss of vital equipment, site/facility evacuation, accountability, and security emergencies.

CRITERIA NO: 9.0.O.j.1

Drill program addresses medical emergencies, radiological and hazardous materials monitoring (spills, airborne releases, sampling, etc.), fires, loss of vital equipment, site/facility evacuation, and security emergencies.

Actions to Accomplish:

- 1 Verify drills are performed to test response to security emergencies.
- 2 Verify drills are performed to test response to site/facility evacuation.
- 3 Verify drills are performed to test response to loss of vital equipment.
- 4 Verify drills are performed to test response to fires.
- 5 Verify drills are performed to test response to radiological and hazardous materials monitoring (spills, airborne releases, sampling, etc.) emergencies.
- 6 Verify drills are performed to test response to medical emergencies.

Acceptance Evidence:

Drill program records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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Date:

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Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [DOE/RL, Revision 1, Change 5, Chapter 11, Sections 11.2 & 11.4]

OBJECTIVE NO: 9.0.O.k

A system is established for resolution of deficiencies, evaluation, analysis, and follow up to ensure weaknesses and deficiencies are corrected in the emergency preparedness program.

CRITERIA NO: 9.0.O.k.1

The drill program addresses resolution of deficiencies, evaluation, analysis, and follow up to ensure weaknesses and deficiencies are corrected in the emergency preparedness program.

Actions to Accomplish:

- 1 Verify AP 1-009, "Emergency Drill Procedure", contains a lessons learned system program for the SNF facilities that evaluates, analyzes, and provides follow up to ensure weaknesses and deficiencies are corrected.

Acceptance Evidence:

AP 1-009

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.3.2) [29CFR1910, part 38(a)(4); WAC 173-303, Section 350(2), & (3)]

OBJECTIVE NO: 9.0.O.1

Emergency plans, emergency response guides are available for use by emergency response personnel.

CRITERIA NO: 9.0.O.1.1

Emergency plans & emergency response guides are developed and verified and available for use by emergency response personnel.

Actions to Accomplish:

- 1 Verify emergency response guides and plans are developed, approved, and implemented for the fire department, site emergency system, and SNF to assist personnel in responding to anticipated emergencies.

Acceptance Evidence:

Emergency response guide for K Basins, CVD, and CSB

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Criteria Met: Yes _____

Functional Area: 2T180, Emergency Preparedness and Drill Program

No _____

Date: 1/26/98

S/RID Reference: (S/RID 5.2)[29CFR1910, part 120(p)(8)(iii)(C);DOE/RL-94-02, Revision 1, Change 5, Chapter 11](S/RID 5.3.3) [DOE/RL-94-02, Revision 1, Change 5, Chapter 13]

OBJECTIVE NO: 9.0.Q.e

An annual review of the emergency program and its documentation is conducted and documented.

CRITERIA NO: 9.0.Q.e.1

An independent annual review of the emergency program and its documentation is conducted and documented.

Actions to Accomplish:

- 1 Verify that emergency response guides and emergency action plans are reviewed annually and revised as necessary.
- 2 Verify an annual review is performed and documented on the emergency preparedness training program for each employee.

Acceptance Evidence:

Annual review report for employee emergency response training

Annual review records for emergency procedures (Emergency response guides and action plans)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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Engineering & Construction Projects

2T300

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Criteria Met: Yes _____

Functional Area: 2T300, Engineering & Construction Projects

No _____

Date: 1/26/98

S/RID Reference: (S/RID 3.1.4)[DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 1.1.S.a

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current. The documentation defines the safety functions and is available to the operators. Safety documentation (i.e., SAR, and other safety basis documents) is assessed.

CRITERIA NO: 1.1.S.a.1

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current.

Actions to Accomplish:

- 1 Verify that engineering has implemented the SNF configuration management program and that it is in place at the CSB, CVD, and K Basins.
- 2 Verify that engineering implemented the SSC's using SDDs for CSB, CVD, K Basins, and Cask Transportation systems. Verify that the SSCs are complete and define safety functions.
- 3 Verify that engineering maintains the list of SSCs. Verify that engineering believes that SSCs are important to safe operation of the facilities.

Acceptance Evidence:

Interview records

Configuration procedures

SSC review documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T300, Engineering & Construction Projects

Date: 1/26/98

S/RID Reference: (S/RID 12.2.5) [DOE 5480.7A, Revision 0, Section 8.7] (S/RID 12.4.6) [DOE 5480.7A, Revision 0, Section 9.a.(3) and Section 6.2]

OBJECTIVE NO: 15.0.S.b

Fire protection programs are established to ensure plant personnel can prevent and respond to fire hazards. A current Fire Hazards Analysis (FHA) is available and implemented.

CRITERIA NO: 15.0.S.b.2

A current FHA is available and implemented.

Actions to Accomplish:

- 1 The FHA is approved and implemented for K Basins, CVD, and CSB.

Acceptance Evidence:

FHA implementation records

FHA

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

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Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T300, Engineering & Construction Projects

No _____

Date: 1/26/98

S/RID Reference:

OBJECTIVE NO: 17.0.p.1

Project turn over for the CVD is complete.

CRITERIA NO: 17.0.p.1.1

Project turn over for the CVD is complete.

Actions to Accomplish:

1 CD-4 is complete.

Acceptance Evidence:

CD-4 turn over packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Functional Area: 2T300, Engineering & Construction Projects

Criteria Met: Yes _____

Date: 1/26/98

No _____

S/RID Reference:

OBJECTIVE NO: 17.0.p.2

Project turn over for the CSB is complete.

CRITERIA NO: 17.0.p.2.1

Project turn over for the CSB is complete.

Actions to Accomplish:

1 CD-4 is complete.

Acceptance Evidence:

CD-4 turn over packages

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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Safety Assurance

2T600

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Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1) [DOE 5480.23, Revision C01, Section 8.b.(1)]

OBJECTIVE NO: 1.0.S.a

The SNF project Safety Analysis Reports (SAR) are prepared and approved by the DOE. K Basins and CSB SARs address the following topics: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provisions of decontamination and decommissioning, and applicable facility design codes and standards.

CRITERIA NO: 1.0.S.a.1

The K Basin and CSB SARs address the following topics: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and standards.

Actions to Accomplish:

- 1 Confirm the CSB final SAR addresses the following: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and standards.
- 2 Confirm that the K Basin/CVD Final SAR addresses the following: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and

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standards.

- 3 Review the K Basin and CSB SARs and the Cask Transportation SARP for proper inclusion of the DOE requirements set forth in DOE 5480.23 Paragraph 8 and DOE 5480.3.

Acceptance Evidence:

MCO Topical Report

Copies of Tables of Contents of the approved documents

Copies of the SER cover page for the CSB and the CVD/KB final SARs and released EDT for the approved SARs and Cask Transportation SARP

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.3)[DOE 5480.19, Revision C01, Chapter VI, Sect C.6; 10 CFR 830, part 120(c)(1)(iii)] (S/RID 2.4) [10 CFR 72, Part 170; 10 CFR 830, part 120(c)(1)(iii)]

OBJECTIVE NO: 12.0.M.a

A system for identifying, reviewing, cataloging, and resolving deficiencies is implemented.

CRITERIA NO: 12.0.M.a.1

A system for identifying, reviewing, cataloging, and resolving deficiencies is implemented. The program consists of elements of issues management, tracking, as well as management of overdue items and responsibility for completion.

Actions to Accomplish:

- 1 Review the S/RID implementation database to assure that all identified deficiencies have been captured in the appropriate tracking system (PIP or DTS).
- 2 Interview management staff in field to determine if they have confidence in the PIP and DTS system to capture issues and close items. Confirm that staff are familiar with the closure process.
- 3 Confirm that items that affect ES&H implementation are correctly transferred from the PIP process and tracked via the DTS system, if correction takes more than one week.
- 4 Confirm by interviews and other methods (e.g., FDH employee concerns records) that there is no evidence that staff have any concerns of reprisal if they use the existing process for identification of corrective actions.
- 5 Review the implementation of Administrative Procedure AP 1-003 and ensure that it is being implemented correctly.
- 6 Confirm that Safety Assurance staff have performed an independent check of the quality and adequacy of the closure of safety related deficiencies (safety defined as those affecting environmental, fire, nuclear, and occupational safety).
- 7 Verify that management receives regular status of its open PIP and DTS items. Confirm these are routinely tracked and managed to avoid any delinquencies. Verify that schedules to correct these deficiencies are graded in approach, aggressive, and appropriate for the specific action. Assess evidence that these elements are in place.
- 8 Confirm that the committee that reviews the PIPs for ranking does this to a prescribed set of rules and are properly trained. A review of their assessments indicate that there is a consistent application of the ranking criteria.
- 9 Verify implementation of the Problem Investigation Process (AP 1-003) to confirm it results in adequate review, cataloging, and resolution of deficiencies.

Acceptance Evidence:

S/RID deficiency listing

MSA APPRAISAL FORM

Listing (titles) of any employee concerns

Employee interview forms

PIP closure status charts

DTS delinquency charts

Listing of DTS open items assigned to SNF Project

PIP logs, PIP forms

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.3

Facility support management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Interview Safety Assurance staff to determine if their management are routinely in their work areas and monitoring their activities.
- 2 Interview operations organization supervision to determine if they recognize Safety Assurance management in the field.
- 3 Verify that Safety Assurance management routinely perform MOPs, management surveillance's and management walk downs of operating facilities.
- 4 Conduct periodic inspections of structures, systems, components, and equipment. Verify that inspections are complete to find out whether deterioration is taking place and to identify and address technical obsolescence that threatens performance, safety or facility preservation.

Acceptance Evidence:

Interviews records

Facility tour documents

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.8

Facility support safety assurance management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Review MOPs, management assessments and staff field notes to determine if compliance items are being formally reviewed and documented.
- 2 Review safety assurance managers' records for field surveillances by themselves and their technical staff.
- 3 Perform field surveillances to confirm that safety assurance staff are routinely out monitoring facility compliance.
- 4 Review Safety Assurance policy and verify that maintenance employees understand his/her accountability for performance.
- 5 Verify Safety Assurance personnel clearly understand their authority, responsibility, accountability and interfaces with other groups.
- 6 Verify that Safety Assurance management and supervisory personnel conduct facility tours to observe work activities specific to their area of responsibility.

Acceptance Evidence:

MOPs and management assessments

Interview records

Record reviews

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T600, Safety Assurance

No _____

Date: 1/26/98

S/RID Reference: (S/RID 2.11) [10CFR72, Part 160, 176; DOE/RW-0333P, Revision 5, Section 2.2.6, 18.2.12]

OBJECTIVE NO: 13.0.M.a

S/RIDs are implemented and a record review of S/RIDs is observed to determine performance is satisfactory.

CRITERIA NO: 13.0.M.a.1

Performance is satisfactory in the implementation status of S/RIDs.

Actions to Accomplish:

- 1 Review the training and qualification records of the S/RID chapter facility experts and responsible functional area managers to assure that they have the appropriate training, credentials and facility specific understanding, as well as understanding of the S/RID process to support their roles and responsibilities in S/RID development and maintenance.
- 2 Confirm that any changes to the S/RID documents, that have been made by the contractor, as allowed by the DOE field office procedures, are documented on ECNs, with adequate justification to support the statement that the environmental safety and health posture has not been affected.
- 3 Verify that the two SNF Project S/RIDs are being properly maintained under configuration control and that the database is consistent with what was approved by the Manager, RL.
- 4 Review at least 10% of the S/RID Phase 1 and 2 assessment records to confirm that they meet the requirements specified in the DESH Administrative Procedures and Fluor Daniel Hanford Procedures for S/RID assessments.
- 5 Review the S/RID database, as well as the PIP and DTS printouts of open items to confirm that all previously identified S/RID deficiencies have been corrected.
- 6 Field verify a subset of the S/RID requirements, independent of line management to confirm that the Phase 2 assessments are complete and adequate.
- 7 Verify that all S/RID Phase I records review and Phase II verification of program implementation is complete for both the CSB Revision 0 S/RID and the CVD/K Basin Revision 1 S/RID.

Acceptance Evidence:

Field interview records

Assessment reports

Schedules

ECNs for S/RID documents

Training records

MSA APPRAISAL FORM

S/RID Phase I records and Phase II assessment forms for both S/RIDs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.3.1) [10CFR830, Part 120(c)(1)(iii)]

OBJECTIVE NO: 13.0.M.b

S/RID noncompliance issues are addressed and fixed.

CRITERIA NO: 13.0.M.b.1

S/RID noncompliance issues are appropriately identified and documented per the APs and HNF-PRO procedures. They are tracked to closure and the closure properly verified.

Actions to Accomplish:

- 1 Perform field verification on a random selection of 10% of the closed PIPs/DTS files on S/RID deficiencies to confirm that the corrective actions have been correctly and adequately implemented in the field.
- 2 Confirm performance indicators are being used to status management on S/RID assessments and deficiencies.
- 3 Review both the S/RID database (RIMS2) and the PIP, HATS and DTS open items listing to confirm that any deficiency identified during a Phase 1 or 2 S/RID assessment has been appropriately closed out.

Acceptance Evidence:

Assessment reports

Listing of PIP or DTS files reviewed

Field assessment notes

S/RID database printout

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.3.1) [10CFR830, Part 120(c)(1)(iii)]

OBJECTIVE NO: 13.0.M.c

The Compliance Schedule Assessment (CSA) for S/RID compliance includes a technical basis and schedule for attaining compliance.

CRITERIA NO: 13.0.M.c.1

The CSA for any S/RID item that cannot be implemented within 120 days of receipt of the S/RID approval or S/RID ECN approval, must be transmitted to RL with a technical basis of what the facility is doing to assure ES&H compliance during the implementation and schedule for attaining compliance. (See HNF-PRO-265)

Actions to Accomplish:

- 1 Confirm that any CSA that was submitted to RL, was subsequently tracked to closure within the time period specified.
- 2 Review S/RID Phase 1 and 2 reports for deficiencies to confirm if any fell within the 120 day window.
- 3 Confirm that if any S/RID item (either S/RID document) could not be implemented within 120 days of approval of the S/RID ECN then a schedule with adequate technical justification was provided to RL, as required by HNF-PRO-265.

