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ENGINEERING DATA TRANSMITTAL

Page 1 of 1

1. EDT 630201

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17. SIGNATURE/DISTRIBUTION (See Approval Designator for required signatures)											
(G) Reason	(H) Disp.	(J) Name	(K) Signature	(L) Date	(M) MSIN	(G) Reason	(H) Disp.	(J) Name	(K) Signature	(L) Date	(M) MSIN
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18. <i>[Signature]</i> D.P. Lund Signature of EDT Originator Date 8/30/00		19. N/A Authorized Representative for Receiving Organization Date		20. <i>[Signature]</i> R.W. Root Design Authority/Cognizant Manager Date 8/30/00		21. DOE APPROVAL (if required) Ctrl No. _____ ☐ Approved ☐ Approved w/comments ☐ Disapproved w/comments	
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Double Shell Tanks and Waste Feed Delivery Project Management Quality Affecting Procedures Management Assessment Plan

CH2M HILL Hanford Group, Inc.
Richland, WA 99352
U.S. Department of Energy Contract DE-AC06-99RL14047

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Abstract: The purpose of the Double Shell Tanks (DST) and Waste Feed Delivery (WFD) Management Assessment Plan is to define how management assessments within DST & WFD will be conducted. The plan as written currently includes only WFD Project assessment topics. Other DST & WFD group assessment topics will be added in future revisions.

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Release Approval
Date 9/25/00

Approved For Public Release

Double Shell Tanks and Waste Feed Delivery Project Management Quality Affecting Procedures Management Assessment Plan

Purpose:

10 CFR 830.120, *Quality Assurance Requirements* and DOE O 414.1A, *Quality Assurance* require (1) managers to assess their processes and (2) problems that hinder achievement of objectives be identified and corrected.

The purpose of the Double Shell Tanks and Waste Feed Delivery (DST/WFD) Project Management Assessment Plan is to define how management assessments of sub-projects within DST/WFD will be conducted. This plan identifies the management assessment program scheduling, process, performance criteria, roles and responsibilities, training, reporting, follow-up and verification activities, and records to be retained.

The primary goal of this program is to encourage managers to spend time with their employees (or subcontractors) during work execution, making them visible and accessible to personnel performing work. Time spent in this manner allows managers to observe work practices and barriers to work performance. It also makes managers accessible to personnel performing work who can provide valuable suggestions for work process improvement.

Therefore, the primary purpose for performing management assessments on sub-projects within DST/WFD is to identify management systems and work processes affecting work performance and make improvements to ensure the achievement of DST/WFD Project objectives. Observing work and conducting interviews should take precedence over the examination of relevant documentation. Management assessments should look at how well a management system or work process as a whole, or how internal, lower-level management subsystems or work processes or portions of management subsystems or work processes allow customer requirements and expectations to be met.

Documented proof of project compliance with project quality affecting procedures is an important secondary benefit resulting from the performance of management assessments. *Subcontractor support considered to be a government furnished service (such as Fluor Daniel Hanford, or Fluor Federal Services) will have compliance assessments performed by the Department of Energy.* Therefore, any management assessments performed on government furnished services should focus upon work process improvement. Management assessments performed on subcontractors not considered to be a government furnished service may have a broader scope than process improvement since noncompliance with Quality affecting procedures may have an adverse effect upon the project end products and goal achievement.

Roles and Responsibilities:

DST/WFD Project Director:

1. Develops an annual assessment schedule describing the project specific assessment topic, project and assessment timing for performance in accordance with HNF-IP-0842, Volume I, Section 2.10 attachment A. The schedule can be changed or augmented at management's discretion based on current conditions, needs and priorities.

2. Reviews assessment results to:
 - Determine the effectiveness of management or work processes
 - Ensure nonconformance and noncompliance resolution
 - Perform trend analysis
 - Ensure corrective actions are processed in accordance with HNF-IP-0842, Volume I, Section 2.4, "Corrective Action Management."
 - Ensure Lessons Learned are generated in accordance with HNF-IP-0842, Volume II, Section 4.6.3, "Lessons Learned Program Procedure."
3. Publishes a quarterly report to the Senior Vice President and Project Manager of DST/WFD, with copies to the Executive Vice President and Deputy General Manager and Quality Assurance Director by the twentyfifth of the month following the end of the quarter for those assessments identified in the annual schedule.
4. Routes a copy of assessment reports to the Price Anderson Amendment Act Manager in accordance with HNF-IP-0842, Volume I, Section 1.5, "Price Anderson Amendment Act Evaluation and Reporting."