Acceptance Evidence:

Database printout/evaluation report

Schedules showing S/RID compliance closure

CSAs transmitted to RL

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.3.1) [10CFR830, Part 120(c)(1)(iii)]

OBJECTIVE NO: 13.0.M.d

Compensatory measures specified in the Compliance Schedule Assessments (CSAs) for S/RID requirements are implemented.

CRITERIA NO: 13.0.M.d.1

Compensatory measures specified in the CSAs are implemented. HNF-PRO-265 requires CSAs to be developed and submitted to RL for any S/RID requirement that cannot be implemented within 120 days of approval. The letter must include compensatory measures implemented to maintain ES&H compliance during the implementation. These compensatory measures become interim requirements.

Actions to Accomplish:

- 1 Confirm that procedures and controls are in place such that compensatory measures specified in CSAs cannot be removed until the S/RID implementation deficiency is corrected and verified.
- 2 Review all CSAs sent to RL and field verify that the compensatory measurements have been implemented in the field.

Acceptance Evidence:

Field assessment reports

Procedures or control documents

Schedules

CSA letters

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision, C01, Chapter I, Section C.1 and Chapter XVI, Sect. C.7]

OBJECTIVE NO: 3.2.O.b

Operations, and operations support surveillance procedures are consistent with the approved safety basis. Environmental permits and other regulatory requirements are referenced or found in the approved operating procedures.

CRITERIA NO: 3.2.O.b.1

Operations, and operations support surveillance procedures are consistent with the approved safety basis. Environmental permits and other regulatory requirements are referenced or found in the approved operating procedures.

Actions to Accomplish:

- 1 Review 100% of the compliance procedures (CPs) for adequacy in implementing the authorization basis requirements.
- 2 Perform random checks on facility specific procedures (operating, maintenance and emergency procedures) for the CSB, CVD, and K Basins.
- 3 Verify that environmental permits and other regulatory requirements are referenced or found in the approved operating procedures. Perform a cross check between the environment permits and procedures matrix to verify consistency.
- 4 Confirm that operations, compliance and emergency procedures are implemented and are consistent with the approved SARs, TSRs and CSERs and contain references to the applicable safety basis. Perform a cross check between the SAR implementation and procedures matrix to verify consistency.
- 5 Review the SNF Project Technical Requirements System (STRS) database information for SAR/TSR and permits to assure that the Safety Assurance staff have maintained the data and input it correctly and completely, so as to provide operations a tool for their use that has adequate assurances of quality and correctness.
- 6 Assure that the Nuclear Safety and the Environmental Safety and Permitting groups have maintained the safety and environmental permitting information in the STRS database in a correct and complete manner.
- 7 Review the implementation process of the approved CSERs to assure that the latest versions, correct rigor and thoroughness have been applied to assure complete implementation.
- 8 Audit the S/RID implementation records to assure that the process was both rigorous and thorough to assure that all ES&H requirements have been correctly and adequately implemented.
- 9 Confirm that all environmental permit requirements have been correctly implemented into the process standards. Confirm that the process for all permit requirement implementation, including permit condition resolution agreement, to assure that the latest approved versions have been utilized was thorough and complete.

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- 10 Review the process for, and a percentage of products to assure that the operating procedures, compliance procedures, maintenance procedures, and emergency procedures correctly implement the approved SAR and TSR requirements for the CSB, CVD and KW Basin activities.

Acceptance Evidence:

List of authorization documents used to check against

Assessment reports

List of permits, procedures, and plans reviewed

STRS Database printout of Permit and TSR implementation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter XVI]

OBJECTIVE NO: 3.2.Q.a

Operations, maintenance, surveillance, emergency, and compliance procedures meet or exceed the requirements provided in the SNF S/RIDs.

CRITERIA NO: 3.2.Q.a.1

Operations, maintenance, surveillance, emergency and compliance procedures meet or exceed the requirements provided in the SNF S/RIDs. Administrative procedures: AP 9-001, "Technical Procedure Administration"; AP 9-002, "Technical Procedure Development"; AP 9-003, "Technical Procedure Change Process".

Actions to Accomplish:

- 1 Review S/RID Phase 1 assessment documentation to confirm that the Phase 1 S/RID assessments were completed to the necessary requirements and that all deficiencies have been corrected.
- 2 Perform field surveillance on technical procedure compliance.

Acceptance Evidence:

Listing of records reviewed

S/RID Phase 1 Assessment records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T600, Safety Assurance

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [10 CFR 830, Part 120(c)(1)(ii); DOE 5480.20A, Revision 0, Chapter 1, Section

7b; Preamble, Section 6.b, 8.a, and 8.b; WAC 173-0303, Section 330(1), (1)(a), 1(b), 1(c), 1(d) and (2)]

OBJECTIVE NO: 5.0.O.c

Goals, objectives, and plans are in place that describes the implementation of training and qualification programs. The training and qualification program status is current with the TIM.

CRITERIA NO: 5.0.O.c.2

Goals, objectives, and plans are in place that describe qualification programs. DESH-1, 8.0, Attachment A, "Training Implementation Matrix"; AP 8-004, "Training Organization Training Requirements"; AP 8-005, "KB Operations Personnel Training Requirements"; AP 8-006, "KB Maintenance & Work Control Training Requirements"; AP 8-007, "Technical Support Staff Training Requirements".

Actions to Accomplish:

- 1 Conduct oral interviews with all technical staff within Safety Assurance to assess their understanding of the authorization documents, and procedures and policies related to environmental safety and health compliance.
- 2 Confirm that there is a formal qualification and training program for the criticality safety representatives assigned to each basin, and that the qualification includes written or oral testing.
- 3 Confirm that the Safety Assurance Director or his/her delegate has formally defined training and qualification expectations for all staff that perform environmental or safety reviews for the project.
- 4 Verify that Safety Assurance technical staff have defined technical credentials, training requirements, certifications, and requalification requirements.
- 5 Verify that qualification criterion is established.

Acceptance Evidence:

Safety Assurance staff oral interview records

Records (tests, review board signatures, etc.) for qualifications for Criticality Safety Representative

Letter defining Safety Assurance training and certification requirements and knowledge expectations

Safety Assurance Organization TMX and Training records

Trainee's previous education records, experience, and skill level

Training implementation matrix

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [29CFR1910, Part 120(e)(5), (e)(6) and (q)(7); DOE 5480.20A, Revision 0, Chapter I, Section 3, Chapter IV, Section 2.a, 2.f, and 3]

OBJECTIVE NO: 5.1.M.b

Line management is responsible for the implementation of the training and qualification program(s). This objective is applicable to Facility/System Startup, Facility Operations, Facility Maintenance, Operational Readiness, Training and Procedures, Facility Projects and Radiation Protection.

CRITERIA NO: 5.1.M.b.3

Line management is responsible for the implementation of the training and qualification program(s). This criteria is only applicable only for the Safety Assurance (SA).

Actions to Accomplish:

- 1 Confirm via oral interviews, as well as through training records, that all SA personnel performing reviews have the understanding regarding their environmental or safety signature authority and that the individuals believe they have sufficient training to properly perform their reviews.
- 2 Confirm there is a formal written knowledge expectation defined for each category of technical staff and each manager level within SA, and that the written expectation has been provided both to the training organization and to the direct manager and employee.
- 3 Field verify that each SA management function meets the requirements of "Training Records" (AP 8-008-02), and verify that the SA management taking the ownership to implement training and qualification program(s) for their staff.
- 4 Field verify that SA managers and supervisors routinely observe their staff's work activities and correct deficiencies as they relate to training.

Acceptance Evidence:

Training plans

TMX and training records

Interview records

SNF Policies and procedures used to define training requirements

Letter from SA Management defining training requirements for each job category

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 9.1) [DOE 5480.19, Revision C01, Preamble, Section 5c and Chapter 2, Section C.3,
and 4; DOE 5480.23, Revision C, Attachment 1, Section 17a]

OBJECTIVE NO: 7.0.S.a

Professional conduct, good practices, and safety and hygiene requirements, and expectations are defined and clearly communicated to employees.

CRITERIA NO: 7.0.S.a.1

Professional conduct, good practices, and safety and hygiene requirements, and expectations are defined and clearly communicated to employees. Administrative procedures AP 2-011, "Shift Routines and Operating Practices" and AP-2-013, "Communications".

Actions to Accomplish:

- 1 Perform field observations to confirm that employees adhere to the requirements of wearing proper hearing, eye, head, foot, and respiratory protection.
- 2 Conduct interviews with employees to determine if they know what the safety policy is and understand it.
- 3 Verify that safety expectations are communicated in prejob meetings, work place meetings and management meetings.
- 4 Confirm that policies and procedures are written and in place that define professional conduct, good practices, and safety and hygiene requirements that are expected. Verify that safety expectations are defined and clearly communicated to employees.

Acceptance Evidence:

MOP or other field surveillance records

Interview records

Policies and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.3

The defined relationships ensure line management responsibility for and control of safety. DESH 1.

Actions to Accomplish:

- 1 Interview staff in the SNF Project line and support organizations to confirm that the management structure and reporting relationships relative to control of safety in the facilities are clearly understood.
- 2 Confirm via contract reviews and interviews that the relationships with other contractors and within the SNF Project ensure that line management has control of safety.
- 3 Confirm that the published matrix agreements for the following subcontractors are in place and define the roles, responsibilities, and reporting relationships relative to control of safety in the facilities:

Fluor Daniel Hanford,
Dyncorp,
Lockheed Martin,
Waste Management Federal Services, and
B&W Protec, Inc.

- 4 Confirm via interviews and reviews of published policies, charters and procedures that there is a clear management structure which establishes line management as ultimately responsible for safety in the operating nuclear facilities. Confirm that field understanding matches written responsibilities.

Acceptance Evidence:

Interview records

Copies of the pages from published matrix agreements with other contractors, which define control of safety within the operating facilities

Copies of the charters, charts, policies, directives and procedures reviewed

Results:

Record Review:

MSA APPRAISAL FORM

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T600, Safety Assurance

Date: 1/26/98

S/RID Reference: (S/RID 5.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 1, Section 1.3.1, Section 2.0, & Section 2.2.1.2]

OBJECTIVE NO: 9.0.M.d

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

CRITERIA NO: 9.0.M.d.1

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

Actions to Accomplish:

- 1 Review recent off normal or unusual occurrence events and their record files to determine if operating supervision made the correct notifications using the proper protocol.
- 2 Verify that drills are routinely held and clearly demonstrate that all levels of management are knowledgeable regarding their responsibilities and authorities during operational emergencies and demonstrate the proper authority and responsibility.
- 3 Confirm that on call lists are clearly posted or available for all shift management so they know who to contact. Confirm that these lists are maintained current with respect to people and work and home phone numbers/pagers/cellular phone numbers.
- 4 Confirm that management at the SNF Project operations organization, from top levels through first line supervision, have had some level of training regarding their roles and responsibilities during operational emergencies. This will include, but not be limited to, notification requirements (who notifies, when and to whom) and authority to implement immediate actions.
- 5 Verify that policies, directives, procedures, and charters clearly define the responsibility and assign authority for management of operational emergencies.

Acceptance Evidence:

List of off normal and UO event reports reviewed

On call lists

Drill schedule and drill records for last 6 months

SNF policies, directives and procedures

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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**Environmental Safety & Permitting
2T610**

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T610, Environmental Safety & Permitting

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE 5400.1, Chapter III, Paragraph 2]

OBJECTIVE NO: 15.8.S.a

The environmental protection organization is established and functioning to support the operations organization. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. They are staffed with qualified personnel.

CRITERIA NO: 15.8.S.a.1

The Environmental Safety and Permitting group is established and functioning to support the operations organization.

Actions to Accomplish:

- 1 Verify via training records and oral interviews that the Environmental Safety and Permitting staff have a basic level of knowledge related to facility operations that include: Authorization basis documentation (SARs, TSRs, Permits, S/RIDs); status change authorization and reporting process; where to find approved equipment and system alignment; familiarity with equipment lock and tag requirements; SNF procedure system; work authorization and documentation procedures; temporary modification control procedures; environmental reporting requirements.
- 2 Confirm via field interviews that Environmental Safety and Permitting staff demonstrate a working knowledge of SNF facilities related to safety and environmental compliance.
- 3 Verify that training requirements for the SNF Environmental Safety and Permitting organization is formally defined, tracked and current for all existing management and technical staff positions.
- 4 Confirm that there are defined position descriptions, which are approved and issued, for each environmental engineer and manager position that is required.
- 5 Verify that there is an established environmental protection organization whose main goal is to support the SNF Project operations organization and that this organization is adequately staffed and funded.

Acceptance Evidence:

Training Plans for ES&P or letter to Training defining training requirements.

Staffing plan

Organization Chart, charter and budget profile

Oral interview records

TMX and Training records

Approved position descriptions

Results:

MSA APPRAISAL FORM

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T610, Environmental Safety & Permitting

Date: 1/26/98

S/RID Reference: (S/RID 20.2) [PL 100-605, Revision 0, Section 2(a) and (b); WAC 173-216, Section 110; WAC 173-218, Section 040; 40CFR122, Parts 1, 21, and 41; WA 000374-3, Revision 0;

WA

R-00-000F, Revision 0, Part IV; WAC246-272, Section 08001]

OBJECTIVE NO: 16.0.S.c

The environmental permits required for operations are in place. The permit operational requirements and other regulatory requirements are implemented in procedures.

CRITERIA NO: 16.0.S.c.1

The environmental permits required for operations are in place. The permit operational requirements and other regulatory requirements are implemented in procedures.

Actions to Accomplish:

- 1 Verify that the STRS permitting data is both current and complete.
- 2 Verify that necessary training on environmental requirements is completed.
- 3 Confirm that all environmental requirements are identified in the operations and maintenance procedures.
- 4 Verify that all required environmental permits for CVD, CSB and K Basins are in place.

Acceptance Evidence:

Listing of environmental requirements checked

Listing of environmental permits reviewed

STRS database printout

Training records

Matrix showing where environmental requirements are implemented (by procedure)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T610, Environmental Safety & Permitting

Date: 1/26/98

S/RID Reference: (S/RID 20.2.1) [DOE 5400.1, Paragraph 9.f.7; 5820.2A, Paragraph 8.j]

OBJECTIVE NO: 16.0.S.d

An effective environmental protection program is implemented that will ensure compliance with the permits associated with the Clean Air Act and Clean Water Act. Procedures are developed to ensure that hazardous and radioactive materials and wastes are handled in accordance with legislative requirements and DOE orders.

CRITERIA NO: 16.0.S.d.1

An effective environmental protection management program is implemented that will ensure compliance with the permits associated with the Clean Air Act and Clean Water Act.

Actions to Accomplish:

- 1 Conduct field interviews and observe procedure usage to verify environmental issues are addressed and implemented.
- 2 Verify that all CAA and CWA permits applicable to the SNF Project are clearly identified, implemented by procedures, controlled, distributed and reflected in the STRS database.
- 3 Verify that there is a plan or structure in place to assure that CAA or CWA permits are complied with.
- 4 Verify that there is an approved FEMP in place.

Acceptance Evidence:

Observation records

Listing of CAA and CWA permits reviewed for implementation

CAA and CWA Permit implementation matrix

Issued FEMP

MOP records on environmental procedure compliance

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T610, Environmental Safety & Permitting

No _____

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm CSAs are tracked and any open items have a planned completion date.
- 2 Confirm during interviews that personnel understand the implementation requirements.
- 3 Confirm that procedures are implemented.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T610, Environmental Safety & Permitting

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T610, Environmental Safety & Permitting

Date: 1/26/98

S/RID Reference: (S/RID 4.1.1) [DOE5480.20A, Revision 0, Chapter I];(S/RID 4.3.8) [29 CFR 1910, Part 120]

OBJECTIVE NO: 6.10.S.a

Environmental management personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 6.10.S.a.1

Environmental Safety and Permitting staff demonstrate the ability to carry out normal and emergency procedures under their cognizance.

Actions to Accomplish:

- 1 Confirm drills are performed that demonstrate that environmental support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.
- 2 Confirm that the manager, Environmental Safety and Permitting defines the specific drills required for confirming ability to respond to environmental emergencies or off normal events to the Emergency Preparedness Manager and assures that these drills are scheduled.

Acceptance Evidence:

Drill requirements letter defining environmental drills

Drill and drill critique records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Occupational Safety

2T630

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 19.1.1)[DOE 5480.10, Paragraph 9; DOE 5483.1A, Chapter 1]

OBJECTIVE NO: 15.1.S.a

The occupational safety, health, and industrial hygiene organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. They are staffed with qualified personnel.

CRITERIA NO: 15.1.S.a.1

The occupational safety, health, and industrial hygiene organization is established and functioning.

Actions to Accomplish:

- 1 Verify that industrial safety personnel have the following level of knowledge related to facility operations: status change authorization and reporting; equipment lock and tag; equipment deficiency and identification documentation; and work authorization and documentation.
- 2 Verify industrial safety has the ability to perform and support operations drills that simulate normal, abnormal, and emergency facility conditions.
- 3 Verify sufficient resources are available and dedicated to occupational safety and health to effectively operate. Verify Industrial Safety staff, equipment and reference material are available to administer the program.
- 4 Verify a formal safety and health program has been developed that includes procedures and policies consistent with DOE orders and OSHA regulations.
- 5 Verify industrial safety policies and procedures are in place and being followed.
- 6 Verify position descriptions are written and approved for industrial safety and hygiene personnel.

Acceptance Evidence:

Facility walk downs and records

MSDS program and records

Staffing plan

Interview records

Policies and procedures

Position descriptions

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 19.1.1)[DOE 5480.10, Paragraph 9; DOE 5483.1A, Chapter 1]

OBJECTIVE NO: 15.1.S.a

The occupational safety, health, and industrial hygiene organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. They are staffed with qualified personnel.

CRITERIA NO: 15.1.S.a.2

Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

Actions to Accomplish:

- 1 Verify staff understand roles.
- 2 Verify staff functions according to the procedures.
- 3 Confirm that industrial safety personnel are able to demonstrate knowledge of industrial safety policies and procedures and perform and support operations drills that simulate normal, abnormal, and emergency facility conditions that require industrial safety involvement.
- 4 Verify that position descriptions are written and approved for industrial safety and hygiene personnel.
- 5 Verify that responsibilities for DESH agree with FDH requirements.
- 6 Verify that reporting relationships with FDH, and other contractors is established.

Acceptance Evidence:

Policies and procedures

Interview records

Reporting relationship definitions

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 19.1.2) [DOE 5483.1A, Chapter I; DOE 5480.10, Paragraph 9.a and b]

OBJECTIVE NO: 15.1.S.b

Occupational safety, health, and industrial hygiene programs are implemented and consistent with S/RIDs.

CRITERIA NO: 15.1.S.b.1

Occupational safety, health, and industrial hygiene programs are implemented and consistent with S/RIDs.

Actions to Accomplish:

1 Verify Occupation Health and Safety S/RIDs Phase I and Phase II are complete.

Acceptance Evidence:

S/RIDs Phase I and II documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 19.3.2)[DOE 5480.19, Chapter II, DOE 5480.10, Paragraph 9.b.(3), and 9.e]

OBJECTIVE NO: 15.1.S.d

Industrial safety and hygiene equipment is identified, reviewed, selected, maintained and where applicable, tested to ensure adequate personnel protection.

CRITERIA NO: 15.1.S.d.1

Industrial safety and hygiene equipment is identified, reviewed and selected to ensure adequate personnel protection.

Actions to Accomplish:

- 1 Verify that Industrial Safety identified, reviewed and selected the appropriate equipment for adequate personnel protection.
- 2 Verify records and observe that industrial safety and hygiene equipment is tested and available for use.

Acceptance Evidence:

Equipment required for industrial safety and hygiene

Safety storage of industrial safety equipment

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter

XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm CSAs are tracked and any open items have a planned completion date.
- 2 Confirm during interviews that personnel understand the implementation requirements.
- 3 Confirm that procedures are implemented.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.19 Chapter XIII; DOE 5480.20A, Revision 0, Chapters 1 and 4]

OBJECTIVE NO: 6.0.O.a

Operations are performed safely and operators demonstrate the necessary knowledge. Observe Radiation Protection, Occupational Safety & Health, Fire Protection, Emergency Preparedness, and engineering personnel that the level of knowledge is adequate to operate safely.

CRITERIA NO: 6.0.O.a.4

Occupational Safety & Health demonstrate that the level of knowledge is adequate to operate safely.

Actions to Accomplish:

- 1 Verify Occupational Safety and Health demonstrate a level of knowledge to assure worker, public, and environmental safety.

Acceptance Evidence:

Dry run observation records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 4.6.15 and 19.7.6) [DOE 5483.1A, Chapter 1, Paragraph 5; DOE 5480.10, Para. 9.b.(2) and (3)]

OBJECTIVE NO: 6.3.S.a

Industrial Safety personnel are trained to anticipate, recognize, evaluate, and respond to safety hazards that may be present in the work place.

CRITERIA NO: 6.3.S.a.1

Industrial safety personnel are trained to anticipate, recognize, evaluate, and respond to safety hazards that may be present in the work place.

Actions to Accomplish:

- 1 Verify industrial safety personnel are trained in their field of expertise. Confirm industrial safety personnel are trained or have the appropriate level of experience to recognize and respond to safety hazards that are in the work place.

Acceptance Evidence:

Industrial safety surveillance records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T630, Occupational Safety

Date: 1/26/98

S/RID Reference: (S/RID 4.3.8) [DOE 5480.20A, Chapter I and IV]; (S/RID 19.7.6); (S/RID 19.1.2) [DOE 5480.10, Revision 0, Section 9]

OBJECTIVE NO: 6.3.S.b

Industrial Safety personnel demonstrate a working knowledge of Occupation safety and demonstrate the ability to carry out normal and emergency situations under their cognizance.

CRITERIA NO: 6.3.S.b.1

Industrial safety personnel demonstrate a working knowledge of facility systems and components related to safety and the ability to carry out normal or emergency actions under their cognizance.

Actions to Accomplish:

- 1 Verify industrial safety personnel demonstrate a working knowledge of facility systems.

Acceptance Evidence:

Field observation records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Nuclear Safety (100 Area)
2T640

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1) [DOE 5480.23, Revision C01, Section 8.b.(1)]

OBJECTIVE NO: 1.0.S.a

The SNF project Safety Analysis Reports (SAR) are prepared and approved by the DOE. K Basins and CSB SARs address the following topics: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provisions of decontamination and decommissioning, and applicable facility design codes and standards.

CRITERIA NO: 1.0.S.a.1

The K Basin and CSB SARs address the following topics: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and standards.

Actions to Accomplish:

- 1 Confirm that the K Basin/CVD Final SAR addresses the following: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and standards.
- 2 Review the K Basin and CSB SARs and the Cask Transportation SARP for proper inclusion of the DOE requirements set forth in DOE 5480.23 Paragraph 8 and DOE 5480.3.
- 3 Obtain DOE approval for the safety analysis for the updated K Basins SAR that includes the CVD. Ensure that the SAR meets the requirements of DOE 5480.23 Paragraph 8.
- 4 Obtain DOE approval for the safety analysis for shipping and packaging of spent nuclear fuel and integrate into the K Basins SAR. Ensure that the SAR meets the requirements of DOE 5480.23 Paragraph 8.

MSA APPRAISAL FORM

Acceptance Evidence:

Copies of Tables of Contents of the approved documents

Copies of the SER cover page for the CSB and the CVD/KB final SARs and released EDT for the approved SARs and Cask Transportation SARP

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1) [DOE 5480.23, Revision C01, Section 9.c]

OBJECTIVE NO: 1.0.S.b

Safety documentation is subjected to a review process.

CRITERIA NO: 1.0.S.b.1

Safety documentation for the KW Basin, CVD, CSB and Cask Transportation System is subjected to a review process.

Actions to Accomplish:

- 1 Review the administrative procedure for compliance with the applicable Nuclear Safety S/RIDs covering safety document reviews. Verify that applicable SRID requirements are contained in the review procedure.
- 2 Interview responsible individuals and determine that operational, maintenance and regulatory requirements are understood.
- 3 Review procedure documentation and verify that facilities can be operated, maintained, and shut down in compliance with applicable laws and regulations.
- 4 Interview responsible individuals and verify that the change process is understood and that the change process procedures are followed.
- 5 Review the FSAR documentation and support procedures for change control.
- 6 Verify that the FSAR document provides assurance that the facilities can be operated, maintained, and shut down in compliance with applicable laws and regulations.
- 7 Confirm that all SAR and CSER reviews are completed. Verify that the reviews were completed to the necessary review and approval process as specified in the HNF PROs and SNF administrative procedures and that records of the reviews exist.
- 8 Verify that there is an administrative procedure in place for the safety documentation review and change process.

Acceptance Evidence:

Assessment or evaluation reports

Listing of released, applicable procedures

Interview records

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1)(DOE 5480.23, Revision C01, Section 9.c.)

OBJECTIVE NO: 1.0.S.c

A process to maintain controls over changes and revisions to safety documentation is in place.

CRITERIA NO: 1.0.S.c.1

A process is in place to maintain control over changes and revisions to safety documentation.

Actions to Accomplish:

- 1 Verify that controlled copies in the records center match the controlled copies in the field.
- 2 Review the change control process and verify that changes are controlled.
- 3 Verify that the configuration control process for the CSERs, SARs, SERs, SARP and hazards analysis for CVD, K Basins, CSB and Cask Transportation systems are under document control.
- 4 Verify that the applicable procedures for safety analysis documents under configuration control include the K Basins SAR, CSB SAR, Cask Transportation SARP, CSERs, SERs, and Hazardous Analysis.
- 5 Review the document control program in place at CVD, K Basins, and CSB for safety analysis documentation.

Acceptance Evidence:

Procedure list

Assessment reports

Field interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.3.2) [DOE 5480.23, Paragraph 8](S/RID 3.2.4) [DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.2.4](S/RID 18.3.2) [DOE 6430.1A, Revision 0, Division 13, Section 1300.3.2]

OBJECTIVE NO: 1.0.S.d

The safety documentation characterizes hazards/risks, associated with operations, that are necessary to protect the public, workers, and the environment from the safety and health hazards posed by the facility.

CRITERIA NO: 1.0.S.d.1

Safety documentation characterizes hazards/risks, associated with operations necessary to protect the public, workers, and the environment from the safety and health hazards posed by the facility.

Actions to Accomplish:

- 1 Verify that SSCs are identified in safety documentation.
- 2 Verify that the MCO Topical Report is complete and the SARs contain the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment.
- 3 Confirm that the CSB system's hazards analysis is complete and the SAR contains the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment.
- 4 Review the SAR and safety related procedures and verify appropriate safety measures are spelled out in procedures.
- 5 Verify that Job Hazards Analysis is completed.
- 6 Review Job Hazards Analysis located in each of the facilities.
- 7 Field verify that safety documentation, including procedures and Job Hazards Analysis, contain the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment.
- 8 Verify that the K Basins hazards analysis is complete and the SAR contains the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment. Job Hazards Analysis is in place at each facility.
- 9 Verify that the CVD hazards analysis is complete and is part of the K Basins SAR. CVD associated hazards associated with operations are identified and characterize operations necessary to protect the public, workers, and environment.

Acceptance Evidence:

Assessment reports or evaluation records

Tables of contents of key documents along with released ECN

MSA APPRAISAL FORM

SSCs

Field verification records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9]

OBJECTIVE NO: 1.0.S.f

The Safety Basis Documentation is implemented.

CRITERIA NO: 1.0.S.f.1

Requirements specified in the safety basis are defined and implemented in facility operational and maintenance documentation.

Actions to Accomplish:

- 1 Verify the SAR/TSR/Procedure data in STRS is current and complete.
- 2 Confirm the requirements of AP 4-001, 4-005 and 4-013 have been met.
- 3 Verify that the procedures in place contain the appropriate information to maintain the facilities within the safety basis.
- 4 Verify that engineers understand the safety basis as related to systems engineering requirements and that systems engineering has implemented the requirements.
- 5 Verify that the correct version of the safety basis documentation was used in the development of administrative procedures, operational procedures, and maintenance.
- 6 Verify that systems engineering understands the FSAR implementation matrixes that are under configuration control, and used this information in the development of operations and maintenance procedures.
- 7 Verify that engineers understand the Technical Safety Requirements and that these requirements are reflected in the developed engineering procedures.

Acceptance Evidence:

Printout of the STRS TSR/SAR table data

Listing of documents and procedures reviewed

Interview records

Assessment records and reports

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1) [DOE 5480.23, Revision C, Section 9.c]

OBJECTIVE NO: 1.0.S.g

A SAR program is implemented to perform periodic reviews and updates of the SARs.