Individual managers:

1. Complete management assessments in accordance with the assessment schedule or as directed by the DST/WFD Project Manager.
2. Immediately act on any safety concerns observed during assessments.
3. Document assessment results and turn in a report to DST/WFD Project management.
4. Ensure entry of deficiencies into the Corrective Action Management System in accordance with HNF-IP-0842, Volume I, Section 2.4, "Corrective Action Management."
5. Resolve non-conformances and non-compliances and perform corrective action follow-up and verification to close corrective actions and.
6. Develop Lessons Learned as necessary in accordance with HNF-IP-0842, Volume II, Section 4.6.3, "Lessons Learned Program Procedure."

Process:

The annual assessment schedule and management assessments shall be performed in accordance with HNF-IP-0842, Volume I, Section 2.10.

Personnel qualifications and training:

Completion of management assessment training (course #350315) is encouraged, but not required.

Performance Criteria and Reporting:

Attachment 1 contains a sample assessment report format that should be used to document management assessments. Depending upon the assessment topic, other forms in HNF-IP-0842, Volume I, Section 2.10, attachment F may be substituted in place of this form.

Performance criteria are found in those project procedures judged to be quality affecting. Attachment 2 contains a list of quality affecting procedures along with key requirements that will form the topic of the assessments.

Although a schedule has been developed and a minimum number of management assessments assigned to individual managers, managers may request assessment topic substitutions and perform assessments on other topics provided DST/WFD Project Director approval is obtained.

Follow-up and verification activities:

Deficiencies noted during management assessments must be entered into the Corrective Action Management (CAM) System in accordance with HNF-IP-0842, Volume I, Section 2.4, "Corrective Action Management." Assessments are due the last day of the month in which they are scheduled.

Managers are responsible to follow-up on the implementation of recommended corrective actions to ensure that deficiencies have been corrected and CAM corrective actions are closed. Managers are responsible to provide corrective action implementation status at least 2 weeks prior to development of the quarterly management assessment report so the status can be included in the report.

Managers are responsible to develop Lessons Learned as necessary in accordance with HNF-IP-0842, Volume II, Section 4.6.3, "Lessons Learned Program Procedure."

Records to be retained:

DST/WFD Project management shall retain the original management assessments reports and quarterly management assessment reports. These documents shall be retained until the cycle is completed and new assessment reports and quarterly management assessment reports covering the same assessments are performed.

Schedule:

Managers shall perform assessments in accordance with the annual assessment schedule. The assessment schedule will be distributed annually, with updates occurring per management discretion. Deviation from the assessment schedule will be allowed provided the approval of the DST/WFD Project Director is obtained.

Attachment 2 provides a list of assessment topics based upon the project procedures judged to be quality affecting and will form the basis for DST/WFD Project management assessments. The list includes: the priority; procedure title; procedure number; item paragraph and title; the requirement or requirements judged to be critical to successful compliance with the procedure; and the assessment topic. The generation of the DST/WFD Project annual assessment schedule will be accomplished by assigning individual manager names and completion dates to each assessment topic. Initially, assessments will be scheduled in the order of their importance.

To encourage participation in this program, management assessment topics and scope were chosen with the goal that they should require no more than 1 day for their execution. In some cases, this goal may not have been achieved, and more time may be required. Assessments which take more than 1 day to complete, should be identified to the DST/WFD Project management so their scope can be further divided. *Note: when deficiencies are noted, it is expected that additional effort may be required to identify, initiate, and follow-up/monitor corrective actions and ensure proper action item closure.*

Attachment 1
Management Assessment Report Format

Name:		Date:	Assessment Location/Project:
REQUIREMENT SOURCE	REQUIREMENT	OBJECTIVE EVIDENCE EXAMINED (Documents reviewed, personnel interviews, etc.)	

Assessment Results: (Discuss observations, issues discovered, deficiencies, and noteworthy practices. Please be sure to discuss any condition adverse to quality in sufficient detail to enable corrective action to be taken.)

Assessment Conclusions: (Discuss conclusions regarding performance/effectiveness/areas of improvement or compliance.)