CRITERIA NO: 1.0.S.g.1

A program is implemented to perform periodic reviews and updates of the SARs. (AP 4-001, 4-005 and 4-013)

Actions to Accomplish:

- 1 Confirm that the SAR reviews, copies, and updates are available for review and use.
- 2 Confirm that the APs listed are adequate based on an S/RID compliance review of the nuclear safety requirements..
- 3 Confirm that the procedures, schedule and budget support the annual SAR update requirements. Verify the level III schedule reflects the annual update submittal.
- 4 Verify that the SNF administrative procedure AP 4-005 is updated to include CSB, K Basins, and Cask Transportation systems.

Acceptance Evidence:

Interview records

S/RID Phase 1 and 2 assessments

Listing/cover sheets from updated AP 4-001, 4-005, and 4-013

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9]

OBJECTIVE NO: 1.0.S.h

Facility procedures and documents that implement the requirements of the SAR and TSRs contain operational limits for process variables and system operation. The procedures and documents are at least as restrictive as the SAR and TSRs.

CRITERIA NO: 1.0.S.h.1

Facility procedures and documents that implement the requirements of the SAR and TSRs contain operational limits for KW Basin, CVD, CSB, and Cask Transportation System process variables and system operation.

Actions to Accomplish:

- 1 Confirm that there is a table or index of procedures that implement the requirements of the TSRs and SAR is prepared for use in AP 4-005 and in the STRS database.
- 2 Confirm that sufficient procedures to implement the TSR/SAR requirements for CSB, CVD, K Basins, and Cask Transportation systems are completed and issued.
- 3 Verify that the TSRs and limiting conditions of operation are specified, implemented and identified in procedures.

Acceptance Evidence:

Copy of procedure index or table from AP 4-005 or STRS

Summary of review or review notes/records

List of procedures reviewed

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9]

OBJECTIVE NO: 1.0.S.h

Facility procedures and documents that implement the requirements of the SAR and TSRs contain operational limits for process variables and system operation. The procedures and documents are at least as restrictive as the SAR and TSRs.

CRITERIA NO: 1.0.S.h.2

Facility procedures and documents are at least as restrictive as the SAR and TSRs.

Actions to Accomplish:

- 1 Verify that TSRs and limiting conditions of operation are implemented, specified, and identified in procedures and documents that they are at least as restrictive as the authorization basis documents.

Acceptance Evidence:

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9.b, Sentences 1 and 2]

OBJECTIVE NO: 1.0.S.i

TSRs define the operating limits and surveillance requirements. The TSRs contain safety boundaries, and administrative controls necessary to protect the health and safety of the public and workers. Also included is protection from the uncontrolled release of radioactive, hazardous material, and from radioactive exposure due to inadvertent criticality.

CRITERIA NO: 1.0.S.i.1

TSRs are complete, approved, and contain limiting conditions of operation necessary to protect the health and safety of the public and workers.

Actions to Accomplish:

- 1 Confirm that clearly stated LCOs exist in the approved TSRs.
- 2 Verify that there is an approved SER authorizing use of the TSRs.
- 3 Verify that the TSRs for each facility meet the requirements of DOE 5480.22 for content.

Acceptance Evidence:

RCRs, letters, etc. documenting TSR review

Signed SER from RL

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9.b, Sentences 1 and 2]

OBJECTIVE NO: 1.0.S.i

TSRs define the operating limits and surveillance requirements. The TSRs contain safety boundaries, and administrative controls necessary to protect the health and safety of the public and workers. Also included is protection from the uncontrolled release of radioactive, hazardous material, and from radioactive exposure due to inadvertent criticality.

CRITERIA NO: 1.0.S.i.2

TSRs address protection from the uncontrolled release of radioactive, hazardous material, and from radioactive exposure due to inadvertent criticality.

Actions to Accomplish:

- 1 Verify that the TSRs address uncontrolled release of radioactive materials.
- 2 Confirm that the TSRs address uncontrolled release of hazardous materials.
- 3 Confirm the TSRs address the criticality controls.

Acceptance Evidence:

Approval letters

RCRs or records of reviews

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 3.1.4)[DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 1.1.S.a

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current. The documentation defines the safety functions and is available to the operators. Safety documentation (i.e., SAR, and other safety basis documents) is assessed.

CRITERIA NO: 1.1.S.a.1

An adequate process is implemented ensuring that documentation for systems critical to the facility safety exists and is current.

Actions to Accomplish:

- 1 Verify that documentation important to safety is assessed.

Acceptance Evidence:

Policies and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.5) [DOE 5480.21, Revision 0, Chapter III, Section 5.a and Section 10]

OBJECTIVE NO: 2.0.O.b

A USQ program is in place and implemented for the identification and disposition of safety questions.

CRITERIA NO: 2.0.O.b.1

A program is in place and implemented for the identification and disposition of USQs. The USQ program contains the following elements; training, qualified members, qualified alternates, change control, screening and evaluations, reporting and records (AP 4-001).

Actions to Accomplish:

- 1 Confirm training records for all USQ evaluators for necessary USQ and authorization basis training.
- 2 Interview select USQ evaluators and plant review committee members to assess their retained knowledge.
- 3 Confirm that the USQ program performs safety evaluations on:
Temporary or permanent changes to items within the safety basis,
Tests or experiments not described in the safety analysis, and
Temporary or permanent changes to procedures that are within the safety basis.
- 4 Verify that the USQ program is implemented in each facility and evaluators are trained and understand the requirements.
- 5 Verify that AP 4-001 is in compliance with applicable S/RIDs requirements (see 13.0.M.a).
- 6 Verify that AP 4-001, "Unreviewed Safety Question," is updated to include all SNF project Facilities.

Acceptance Evidence:

Training records

Interview records

List of qualified USQ evaluators per facility

AP 4-001

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Functional Area: 2T640, Nuclear Safety (100 Area) **Criteria Met: Yes** _____
Date: 1/26/98 **No** _____

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9.f]

OBJECTIVE NO: 2.0.O.c

The TSRs' documents are controlled. The TSRs reflect the facility configuration and operation and are kept current. Changes to TSRs are reflected and analyzed in the SAR.

CRITERIA NO: 2.0.O.c.1

The TSRs for K Basins/CVD and CSB are controlled documents.

Actions to Accomplish:

- 1 Interview key staff to assure they understand the controlled document process.
- 2 Confirm that the electronic information in STRS, SNF Drive, etc. related to the TSRs is controlled such that it contains only the latest TSRs.
- 3 Verify that the latest controlled copies are located in the key operations facilities (shift manager offices, Operations manager office, etc.).
- 4 Confirm that procedures require all changes to the TSRs to be per ECNs and done to procedure, covering reviews, approvals, and issuance.
- 5 Verify that the TSR documents for both CSB and CVD/K Basins are under document/configuration control.

Acceptance Evidence:

Interview records

Copy of MOP or field assessment(s)

Procedures (copies or listing)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.4) [DOE 5480.22, Revision C01, Section 9.f]

OBJECTIVE NO: 2.0.O.c

The TSRs' documents are controlled. The TSRs reflect the facility configuration and operation and are kept current. Changes to TSRs are reflected and analyzed in the SAR.

CRITERIA NO: 2.0.O.c.2

The TSRs reflect the K Basins, CVD, and CSB configuration and operations and are kept current.

Actions to Accomplish:

- 1 Verify that adequate staff and budget exist to maintain TSR configuration and updates.
- 2 Verify that TSRs reflect current facility configurations and that administrative procedures define a process to assure this remains current.
- 3 Verify that the TSRs are required to be reviewed at least annually and that the dates are tracked on the level III schedule.

Acceptance Evidence:

Interview records

Procedures (listing of applicable procedures)

Budget sheets

Schedule

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 1.2.1, 1.2.2, and 18.4) [DOE 5480.22, Paragraph 9e; DOE 5480.19, Chapter XVI]

OBJECTIVE NO: 2.0.S.d

Operating and maintenance procedures implement applicable safety requirements and the associated limiting conditions for operation.

CRITERIA NO: 2.0.S.d.1

Operating and maintenance procedures implement applicable safety requirements and the associated limiting conditions for operation.

Actions to Accomplish:

- 1 Verify that Nuclear Safety approval is documented on operating and maintenance procedures that implement applicable safety requirements and the associated limiting conditions of operation.
- 2 Verify that Nuclear Safety routinely performs field observations or MOPs to assure that TSRs are being implemented as required.
- 3 Confirm that Nuclear Safety staff have independently verified TSR implementation per AP 1-013.

Acceptance Evidence:

MOPs, field observation records

Administrative procedures

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter

XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

1. Confirm CSAs are tracked and any open items have a planned completion date.
2. Confirm during interviews that personnel understand the implementation requirements.
3. Confirm that procedures are implemented.
4. Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 9.2.1, 9.2.3, and 9.2.6)[DOE 5480.19 Revision C01, Chapters, viii, and xii]

OBJECTIVE NO: 4.0.S.a

Confirmation of safety requirements is required by procedures and includes clearly defined surveillance intervals and periodic self assessments.

CRITERIA NO: 4.0.S.a.1

Confirmation of safety requirements is required by procedures.

Actions to Accomplish:

- 1 Review completed procedures, surveillance's and self assessments for completeness.
- 2 Review self assessment reports, per AP -4-005-03, performed by Nuclear Safety to determine the overall effectiveness of the program.
- 3 Field verify that confirmation of safety requirements is required by procedures, surveillance intervals, and periodic self-assessments.

Acceptance Evidence:

Field observation records

Interview records

Administrative procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 4.2) (DOE 5480.20a, Revision 0, Section 7)

OBJECTIVE NO: 5.0.O.o

The TIM defines and describes the selection, qualification, and training requirements.

CRITERIA NO: 5.0.O.o.1

The TIM defines and describes the selection, qualification, and training requirements.

Actions to Accomplish:

- 1 Update the Training Implementation Matrix.

Acceptance Evidence:

Training Implementation Matrix

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [DOE 5480.20A, Revision 0, Chapter IV, Section 2]

OBJECTIVE NO: 5.0.S.m

The nuclear safety manager, and Nuclear Safety engineers meet the minimum education and experience levels defined.

CRITERIA NO: 5.0.S.m.1

The Nuclear Safety manager, and as a minimum two Nuclear Safety engineers meet the minimum education and experience levels as specified in the S/RID, the TMX, and the training plans.

Actions to Accomplish:

- 1 Verify that all the nuclear safety staff, including management are current on all training requirements specified in the TMX.
- 2 Verify that training and qualification requirements for each Nuclear Safety position has been provided to the training organization and the TMXs are current for all Nuclear Safety staff.
- 3 Verify the Nuclear Safety manager and at least two engineers have the minimum education and experience requirements.
- 4 Verify that approved position descriptions are written and approved for Nuclear Safety personnel (i.e., a bachelor of science degree, 2 years related job experience, and 1 year of nuclear facility experience as a minimum) including management.

Acceptance Evidence:

Position descriptions

TMXs, training plans or letters

Training records

Resumes

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.3) [DOE 5480.20A, Revision 0, Chapters I, Sections 4 and 6]

OBJECTIVE NO: 5.2.S.a

Criticality safety is established and functioning to support the operations organization. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. Criticality safety is adequately staffed with qualified personnel.

CRITERIA NO: 5.2.S.a.1

Criticality safety program is established and functioning to support the operations organization.

Actions to Accomplish:

- 1 Verify that all applicable CSERs are available to all the CSRs and ACSRs and that they are approved and under configuration control.
- 2 Verify that the Process Standard(s) covering CSER requirements is current for all SNF facilities.
- 3 Verify that all criticality safety postings are in place and current.
- 4 Verify that the written and oral board requirements for all Criticality Safety Representative and alternates have been satisfactorily completed and documented.
- 5 Verify there are at least one prime and one alternate Criticality Safety Representative assigned per facility.
- 6 Interview the criticality personnel to confirm they understand assignments, responsibilities, and reporting requirements.
- 7 Verify that the criticality staff is qualified and meets the training and qualification requirements.
- 8 Confirm that administrative and operations procedures define the responsibilities and reporting relationships relative to criticality safety issues.
- 9 Verify that position descriptions are written for criticality safety personnel.

Acceptance Evidence:

CSER listing

MOP tour records

Interview records

Training and certification records

Compliance procedures, administrative procedures, and process standards

Position descriptions

Results:

MSA APPRAISAL FORM

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.3) [DOE 5480.20A, Revision 0, Chapters I, Sections 4 and 6]

OBJECTIVE NO: 5.2.S.a

Criticality safety is established and functioning to support the operations organization. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. Criticality safety is adequately staffed with qualified personnel.

CRITERIA NO: 5.2.S.a.2

Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

Actions to Accomplish:

- 1 Interview a select group of shift supervisors, engineers and procedure writers to determine if they understand the functions, assignments, responsibilities and reporting relationships of the criticality safety representatives.
- 2 Spot check procedure and document reviews to determine that the criticality engineers are reviewing and signing procedure changes and any engineering documents that have criticality safety implications.
- 3 Verify that administrative, compliance and operations procedures define the responsibilities and reporting relationships relative to criticality safety.
- 4 Verify that position descriptions are written for criticality safety personnel.
- 5 Interview all the assigned criticality personnel to confirm they understand assignments, responsibilities, and reporting requirements.

Acceptance Evidence:

Organization charts

Interview records

Training records

Listing of applicable administrative, compliance and operating procedures

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RJD 4.2.8.3) [DOE 5480.20A, Revision 0, Chapters I, Sections 4 and 6]

OBJECTIVE NO: 5.2.S.a

Criticality safety is established and functioning to support the operations organization. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. Criticality safety is adequately staffed with qualified personnel.

CRITERIA NO: 5.2.S.a.3

Criticality safety is adequately staffed with qualified personnel.

Actions to Accomplish:

- 1 Confirm there is a formal staffing plan covering criticality safety representatives and alternate criticality safety representatives and that actual staffing match required staffing.
- 2 Verify there are approved and issued position descriptions for criticality safety personnel.
- 3 Verify that the criticality safety staff is qualified to meet the formal position descriptions, are current with all training requirements and have been formally qualified via both oral and written examinations.

Acceptance Evidence:

Staffing plans

Resumes

Interview records

Training and certification records

Organization Charts

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1) [DOE 5480.24, Revision 0, Section 7]

OBJECTIVE NO: 5.2.S.b

Criticality Prevention Specifications (CPS) are implemented in facility operating procedures, and appropriate postings established within the facility.

CRITERIA NO: 5.2.S.b.1

CPS are implemented in facility operating procedures.

Actions to Accomplish:

- 1 Verify that CPS are posted where applicable in the SNF facilities.
- 2 Verify that required CPS are complete, issued and implemented into the process standards and the operating or compliance procedures.

Acceptance Evidence:

Field posting verification

List of operating procedures and compliance procedures that implement CPS requirements

CPSs (listing/approved cover sheets)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 4.3.8 and 18.7.3) [DOE 5480.20A, Revision 0, Chapter 1, Section 7]

OBJECTIVE NO: 6.4.S.a

Criticality safety personnel demonstrate the ability to carry out procedures under their cognizance.

CRITERIA NO: 6.4.S.a.1

Field drills and field observations confirm that criticality safety personnel demonstrate the ability to carry out procedures under their cognizance.

Actions to Accomplish:

- 1 Verify that Criticality Safety Evaluation Reports are prepared in accordance with HNF-PRO-539.
- 2 Verify that criticality safety inspections are performed on K Basins on the specified frequency to approved compliance procedures.
- 3 Verify that criticality safety personnel are in compliance with AP 4-007, "Criticality Safety Representative Duties".
- 4 Field observation and interviews demonstrate the criticality safety personnel ability to carry out procedures under their cognizance.

Acceptance Evidence:

CSERs

Copies of closed criticality safety inspections for 6 months

Schedule of criticality safety related drills

Drill reports/critiques/observation reports

Field observations/MOP records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T640, Nuclear Safety (100 Area)

Date: 1/26/98

S/RID Reference: (S/RID 4.2.8.3) [DOE 5480.20A, Revision 0, Chapter 1, Section 7]

OBJECTIVE NO: 6.4.S.c

Criticality safety personnel demonstrate a working knowledge of facility systems and components related to safety.

CRITERIA NO: 6.4.S.c.1

Criticality safety personnel perform adequately during drills, field observations, and meet all requirements of their job descriptions.

Actions to Accomplish:

- 1 Interview all criticality safety representatives (primes and alternates) to assess both their fundamental criticality safety understanding and their facility specific understanding.
- 2 Review the monthly criticality safety inspection records.
- 3 Perform several MOPs of the monthly criticality safety inspections over several months to assess the competence of the criticality safety staff.
- 4 Observe drills that involve criticality safety issues to assess the performance of the criticality specialists.
- 5 Verify that the criticality safety personnel have the following level of knowledge related to facility operations: status change authorization and reporting process; procedures covering equipment and system alignment; general knowledge of the equipment lock and tag requirements; understanding of operational limits compliance; familiarity with the AP, CP, OP and MP system; process for work authorization and documentation; criticality alarms; training requirements for fissile material handlers; required criticality surveillance procedures.

Acceptance Evidence:

Surveillance documentation

Interviews

Field observations

Drills records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

HNF-2039, Rev.0

Nuclear Safety (200 Area)
2T670

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T670, Nuclear Safety (200 Area)

Date: 1/27/98

S/RID Reference: (S/RID 18.3.1) [DOE 5480.23, Revision C01, Section 8.b.(1)]

OBJECTIVE NO: 1.0.S.a

The SNF project Safety Analysis Reports (SAR) are prepared and approved by the DOE. K Basins and CSB SARs address the following topics: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provisions of decontamination and decommissioning, and applicable facility design codes and standards.

CRITERIA NO: 1.0.S.a.1

The K Basin and CSB SARs address the following topics: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and standards.

Actions to Accomplish:

1. Assure that the MCO topical report has been approved and that it has been properly referenced in the other safety documents.
2. Confirm the CSB final SAR addresses the following: executive summary, applicable statutes, rules, regulations, and S/RIDs, site characteristics, facility descriptions and operation including design characteristics, hazard analysis and classification of the facility, principal health and safety criteria, radioactive and hazardous material waste management, inadvertent criticality protection, radiation protection, hazardous material protection, analysis of normal, abnormal, and accident conditions, management, organization and institutional safety provisions, procedures and training, human factors, initial testing, in service surveillance, and maintenance, derivation of technical safety requirements, operations safety, quality assurance, emergency preparedness, provision of decontamination and decommissioning, and applicable facility design codes and standards.
3. Review the K Basin and CSB SARs and the Cask Transportation SARP for proper inclusion of the DOE requirements set forth in DOE 5480.23 Paragraph 8 and DOE 5480.3.
4. Obtain DOE approval of the Safety Analysis for the CSB. Ensure that the SAR meets the requirements of DOE 5480.23 Paragraph 8.

MSA APPRAISAL FORM

Copies of Tables of Contents of the approved documents

Copies of the SER cover page for the CSB and the CVD/KB final SARs and released EDT for the approved SARs and Cask Transportation SARP

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T670, Nuclear Safety (200 Area)

Date: 1/27/98

S/RID Reference: (S/RID 18.3.2) [DOE 5480.23, Paragraph 8](S/RID 3.2.4) [DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.2.4](S/RID 18.3.2) [DOE 6430.1A, Revision 0, Division 13, Section 1300.3.2]

OBJECTIVE NO: 1.0.S.d

The safety documentation characterizes hazards/risks, associated with operations, that are necessary to protect the public, workers, and the environment from the safety and health hazards posed by the facility.

CRITERIA NO: 1.0.S.d.1

Safety documentation characterizes hazards/risks, associated with operations necessary to protect the public, workers, and the environment from the safety and health hazards posed by the facility.

Actions to Accomplish:

- 1 Review the SAR and safety related procedures and verify appropriate safety measures are spelled out in procedures.
- 2 Verify that Job Hazards Analysis is completed.
- 3 Review Job Hazards Analysis located in each of the facilities.
- 4 Field verify that safety documentation, including procedures and Job Hazards Analysis, contain the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment.
- 5 Verify that the MCO Topical Report is complete and the SARs contain the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment.
- 6 Confirm that the CSB system's hazards analysis is complete and the SAR contains the associated hazards associated with operations and characterizes operations necessary to protect the public, workers, and environment.

Acceptance Evidence:

Assessment reports or evaluation records

Tables of contents of key documents along with released ECN

Field verification records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T670, Nuclear Safety (200 Area)

Date: 1/27/98

S/RID Reference: (S/RID 13.2) [DOE Order 460.1]

OBJECTIVE NO: 1.0.S.j

A Safety Analysis Report for packaging (SARP) is approved and supports' Type B and fissile material packaging designs. The SARP includes a physical and technical description of the package design, development, and test methodologies as well as the test results. The SARP contains technical references that provide a clear treatment of the subject.

CRITERIA NO: 1.0.S.j.1

A SARP is prepared to support all Type B and fissile material packaging designs. (CM-2-14), (HNF-PRO-0157), and (HNF-PRO-0154)

Actions to Accomplish:

- 1 Confirm that the technical references in the SARP are complete and accurate.
- 2 Confirm that test methodologies are specified in the SARP per DOE 460.1.
- 3 Confirm that the technical descriptions of package design are included in the SARP.
- 4 Verify that the SARP has the necessary DOE approvals and has been issuing under change control.

Acceptance Evidence:

SARP Table of contents

SARP approval letter

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T670, Nuclear Safety (200 Area)

Date: 1/27/98

S/RID Reference: (S/RID 13.2) [DOE Order 460.1]

OBJECTIVE NO: 1.0.S.j

A Safety Analysis Report for packaging (SARP) is approved and supports' Type B and fissile material packaging designs. The SARP includes a physical and technical description of the package design, development, and test methodologies as well as the test results. The SARP contains technical references that provide a clear treatment of the subject.

CRITERIA NO: 1.0.S.j.2

The SARP includes a physical and technical description of the package design, development, and test methodologies as well as the test results. (CM-2-14), (HNF-PRO-0157), and (HNF-PRO-0154)

Actions to Accomplish:

- 1 Confirm that the test results for the approved Type B shipping container are formally documented and either appended or clearly referenced in the approved SARP. Confirm the testing was to the same design as specified in the SARP description.
- 2 Confirm that test methodologies are specified to necessary level of detail in the approved SARP.
- 3 Confirm that the approved SARP includes adequate (per DOE 460.1) technical descriptions of the package design and development.
- 4 Confirm that the SARP has necessary physical descriptions of the package design.

Acceptance Evidence:

Document (letter, form) confirming the review was complete

SARP reference list

SARP Table of Contents

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T670, Nuclear Safety (200 Area)

Date: 1/27/98

S/RID Reference: (S/RID 13.2) [DOE Order 460.1]

OBJECTIVE NO: 1.0.S.j

A Safety Analysis Report for packaging (SARP) is approved and supports' Type B and fissile material packaging designs. The SARP includes a physical and technical description of the package design, development, and test methodologies as well as the test results. The SARP contains technical references that provide a clear treatment of the subject.

CRITERIA NO: 1.0.S.j.3

The SARP contains technical references that provide a clear treatment of the subject. (CM-2-14), (HNF-PRO-0157), and (HNF-PRO-0154)

Actions to Accomplish:

- 1 Confirm that the DESH, FDH and DOE reviews leading to approval of the document included reviews of key references.
- 2 Review the references used in the SARP to confirm they provide necessary clear basis for document statements.
- 3 Confirm the approved SARP contains an accurate and complete set of references.

Acceptance Evidence:

Meeting minutes or RCRs from the SARP review that covered the referenced material

Listing of references used in the SARP

DOE letter approving SARP

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Quality Assurance
2T800

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 18.3.1)(DOE 5480.23, Revision C01, Section 9.c.)

OBJECTIVE NO: 1.0.S.c

A process to maintain controls over changes and revisions to safety documentation is in place.

CRITERIA NO: 1.0.S.c.2

Document configuration control requires that only controlled copies are available for use.

Actions to Accomplish:

- 1 Assess the line staff access to documents to determine if they have the tools (hardware, software, procedures) that allow them to determine if they have the most recent copy of key documents and to get the key documents.
- 2 Perform a review of the procedures and desk instructions in place in key organizations to determine if appropriate steps are in place to assure staff know and get the most current copy of procedures, policies, etc.
- 3 Perform field surveillance of at least some documents in each SNF Organization to confirm that documents in use are the most current version.
- 4 Perform field verifications on a subset of documents and review processes to determine if the record control stations have released and controlled all currently in-use controlled documents for the SNF Project.

Acceptance Evidence:

Listing of documents reviewed in field use

Field interview records

Surveillance reports

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01; Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.3

Facility support management monitors facility activities for compliance with safety standards and performance.

Actions to Accomplish:

- 1 Review QA records of management MOPs or management assessments to assure that they are occurring, and that they include reviews of performance and compliance with the ES&H requirements.
- 2 Review QA records of inspections to assure that they cover field reviews of compliance with safety standards as one of the criteria reviewed.
- 3 Verify that QA management and senior technical staff routinely monitors field activities for compliance with standards.
- 4 Conduct periodic inspections of structures, systems, components, and equipment. Verify that inspections are complete to find out whether deterioration is taking place and to identify and address technical obsolescence that threatens performance, safety or facility preservation.

Acceptance Evidence:

QA inspection reports, audit reports, field surveillance reports

Interviews records

Facility tour documents

Field observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 2.11) [10CFR72, Part 160, 176; DOE/RW-0333P, Revision 5, Section 2.2.6, 18.2.12]

OBJECTIVE NO: 13.0.M.a

S/RIDs are implemented and a record review of S/RIDs is observed to determine performance is satisfactory.

CRITERIA NO: 13.0.M.a.1

Performance is satisfactory in the implementation status of S/RIDs.

Actions to Accomplish:

- 1 Perform a field assessment that the appropriate administrative procedures, policies, and Fluor Daniel Hanford procedures (HNF-PROs) for S/RID development and implementation are being complied with by the project.
- 2 Review the project schedules and milestone sheets to confirm that the annual updates to the two S/RID documents are clearly identified with appropriate responsibilities defined.
- 3 Review the training and qualification records of the S/RID chapter facility experts and responsible functional area managers to assure that they have the appropriate training, credentials and facility specific understanding, as well as understanding of the S/RID process to support their roles and responsibilities in S/RID development and maintenance.
- 4 Confirm that any changes to the S/RID documents, that have been made by the contractor, as allowed by the DOE field office procedures, are documented on ECNs, with adequate justification to support the statement that the environmental safety and health posture has not been affected.
- 5 Verify that the two SNF Project S/RIDs are being properly maintained under configuration control and that the database is consistent with what was approved by the Manager, RL.
- 6 Review at least 10% of the S/RID Phase 1 and 2 assessment records to confirm that they meet the requirements specified in the DESH Administrative Procedures and Fluor Daniel Hanford Procedures for S/RID assessments.
- 7 Review the S/RID database, as well as the PIP and DTS printouts of open items to confirm that all previously identified S/RID deficiencies have been corrected.
- 8 Field verify a subset of the S/RID requirements, independent of line management to confirm that the Phase 2 assessments are complete and adequate.
- 9 Verify that all S/RID Phase I records review and Phase II verification of program implementation is complete for both the CSB Revision 0 S/RID and the CVD/K Basin Revision 1 S/RID.

Acceptance Evidence:

Field interview records

MSA APPRAISAL FORM

Assessment reports

Schedules

ECNs for S/RID documents

Training records

S/RID Phase I records and Phase II assessment forms for both S/RIDs

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 3.4 and 3.7.4)[10 CFR 830, Section 6; DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3]

OBJECTIVE NO: 2.0.O.a

Administrative controls are in place to ensure that repairs or modifications are analyzed to identify system degradation and that design changes are documented and approved prior to implementation.

CRITERIA NO: 2.0.O.a.1

Repairs and modifications are analyzed to identify system degradation and approved prior to implementation.

Actions to Accomplish:

- 1 Verify that AP 6-006, "Essential Drawing Controlled Print File Management", is being followed in the field.
- 2 Verify that modifications important to safety are under configuration control. Review modification packages and determine that controls are being followed and that engineering reviews SSCs for degradation.
- 3 Verify that administrative procedure AP 6-002, "Plant System Designations", is revised to include the CSB, CVD, and K Basins. Review the labeling program AP-6-005-00, "Job Control System Component Identifier and Labeling Control", and field verify that labeling is in place at K Basins, CVD, and CSB.
- 4 Verify that safety equipment is under configuration control and that safety repairs and modifications are reviewed and approved prior to implementation.