Assessor _____

Date _____

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
High	Construction Program	HNF-IP-0842, XIII, 1.1, rev.0	6.1.12.3	Express Need in terms of High-Level Functional Requirements	Construction activity need and the associated functional requirements may change over time as a result of evolving knowledge. As construction activity progresses, periodic reassessment of the validity of the functional requirements should be performed. If the confirmatory reassessment shows that functional requirements have changed then the technical scope of the construction activity may require revision.	Work Control
			8.3.7	Construction Inspection and Testing	The CHG project manager is responsible for preparation and approval of the construction inspection plan. The construction inspection plan should identify and address hold points, acceptance criteria, and evaluation of inspection and test results. For formal construction projects, CHG (or other CHG assigned performer) should integrate the ORP approved acceptance inspection plan (including hold and witness points) into the construction inspection plan to assure that all acceptance inspection plan activities are performed, when required, during the construction process.	Work Control
			8.4.1	Planning and Organizing Transition to Operation	The CHG project manager shall work with the operations organization to ensure an adequate start-up organization with clearly defined roles and responsibilities is developed. The organizational structure (with roles, responsibilities, authorities, and interfaces) should be documented in element 3 of the project execution plan, and should be consistent with the Quality Assurance project plan.	Work Control
			8.4.2.6	Develop Test Procedures	Part of the design effort includes providing acceptance criteria and test requirements. These criteria and requirements should be identified for each "functional system" as a prerequisite to developing each test procedure. Multiple test procedures (e.g., acceptance test procedure, operational test procedure) or a single test procedure may be developed for each "functional system".	Work Control
			8.4.2.8	Operational Testing	CHG (or other CHG assigned performer) is responsible to assure that required operational testing activities are defined, planned, scheduled, staffed, performed, and documented. They are also responsible to assure that clear jurisdictional control is maintained throughout the start-up testing process (including operational testing and transfer to the permanent operating organization).	Work Control
High	Buyer's Technical Representative Assignment and Duties	HNF-IP-0842, X, 3.14, rev.0	4.3.3	Buyer's Technical Representative Authority/Limitations	Buyer's Technical Representative will coordinate and record the completion of the internal review and approval process of all technical deliverables, drawings, specifications, quality assurance plans, safety documentation, etc.	Procurement
			4.4.2.c	Buyer's Technical Representative Responsibilities	Buyer's Technical Representative will request Safety support in the evaluation of potential job hazards and decision making process for inclusion of ISMS requirements in the contract. See RPP-PRO-078, RPP-PRO-079, and the ISMS Clause Flow Down Prescreening Questions (A-6002-699).	Procurement

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			4.4.2.d		Buyer's Technical Representative will ensure Quality Assurance requirements are flowed down to the subcontractor.	Procurement
			4.4.7.a		The BTR ensures the subcontractor performs safely in accordance with the safety requirements as defined in the statement of work and other technical documents contained in the contract.	Procurement
			4.4.7.b		The BTR monitors the subcontractor's performance to ensure they are conducting work efficiently and pursuant to the terms and conditions of the contract, including Special Procurement On-Site Provisions (SP-5A or SP-5B).	Procurement
			4.4.7.c		For contract work performed on the Hanford site, the BTR ensures the subcontractor conducts work in accordance with CHG procedures and regulatory requirements imposed on the subcontractor through the terms and conditions of the contract.	Procurement
			4.4.7.d		Ensures subcontractor Quality Assurance oversight is provided as required.	Procurement
			4.4.11.c		The BTR retains documentation, as required, to support project and facility record requirements and to adequately perform the duties of the BTR function, including, but not limited to, the following: <ul style="list-style-type: none"> • A copy of the BTR designation letter • All correspondence involving the technical issues • Meeting/discussion records on technical matters, technical reports, records of performance, logs, diaries or notebooks • A copy of contractual documents such as the basic contract, project specifications, schedules • A copy of all approved changes/modifications to the contract. 	Procurement
High	Control of Purchased Items and Services	RPP-PRO-268, rev. 1	2.1.5b	Quality Level 1 & 2 Procurement Contracts	The critical characteristics and acceptance criteria described on the material request or contract requisition shall provide assurance that the item or service received is the item or service specified, and shall prescribe any in-process (source) or receipt inspection verification criteria required.	Procurement
			2.1.6e	Quality Level 1 & 2 Procurement Contracts	For engineered or fabricated structures, systems, and components, a post-award/pre-fabrication conference shall be conducted with the vendor wherein the buyer or buyer's technical representative stipulates the expectations for the procurement contract and describes the intended use of the structures, systems, and components.	Procurement

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			2.8.1e	Acceptance of Items or Services	A Quality Assurance inspection plan (A-6700-119.1) shall be used for acceptance (e.g., source, receiving, post-installation) of Quality Level 1, 2, and 3 items. A Quality Assurance inspection plan may be used for acceptance of Quality Level 1, 2, and 3 services, if appropriate. The Quality Assurance Inspection Plan shall contain the minimum attributes required