Acceptance Evidence:

Quality Assurance surveillance reports.

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No. _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 3.7) [DOE 425.1, DOE 1324.5B, 10 CFR 830]

OBJECTIVE NO: 2.1.O.a

A program is in place to control the configuration of the computer software.

CRITERIA NO: 2.1.O.a.1

A program is in place to control the configuration of the computer software.

Actions to Accomplish:

- 1 Verify that procedures and policies that are issued to control computer software are implemented in the field.
- 2 Verify that policies, procedures and programs are issued and controlled and meet the requirements to control computer software used to support the project mission.

Acceptance Evidence:

Confirm policies and procedures were issued

Copies of policies, procedures and plans that apply (or list of documents with their current revision numbers)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 3.4.1 and 2.6.1)[DOE-STD-1073-93, Revision 0, Chapter 1, Section 1.3.4.1;
DOE/RW-0333P, Revision 5, Supplement 1.2.1]

OBJECTIVE NO: 2.1.O.b

A review of computer software development and change records indicates that software control is properly implemented, documented, and under configuration control.

CRITERIA NO: 2.1.O.b.2

Computer software development is under configuration control.

Actions to Accomplish:

1. Verify that procedures are in place that govern the development of computer software.
2. Perform surveillance to determine that software used in the operation of the Fuel Removal K Basins equipment, CVD, and CSB meets the quality assurance and quality control requirements.

Acceptance Evidence:

Listing of applicable procedures

Surveillance reports

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.0 and 1.2.1) [10 CFR 830 part 120(c) (1)(iv); DOE 5480.19, Revision C01, Chapter

XVI] (S/RID 10.1/MIP)[4330.4B, Paragraph 7]

OBJECTIVE NO: 3.0.S.b

Safety, operating, and environmental requirements included within the S/RIDs are implemented into operating and maintenance procedures.

CRITERIA NO: 3.0.S.b.1

S/RID Phase 1 and Phase 2 assessments are complete and Compliance Schedule Approvals (CSA) are prepared for all deficiencies.

Actions to Accomplish:

- 1 Confirm CSAs are tracked and any open items have a planned completion date.
- 2 Confirm during interviews that personnel understand the implementation requirements.
- 3 Confirm that procedures are implemented.
- 4 Confirm procedures are in place that implement the authorization basis.

Acceptance Evidence:

CSAs

Procedures

S/RID Phase 2 Assessment documentation

S/RID Phase 1 Assessment documentation

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) [DOE 5480.19, Revision C01, Chapter XVI]

OBJECTIVE NO: 3.2.Q.a

Operations, maintenance, surveillance, emergency, and compliance procedures meet or exceed the requirements provided in the SNF S/RIDs.

CRITERIA NO: 3.2.Q.a.1

Operations, maintenance, surveillance, emergency and compliance procedures meet or exceed the requirements provided in the SNF S/RIDs. Administrative procedures: AP 9-001, "Technical Procedure Administration"; AP 9-002, "Technical Procedure Development"; AP 9-003, "Technical Procedure Change Process".

Actions to Accomplish:

- 1 Review S/RID Phase 1 assessment documentation to confirm that the Phase 1 S/RID assessments were completed to the necessary requirements and that all deficiencies have been corrected.
- 2 Perform field surveillance on technical procedure compliance.
- 3 Assess compliance to AP 9-001, "Technical Procedure Administration", AP 9-002, "Technical Procedure Development" and AP 9-003, "Technical Procedure Change Process".
- 4 Review last 12 months surveillances, audits, appraisals and MOP reports to determine if any trends on procedure noncompliance exist.

Acceptance Evidence:

Listing of records reviewed
QA Field Surveillances
S/RID Phase 1 Assessment records

Results:

Record Review:
Interviews:
Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 4.2.1) [29CFR1910, Part 120(e)(5), (e)(6) and (q)(7); DOE 5480.20A, Revision 0, Chapter I, Section 3, Chapter IV, Section 2.a, 2.f, and 3]

OBJECTIVE NO: 5.1.M.b

Line management is responsible for the implementation of the training and qualification program(s). This objective is applicable to Facility/System Startup, Facility Operations, Facility Maintenance, Operational Readiness, Training and Procedures, Facility Projects and Radiation Protection.

CRITERIA NO: 5.1.M.b.4.

Line management is responsible for the implementation of the training and qualification program(s). This criteria is only applicable for Quality Assurance.

Actions to Accomplish:

- 1 Field verify that each management function meets the requirements of AP 8-008, "Training Records", and verify that line management is responsible for the implementation of the training and qualification program(s).
- 2 Field verify that line managers and supervisors routinely observe work activities and correct deficiencies as they relate to training.

Acceptance Evidence:

Surveillance Reports

Field Interview records

List of applicable SNF polices and procedures

Approved training requirements from Line Managers

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 2.2) [10CFR72, Part 142, Part 144; 10CFR830, Part 120(c)(1)(i); DOE/RW-0333P, Revision 5, Section 1.2.4, 1.2.5, 2.2.1, 2.2.2, 2.2.3 and 2.2.8; SD-SNF-DB-003, Revision 2, NRC Equivalency Requirement 16 and 18]

OBJECTIVE NO: 5.4.Q.a

The quality assurance organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and implemented. The staff is qualified.

CRITERIA NO: 5.4.Q.a.1

The quality assurance organization is established and functioning.

Actions to Accomplish:

- 1 Confirm that there are published, current charts and charters for the SNF QA organization and that these have been distributed to the appropriate organizations.
- 2 Field interview a select cross section of line and support organization staff within the SNF Project to confirm that the roles and responsibilities of the SNF QA Organization is understood.
- 3 Verify that the quality assurance staff is qualified to meet the position description requirement, and meets the training and qualification requirements for each of the positions.
- 4 Verify that administrative and operations procedures clearly define responsibilities and reporting relationships for the QA and QC functions.
- 5 Confirm that current position descriptions are written and published for all quality assurance personnel.

Acceptance Evidence:

QA Program Plan

QA TMXs and Training records for QA and QC staff

Listing of administrative and operating procedures reviewed

Approved QA position descriptions

Charts and Charters for the SNFQA Organization

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: 2T800, Quality Assurance

No _____

Date: 1/26/98

S/RID Reference: (S/RID 2.2) [10CFR72, Part 142 and 144; 10CFR830 Part 120(c)(1)(i); DOE/RW-0333P, Revision 5, Section 1.2.4, 1.2.5, 2.2.1, 2.2.2, 2.2.3, 2.2.4 and 2.2.8; SD-SNF-DB-003, Revision 2, NRC Equivalency Requirements 16 and 18]

OBJECTIVE NO: 5.5.Q.b

The quality assurance program meets the S/RIDS requirements.

CRITERIA NO: 5.5.Q.b.1

The quality assurance program meets the S/RID requirements.

Actions to Accomplish:

- 1 Confirm that there are performance indicators or other methods of providing real time status showing each organization's Phase 1 and 2 assessment status (for both S/RIDs).
- 2 Assure that procedures and systems are in place to identify and track any changes to implementing documents for S/RID requirements so that the database for S/RID implementation (RIMS-2) stays current. Confirm that the process is working such that if an implementing document changes technically (not administrative changes), that this triggers a re-do of both the Phase 1 and 2 assessments for that requirement.
- 3 Confirm that any deficiencies noted in either the Phase 1 or the Phase 2 S/RID assessments have been completed and closed out and that there has been a re-validation of both the Phase 1 and 2 assessments, as appropriate, after the closure of the deficiencies.
- 4 Confirm that all the S/RID requirements assigned to the QA organization for oversight have been assessed for implementation (Phase 1) and field verification (Phase 2). This includes both the CSB Revision 0 S/RID and the KB/CVD Revision 1 S/RID.

Acceptance Evidence:

S/RID Phase 1 and 2 assessment documentation

Field interview records

Listing of applicable, controlling procedures, policies or directives

Closed out PIP or DTS files for previously identified S/RID deficiencies

Performance indicator charts

S/RID compliance printouts from database

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 2.3, 4.1.1, and 4.3.1) [10 CFR 830 Part 120(I)(ii); DOE/RW- 0333P, Revision 5, Section 2.2.12; DOE 5480.20A, Chapter I, Section 7]

OBJECTIVE NO: 6.8.Q.a

QA personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 6.8.Q.a.1

QA personnel demonstrate the ability in the field to carry out normal and emergency procedures under their cognizance as defined in their job descriptions.

Actions to Accomplish:

- 1 Review all audits, findings, assessments and reports that were performed against the QA organization to determine if they provide evidence of staff capability to carry out their duties.
- 2 Interview line management from customer organizations to assess the customer perspective on the performance of the QA staff to carry out their responsibilities.
- 3 Perform formal drills to assess staff's ability to carry out emergency procedures.
- 4 Field verify QA staff performance in carrying out normal and emergency procedures.
- 5 Perform formal oral interviews or testing to assess the understanding of the QA exempt staff and management regarding their responsibilities, knowledge of requirements, and procedures.

Acceptance Evidence:

Interview records

Listing or copies of audits, reports, assessments reviewed

Oral interview forms or written examinations

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: 2T800, Quality Assurance

Date: 1/26/98

S/RID Reference: (S/RID 2.3) [10 CFR 830]; (S/RID 4.1.1) [DOE 5480.20A, Chapter 1, Section 7]; (S/RID 4.3.1) [29 CFR 1910 Part 38]

OBJECTIVE NO: 6.8.Q.b

QA personnel demonstrate a working knowledge of QA requirements, facility systems, and components related to safety and an attention to Environmental, Safety, and Health (ES&H) issues.

CRITERIA NO: 6.8.Q.b.1

QA personnel demonstrate in the field a working knowledge of QA requirements, facility systems, and components related to safety and an attention to ES&H issues.

Actions to Accomplish:

- 1 Observe work by Quality Assurance personnel performing work in SNF facilities and determine if SNF support provides the necessary attention to attention to health, safety, and environmental protection
- 2 Validate that the QA engineers, QC inspectors and QA managers have a basic level of knowledge related to facility operations that includes: Authorization Basis documentation (S/RIDs, TSRs, Permits); status change authorization and reporting process; where to find approved equipment and system alignment information; familiarity with equipment lock and tag requirements; how to generate or find equipment deficiency and identification documentation; work authorization and documentation procedures; requirements for equipment post maintenance testing and return to service; temporary modification control procedures; and location and general familiarity with distribution and control of equipment and system documents.
- 3 Perform field surveillances to determine if quality assurance personnel that support operations demonstrate a working knowledge of SNF facilities related to safety. Confirm that they have a basic understanding of the key safety documentation (TSRs, JHAs, etc.).

Acceptance Evidence:

Interview records

Field observation documents or reports

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

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DynCorp Hanford

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1]

OBJECTIVE NO: 15.0.S.a

The fire protection organization is established and functioning to support operations. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. It is staffed with qualified personnel.

CRITERIA NO: 15.0.S.a.1

The fire protection organization is established and functioning to support operations.

Actions to Accomplish:

- 1 Interview fire protection personnel to determine their knowledge of facility layout, facility fire protection systems, and facility fire alarm systems.
- 2 Verify DynCorp/DESH matrix agreements are in place that define the roles, responsibilities, and reporting relationships. Confirm functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.
- 3 Verify fire maintenance personnel level of knowledge in the following areas:
Facility layout,
Facility fire protection systems, and
Facility fire alarm systems.
- 4 Confirm fire response to perform and support operations drills that simulate normal, abnormal, and emergency facility conditions.
- 5 Verify FDH/DESH matrix agreements are in place that define the roles, responsibilities, and reporting relationships. Confirm functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

Acceptance Evidence:

Drill records

Training records

Fire surveys

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

MSA APPRAISAL FORM

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.20A, Chapter I]

OBJECTIVE NO: 5.0.O.f

The qualification program for operations and operations support personnel includes requirements for successful completion of written, oral, and operational evaluations. Provisions for a provisional qualification program are specified.

CRITERIA NO: 5.0.O.f.2

The training program for FDH, DYN, WMX, and LMH personnel includes requirements for successful completion of written, oral, or personnel evaluations.

Actions to Accomplish:

- 1 FDH verified that the requirements of DOE 5480.20A are met for each support subcontractor. Confirm that this contract element has been met.
- 2 Verify provisions for provisional qualification of support contractor staff, who may support the SNF project, are defined in the HNF-PROs or in support organization group specific procedures.
- 3 Confirm that FDH clearly specified training requirements for support contractor staff at nuclear facilities.
- 4 Verify provisions for provisional qualification are defined in the administrative procedures.
- 5 Verify classroom/exams and OJT/JPM are defined and completed for each certification program operations support element.

Acceptance Evidence:

Training records

Subcontractors training procedures

Support contractors training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

HNF-2039, Rev.0

MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) (DOE 5480.19, Revision C01, Chapter 1, Section C1)

OBJECTIVE NO: 5.0.O.j

Training programs for operations and operations support personnel emphasize compliance with procedures and safety requirements.

CRITERIA NO: 5.0.O.j.2

Training programs for operations support personnel emphasize compliance with procedures and safety requirements.

Actions to Accomplish:

- 1 Interview operations support personnel to determine knowledge of procedure compliance and safety requirements.
- 2 Dyncorp has field verified contractor training programs emphasize compliance with procedures and safety requirements. This includes administrative and operating procedures, and operations support procedures.

Acceptance Evidence:

Interview records

Training records.

Training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [DOE 5500.1B, Paragraph 9 and 10w; DOE 5500.3A, Paragraph 11; DOE 5480.20A, Chapter 1 and IV]

OBJECTIVE NO: 6.5.O.a

Emergency response personnel demonstrate the ability to carry out emergency procedures.

CRITERIA NO: 6.5.O.a.1

Emergency response personnel demonstrate the ability to carry out emergency procedures.

Actions to Accomplish:

- 1 Interview emergency response personnel to determine their knowledge of emergency actions and procedures.
- 2 Review drill records.
- 3 Observe emergency response personnel perform emergency actions to verify satisfactory performance during emergency drills.
- 4 Observe dry runs for emergency drills.

Acceptance Evidence:

Dry run observation records

Interview records

Drill records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [DOE 5500.1B, Paragraph 9.c.(2), and 10w; DOE 5500.3A, Paragraph 11; DOE 5480.20, Chapter 1 and IV]

OBJECTIVE NO: 6.5.O.b

Emergency response personnel demonstrate a working knowledge of facility systems and components related to safety. These personnel also give adequate attention to health, safety and environmental protection issues.

CRITERIA NO: 6.5.O.b.1

Emergency response personnel demonstrate a working knowledge of facility systems and components related to safety.

Actions to Accomplish:

- 1 Interview emergency response personnel to determine their knowledge of safety related facility systems and components.
- 2 Review training records to verify an adequate number of emergency response personnel are trained.
- 3 Observe emergency response personnel activities during drills to verify that an adequate attention to health, safety is occurring.
- 4 Verify emergency response personnel are trained on facility systems related to safety.

Acceptance Evidence:

Interview records

Drill observation records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

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MSA APPRAISAL FORM

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [DOE 5500.1B, Paragraph 9.c.(2), and 10w; DOE 5500.3A, Paragraph 11; DOE 5480.20, Chapter 1 and IV]

OBJECTIVE NO: 6.5.O.b

Emergency response personnel demonstrate a working knowledge of facility systems and components related to safety. These personnel also give adequate attention to health, safety and environmental protection issues.

CRITERIA NO: 6.5.O.b.2

Emergency response personnel also give adequate attention to health, safety and environmental protection issues.

Actions to Accomplish:

- 1 Interview emergency response personnel to verify adequate attention to health, safety, and environmental protection issues are deemed important.
- 2 Observe emergency response personnel activities during drills to verify that an adequate attention to health and safety is occurring.
- 3 Verify emergency response personnel are trained on facility systems related to safety.

Acceptance Evidence:

Interview records

Drill observation records

Drill records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 12.1.2) [DOE 420.1; DOE 5480.20A, Chapter I and IV; DOE 5700.6C, Criteria II; 10CFR830.120]

OBJECTIVE NO: 6.6.O.a

Fire protection support personnel demonstrate a working knowledge of SNF facilities related to safety and an attention to health, safety, and environmental protection issues.

CRITERIA NO: 6.6.O.a.1

Fire protection support personnel demonstrate a working knowledge of SNF facilities related to safety and an attention to health, safety, and environmental protection issues.

Actions to Accomplish:

- 1 Observe fire protection personnel activities during drills to verify that an adequate attention to health and safety is occurring.
- 2 Interview fire protection personnel to verify adequate attention to health, safety, and environmental protection issues are deemed important.
- 3 Verify fire protection personnel are trained on facility systems related to safety.

Acceptance Evidence:

Interview records

Drill records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.1

A clear management structure is established, approved and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. DESH 1.

Actions to Accomplish:

- 1 Interview select subcontractor managers and staff that support the SNF Project to assess their understanding of the SNF Operations management structure and reporting relationships.
- 2 Confirm via contract reviews and interviews that the relationships between contractors and DESH, within the SNF Project, ensure that SNF Project management has control of safety.
- 3 Confirm that the following matrix agreements are in place with FDH subcontractors which define the roles, responsibilities, and reporting relationships relative to SNF project activities:
Fluor Daniel Hanford (training, oversight),
Dyncorp (fleet services),
Lockheed Martin (vent and balance), and
Waste Management Federal Services (laboratory services, environmental services)

Acceptance Evidence:

Documents or letters that define subcontractor reporting relationships

Interview records

Approved and issued matrix agreements

Management structure

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 1, Section 1.3.1, Section 2.0, & Section 2.2.1.2]

OBJECTIVE NO: 9.0.M.d

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

CRITERIA NO: 9.0.M.d.1

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

Actions to Accomplish:

- 1 Verify that policies, directives, procedures, and charters clearly define the responsibility and authority for management of site operational emergencies.

Acceptance Evidence:

Drill critique records

Site emergency management policies, directives and procedures

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,
Part 120]

OBJECTIVE NO: 9.0.O.a

An effective drill program is established. Drills and exercises are conducted and response capability is demonstrated. Operations support personnel demonstrate a knowledge and understanding of the requirements implemented in procedures.

CRITERIA NO: 9.0.O.a.1

An effective drill program is established. Drills and exercises are conducted and response capability is demonstrated. Operations and operations support personnel demonstrate a knowledge and understanding of the requirements implemented in procedures.

Actions to Accomplish:

1. Verify training is performed on emergency and normal procedures for operations and operations support.
2. Verify interface agreements with Dyncorp emergency management services and the civilian emergency management are defined, and that responsibilities are documented and understood.
3. Observe drills and exercises to verify response capability is demonstrated.
4. Verify drill scenarios are developed for the CVD, CSB, K Basins, and cask transportation and shipping activities between the 100K and 200E areas.

Acceptance Evidence:

Training records

Interface agreements

Drill/exercises observation records

Drill scenarios

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RJD 5.2)
[10CFR1910,
Part 120; DOE/RL-94-02, Revision 1 Change 5, Chapter 11 Section 11.1, Paragraph 1]

OBJECTIVE NO: 9.0.O.b

Operations and operations support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 9.0.O.b.3

Drill exercises are conducted and records are maintained.

Actions to Accomplish:

- 1 Interview Dyncorp personnel involved with DESH drills and determine their involvement in the performance and documentation of drill exercises.
- 2 Verify Dyncorp participates in SNF drills that are conducted by DESH.
- 3 Review drill records to verify compliance.

Acceptance Evidence:

Interview records

Drill records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,

Part 120; DOE/RL-94-02, Revision 1, Change 5, Chapter 11, Section 11.1 and 11.2]

OBJECTIVE NO: 9.0.O.c

Operations and operations support personnel demonstrate knowledge of facility systems and components during simulated emergencies.

CRITERIA NO: 9.0.O.c.1

Operations and operations support personnel demonstrate knowledge of facility systems and components during simulated emergencies. Knowledge of emergency procedures and responses are demonstrated.

Process Standards and administrative procedures: AP 2-011, "Shift Routines and Operating Practices"; AP 2-009, "KB Shutdown Tagging"; AP 7-002, "K Basins Work Control"; AP 2-012, "Control of Equipment and System Status"; AP 2-018, "Log Keeping"; AP 2-019, "Shift Turnover".

Actions to Accomplish:

- 1 Interview operations and operations support personnel to determine their knowledge of facility systems and components in relation to emergency situations.
- 2 Observe operations emergency drills performed and critiques of the drills to determine that operations personnel are competent on emergency response.

Acceptance Evidence:

Interview records

Critique records

Drill observation records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____
No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.3.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 4, Section 4.1]
(S/RID 5.5.2) [DOE/RL-94-02, Revision 1, Change 5, Chapter 6, Section 6.1]

OBJECTIVE NO: 9.0.O.f

Provisions are in place to manage the spectrum of operation emergencies including emergencies involving operational aspects and provisions for shifting from one type to another.

CRITERIA NO: 9.0.O.f.1

Reclassify rapidly escalating events and to provide appropriate protective actions and notification fo on site personnel.

Actions to Accomplish:

- 1 Verify that procedures exist for upgrading the classification of esclating emergencies and the they include steps for notifying on site personnel of appropriate protective actions.
- 2 Verify drills are performed that include emergencies involving operational aspects and provisions for shifting from one type to another.
- 3 Verify emergency response guides are developed and updated for all CVD, CSB, and K Basins facilities.

Acceptance Evidence:

Procedures

Drill records

Emergency response guides

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.3) [DOE 5500.3A, Revision C01, Section 11]

OBJECTIVE NO: 9.0.O.g

Provisions are in place to manage the aspects of severe accidents that involve unusual initiating events, multiple failures, or operator errors.

CRITERIA NO: 9.0.O.g.1

Provisions are in place to manage the aspects of severe accidents that involve unusual initiating events, multiple failures, or operator errors.

Actions to Accomplish:

- 1 Verify drills are performed that include emergencies involving operational aspects and provisions for shifting from one type to another.

Acceptance Evidence:

Emergency response guides

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [10CFR1910, Part 120]

OBJECTIVE NO: 9.0.O.i

A program is established and implemented for the planning, scheduling, preparation, conduct, control, critique, and documentation of drills and exercises associated with emergency response.

CRITERIA NO: 9.0.O.i.1

A program is established and implemented for the planning, scheduling, preparation, conduct, control, critique, and documentation of drills and exercises associated with emergency response.

Actions to Accomplish:

1. Verify emergency response procedures are issued for SNF Project facilities and work activities within 100K and 200E areas.
2. Verify emergency plans for the SNF Project are updated and include CVD, CSB, and Cask Transportation.
3. Verify a program is established that implements planning, scheduling, preparation, conduct, control, critique, and documentation of drills and exercises.

Acceptance Evidence:

Emergency response guides

Emergency plans

Drill program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.2) [29CFR1910, Part 120; DOE/RL-94-02, Revision 1, Change 5, Chapter 11, Section 11.1, paragraph 1]; (S/RID 5.10.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 12, Sections 12.0 and 12.1]

OBJECTIVE NO: 9.0.O.j

Emergency drills test response to simulated emergencies for medical emergencies, radiological and hazardous materials monitoring (spills, airborne releases, sampling, etc.), fires, loss of vital equipment, site/facility evacuation, accountability, and security emergencies.

CRITERIA NO: 9.0.O.j.1

Drill program addresses medical emergencies, radiological and hazardous materials monitoring (spills, airborne releases, sampling, etc.), fires, loss of vital equipment, site/facility evacuation, and security emergencies.

Actions to Accomplish:

- 1 Verify drills are performed to test response to site/facility evacuation.
- 2 Verify drills are performed to test response to fires.
- 3 Verify drills are performed to test response to radiological and hazardous materials monitoring (spills, airborne releases, sampling, etc.) emergencies.
- 4 Verify drills are performed to test response to medical emergencies.

Acceptance Evidence:

Drill program records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: DYN, DynCorp Hanford

Date: 1/26/98

S/RID Reference: (S/RID 5.3.2) [29CFR1910, part 38(a)(4); WAC 173-303, Section 350(2), & (3)]

OBJECTIVE NO: 9.0.O.1

Emergency plans, emergency response guides are available for use by emergency response personnel.

CRITERIA NO: 9.0.O.1.1

Emergency plans & emergency response guides are developed and verified and available for use by emergency response personnel.

Actions to Accomplish:

- 1 Verify emergency response guides and plans are developed, approved, and implemented for the fire department, site emergency system, and SNF to assist personnel in responding to anticipated emergencies.

Acceptance Evidence:

Emergency response plans for K Basins, CVD and CSB

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Fluor Daniel Hanford, Inc.

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MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

No _____

Date: 1/26/98

S/RID Reference: (S/RID 1.5 and 2.10) [DOE 5480.19 Revision C01, Section C-3, 6f, 9a, and 9d; 10 CFR 830, Part 120(c)(3)(i); DOE/RW-0333P, Revision 5, Sect. 2.2.7]

OBJECTIVE NO: 12.0.M.e.

Managers and supervisors conduct scheduled facility tours and observe work activities. Management monitors and assesses facility activities for compliance with safety standards and performance.

CRITERIA NO: 12.0.M.e.2

Management monitors and assesses facility activities for compliance with safety standards, safe work practices and productivity.

Actions to Accomplish:

- 1 Confirm by oral interviews that senior management routinely monitor safety performance, safety trends, and work activities for compliance to the safety requirements.
- 2 Confirm that management are measuring compliance to the facility specific S/RID requirements assigned to them on a routine basis and that they have schedules they are utilizing to assure all requirements are reviewed on a periodic basis.
- 3 Confirm via oral interviews that the senior management team are cognizant of the mandatory ES&H requirements (approved S/RIDs) including their status of implementation and the status of deficiencies.

Acceptance Evidence:

Field interview records

Performance charts for productivity and compliance items

S/RID compliance tables and summary status charts

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1]

OBJECTIVE NO: 15.0.S.a

The fire protection organization is established and functioning to support operations. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. It is staffed with qualified personnel.

CRITERIA NO: 15.0.S.a.1

The fire protection organization is established and functioning to support operations.

Actions to Accomplish:

- 1 Verify fire maintenance personnel level of knowledge in the following areas:
Facility layout,
Facility fire protection systems, and
Facility fire alarm systems
- 2 Verify FDH/DESH matrix agreements are in place that define the roles, responsibilities, and reporting relationships. Confirm functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

Acceptance Evidence:

Drill records

Training records

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE 5400.1, Chapter III, Paragraph 2]

OBJECTIVE NO: 15.8.S.a

The environmental protection organization is established and functioning to support the operations organization. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. They are staffed with qualified personnel.

CRITERIA NO: 15.8.S.a.1

The Environmental Safety and Permitting group is established and functioning to support the operations organization.

Actions to Accomplish:

- 1 Confirm via field interviews that Environmental Safety and Permitting staff demonstrate a working knowledge of SNF facilities related to safety and environmental compliance.
- 2 Verify that training requirements for the SNF Environmental Safety and Permitting organization is formally defined, tracked and current for all existing management and technical staff positions.

Acceptance Evidence:

FDH policies, procedures, and requirements document functions, assignments, and responsibilities in the area of environmental compliance

Interview records (environmental policies and permitting)

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.20A, Chapter I]

OBJECTIVE NO: 5.0.O.f

The qualification program for operations and operations support personnel includes requirements for successful completion of written, oral, and operational evaluations. Provisions for a provisional qualification program are specified.

CRITERIA NO: 5.0.O.f.2

The training program for FDH, DYN, WMX, and LMH personnel includes requirements for successful completion of written, oral, or personnel evaluations.

Actions to Accomplish:

- 1 FDH verified that the requirements of DOE 5480.20A are met for each support subcontractor. Confirm that this contract element has been met.
- 2 Verify provisions for provisional qualification are defined in the administrative procedures.
- 3 Verify provisions for provisional qualification of support contractor staff, who may support the SNF project, are defined in the HNF-PROs or in support organization group specific procedures.
- 4 Confirm that FDH clearly specified training requirements for support contractor staff at nuclear facilities.

Acceptance Evidence:

Subcontractors training procedures

Support contractors training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) (DOE 5480.19, Revision C01, Chapter 1, Section C1)

OBJECTIVE NO: 5.0.O.j

Training programs for operations and operations support personnel emphasize compliance with procedures and safety requirements.

CRITERIA NO: 5.0.O.j.2

Training programs for operations support personnel emphasize compliance with procedures and safety requirements.

Actions to Accomplish:

- 1 Confirm FDH contracted general training for the Hanford Site.
- 2 Confirm that FDH has field verified that contractor training programs that emphasize compliance with procedures and safety requirements. This includes administrative and operating procedures, and operations support procedures.

Acceptance Evidence:

Interview records

Training records

Training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.1

A clear management structure is established, approved and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. DESH 1.

Actions to Accomplish:

- 1 Interview select subcontractor managers and staff that support the SNF Project to assess their understanding of the SNF Operations management structure and reporting relationships.
- 2 Confirm via contract reviews and interviews that the relationships between contractors and DESH, within the SNF Project, ensure that SNF Project management has control of safety.
- 3 Interview select FDH SNF Project Direction managers and staff to assess their understanding of the SNF Operations management structure and reporting relationships.
- 4 Confirm that the following matrix agreements are in place with FDH subcontractors which define the roles, responsibilities, and reporting relationships relative to SNF project activities:
Fluor Daniel Hanford (training, oversight),
Dyncorp (fleet services),
Lockheed Martin (vent and balance), and
Waste Management Federal Services (laboratory services, environmental services)

Acceptance Evidence:

Contract documents which define formally the relationship between the FDH program direction organization and DESH.

Contract pages that define FDH and DESH reporting relationships

Interview records

Approved and issued matrix agreements

Management structure

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 5.1) [DOE/RL-94-02, Revision 1, Change 5, Chapter 1, Section 1.3.1, Section 2.0, & Section 2.2.1.2]

OBJECTIVE NO: 9.0.M.d

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

CRITERIA NO: 9.0.M.d.1

The responsibility and authority of management for operational emergencies is clearly defined and assigned.

Actions to Accomplish:

- 1 Review recent off normal or unusual occurrence events and their record files to determine if operating supervision made the correct notifications using the proper protocol.
- 2 Verify that drills are routinely held and clearly demonstrate that all levels of management are knowledgeable regarding their responsibilities and authorities during operational emergencies and demonstrate the proper authority and responsibility.
- 3 Confirm that on call lists are clearly posted or available for all shift management so they know who to contact. Confirm that these lists are maintained current with respect to people and work and home phone numbers/pagers/cellular phone numbers.
- 4 Confirm that management at the SNF Project operations organization, from top levels through first line supervision, have had some level of training regarding their roles and responsibilities during operational emergencies. This will include, but not be limited to, notification requirements (who notifies, when and to whom) and authority to implement immediate actions.
- 5 Verify that policies, directives, procedures, and charters clearly define the responsibility and assign authority for management of operational emergencies.

Acceptance Evidence:

List of off normal and UO event reports reviewed

On call lists

Drill schedule and drill records for last 6 months

SNF policies, directives and procedures

Results:

Record Review:

Interviews:

MSA APPRAISAL FORM

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,
Part.120]

OBJECTIVE NO: 9.0.O.a

An effective drill program is established. Drills and exercises are conducted and response capability is demonstrated. Operations support personnel demonstrate a knowledge and understanding of the requirements implemented in procedures.

CRITERIA NO: 9.0.O.a.2

FDH established an effective drill program. FDH participates in drills and exercises. FDH support personnel demonstrate a knowledge and understanding of the requirements implemented in procedures.

Actions to Accomplish:

- 1 Drills and exercises are conducted and response capability is demonstrated.
- 2 Interfaces with Dyncorp Emergency management services and the civilian emergency management is defined. Responsibilities are documented and understood.

Acceptance Evidence:

Drill critique records

Drill records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,
Part 120; DOE/RL-94-02, Revision 1 Change 5, Chapter 11 Section 11.1, Paragraph 1]

OBJECTIVE NO: 9.0.O.b

Operations and operations support personnel demonstrate the ability to carry out normal and emergency procedures under their cognizance.

CRITERIA NO: 9.0.O.b.3

Drill exercises are conducted and records are maintained.

Actions to Accomplish:

- 1 Interview FDH personnel involved with DESH drills and determine their involvement in the performance and documentation of drill exercises.
- 2 Verify FDH records exist that document FDH participation, overview, and lessons learned.
- 3 Verify FDH participates in SNF drills that are conducted by DESH.

Acceptance Evidence:

Drill program

Interview records

Drill records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 4.3.7)[DOE 5480.20, Revision 0, Chapter 1, Paragraph 7.d.](S/RID 5.2)
[10CFR1910,

Part 120; DOE/RL-94-02, Revision 1, Change 5, Chapter 11, Section 11.1 and 11.2]

OBJECTIVE NO: 9.0.O.c

Operations and operations support personnel demonstrate knowledge of facility systems and components during simulated emergencies.

CRITERIA NO: 9.0.O.c.2

FDH support personnel demonstrate knowledge of facility systems and components during simulated emergencies. Knowledge of emergency procedures and responses are demonstrated.

Actions to Accomplish:

- 1 FDH personnel are interviewed for knowledge of emergency procedures and questioned as to their responsibilities.
- 2 DESH emergency drills are performed and critiques of the drills are performed. FDH verifies that FDH support personnel demonstrate facility knowledge and demonstrate proper response.

Acceptance Evidence:

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: FDH, Fluor Daniel Hanford Inc.

Date: 1/26/98

S/RID Reference: (S/RID 5.3.2) [29CFR1910, part 38(a)(4); WAC 173-303, Section 350(2), & (3)]

OBJECTIVE NO: 9.0.O.1

Emergency plans, emergency response guides are available for use by emergency response personnel.

CRITERIA NO: 9.0.O.1.1

Emergency plans & emergency response guides are developed and verified and available for use by emergency response personnel.

Actions to Accomplish:

- 1 Verify emergency response guides and plans are developed, approved, and implemented for the fire department, site emergency system, and SNF to assist personnel in responding to anticipated emergencies.

Acceptance Evidence:

Emergency response guide for K Basins, CVD, and CSB

Emergency response records

Emergency response plans for K Basins, CVD and CSB

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

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Lockheed Martin Hanford

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MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: LMH, Lockheed Martin Hanford

Date: 1/26/98

S/RID Reference:

OBJECTIVE NO: 15.5.O.a

The Ventilation and Balance Support organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 15.5.O.a.1

The Ventilation and Balance Support organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

Actions to Accomplish:

- 1 Ventilation and Balance Support personnel have the following level of knowledge related to facility operations; Status change authorization and reporting; Equipment and System Alignment; Equipment Lock and Tag; Work authorization and documentation; Equipment Post maintenance testing and return to service; and Alarm status.
- 2 Verify that personnel demonstrate an understanding of SNF policies and procedures knowledge as related to SNF project support.
- 3 Verify matrix agreements are in place that define the roles, responsibilities, and reporting relationships.
- 4 Confirm that Ventilation and Balance staff is qualified and standards are traceable to NTBS.

Acceptance Evidence:

Training records

Matrix agreements

Position descriptions

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

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MSA APPRAISAL FORM

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: LMH, Lockheed Martin Hanford

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.20A, Chapter I]

OBJECTIVE NO: 5.0.O.f

The qualification program for operations and operations support personnel includes requirements for successful completion of written, oral, and operational evaluations. Provisions for a provisional qualification program are specified.

CRITERIA NO: 5.0.O.f.2

The training program for FDH, DYN, WMX, and LMH personnel includes requirements for successful completion of written, oral, or personnel evaluations.

Actions to Accomplish:

- 1 Verify provisions for provisional qualification are defined in the administrative procedures.
- 2 Verify classroom/exams and OJT/JPM are defined and completed for each certification program operations support element.

Acceptance Evidence:

Support contractors training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: LMH, Lockheed Martin Hanford

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) (DOE 5480.19, Revision C01, Chapter 1, Section C1)

OBJECTIVE NO: 5.0.O.j

Training programs for operations and operations support personnel emphasize compliance with procedures and safety requirements.

CRITERIA NO: 5.0.O.j.2

Training programs for operations support personnel emphasize compliance with procedures and safety requirements.

Actions to Accomplish:

- 1 LMH has field verified that training programs emphasize compliance with procedures and safety requirements. This includes administrative and operating procedures, and operations support procedures.

Acceptance Evidence:

Interview records

Training records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: LMH, Lockheed Martin Hanford

Date: 1/26/98

S/RID Reference: (S/RID 2.1) [DOE/RW-0333P, Revision 5, Section 1.2.1]

OBJECTIVE NO: 8.1.M.a

A clear management structure is established, approved, and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. The defined relationships ensure line management responsibility for and control of safety. This structure is implemented and is understood by operations and operations support personnel.

CRITERIA NO: 8.1.M.a.1

A clear management structure is established, approved and in place. Matrix agreements clearly define roles, responsibilities, and reporting relationships. DESH 1.

Actions to Accomplish:

- 1 Interview select subcontractor managers and staff that support the SNF Project to assess their understanding of the SNF Operations management structure and reporting relationships.
- 2 Confirm via contract reviews and interviews that the relationships between contractors and DESH, within the SNF Project, ensure that SNF Project management has control of safety.
- 3 Confirm that the following matrix agreements are in place with FDH subcontractors which define the roles, responsibilities, and reporting relationships relative to SNF project activities:
Fluor Daniel Hanford (training, oversight),
Dyncorp (fleet services),
Lockheed Martin (vent and balance), and
Waste Management Federal Services (laboratory services, environmental services)

Acceptance Evidence:

Interview records

Approved and issued matrix agreements

Management structure

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

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Date:

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Waste Management Federal Services

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MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: WMX, Waste Management Federal Services

No _____

Date: 1/26/98

S/RID Reference: (S/RID 13.4)[Title 49 CFR, Parts 171-180; DOE 460.1]

OBJECTIVE NO: 1.0.S.k

A Safety Analysis Report Packaging (SARP) program is implemented to assure and measure compliance with applicable State and Federal regulations, including those of DOT, OSHA, and EPA.

CRITERIA NO: 1.0.S.k.1

A SARP program is implemented to assure and measure compliance with applicable State and Federal regulation.

Actions to Accomplish:

- 1 Confirm that the environmental safety and health training and qualification programs are in place for personnel in the WMX organization that support the SNF Project.
- 2 Confirm that emergency preparedness actions are identified, in place, and are in both WMX and DESH procedures.
- 3 Confirm that the SARP is implemented.
- 4 Confirm that the SER and SARP are complete for Cask Transportation.

Acceptance Evidence:

Interview records

SER

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: WMX, Waste Management Federal Services

No _____

Date: 1/26/98

S/RID Reference:

OBJECTIVE NO: 15.4.O.a

The laboratory support organization is ready to support Spent Nuclear Fuel requirements. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented.

CRITERIA NO: 15.4.O.a.1

The laboratory support organization is established and functioning.

Actions to Accomplish:

- 1 Verify that laboratory personnel demonstrate the following: Laboratory policies and procedures knowledge as related to SNF project samples; and Ability to perform and support SNF operations sampling.
- 2 Confirm that matrix agreements are in place that define the roles, responsibilities, and reporting relationships between DESH and WMX.

Acceptance Evidence:

Laboratory support agreement

Matrix agreements (Memorandum of understanding)

Interview records

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

No _____

Functional Area: WMX, Waste Management Federal Services

Date: 1/26/98

S/RID Reference: (S/RID 10.1) [DOE 4330.4B, Revision 0, Preamble, Section 10]

OBJECTIVE NO: 15.4.O.b

Laboratory measuring and test equipment (M&TE) used to ensure the proper operation of safety systems is identified, available, and calibrated. The M&TE support organization is established and functioning. Functions, assignments, responsibilities, and reporting relationships are clearly defined, understood, and effectively implemented. The organization is staffed with qualified personnel.

CRITERIA NO: 15.4.O.b.1

Laboratory M&TE used to ensure the proper operation of safety systems is identified, available, and calibrated. The M&TE support organization is established and functioning.

Actions to Accomplish:

- 1 Interview laboratory personnel to verify level of knowledge related to the Quality Assurance Program Plan, instrument calibration requirements, and sampling analysis techniques.
- 2 Confirm that a quality assurance program plan is written for lab qualification and sample analysis. A quality assurance program plan is prepared specifically to support the SNF project.
- 3 Verify that sampling analysis and testing techniques employed at the laboratory meet DESH requirements.
- 4 Confirm that matrix agreements are in place that define the roles, responsibilities, and reporting relationships for calibration of laboratory equipment.
- 5 Confirm that standards used in the calibration of equipment that support DESH are traceable to NBS.

Acceptance Evidence:

Quality Assurance Program Plan

Interview records

Laboratory qualification records

Matrix agreements

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

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MSA APPRAISAL FORM

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: WMX, Waste Management Federal Services

No _____

Date: 1/26/98

S/RID Reference: (S/RID 4.1.2) [DOE 5480.20A, Chapter I]

OBJECTIVE NO: 5.0.O.f

The qualification program for operations and operations support personnel includes requirements for successful completion of written, oral, and operational evaluations. Provisions for a provisional qualification program are specified.

CRITERIA NO: 5.0.O.f.2

The training program for FDH, DYN, WMX, and LMH personnel includes requirements for successful completion of written, oral, or personnel evaluations.

Actions to Accomplish:

1. Verify provisions for provisional qualification are defined in the administrative procedures.
2. Verify classroom/exams and OJT/JPM are defined and completed for each certification program operations support element.

Acceptance Evidence:

Subcontractors training procedures

Support contractors training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date:

MSA APPRAISAL FORM

Criteria Met: Yes _____

Functional Area: WMX, Waste Management Federal Services

No _____

Date: 1/26/98

S/RID Reference: (S/RID 1.1.1) (DOE 5480.19, Revision C01, Chapter 1, Section C1)

OBJECTIVE NO: 5.0.O.j

Training programs for operations and operations support personnel emphasize compliance with procedures and safety requirements.

CRITERIA NO: 5.0.O.j.2

Training programs for operations support personnel emphasize compliance with procedures and safety requirements.

Actions to Accomplish:

- 1 WMX has field verified that training programs emphasize compliance with procedures and safety requirements. This includes administrative and operating procedures, and operations support procedures.

Acceptance Evidence:

Interview records

Training records

Training program

Results:

Record Review:

Interviews:

Shift Performance:

Conclusion

Issues:

Inspected By:

Approved By:

Date: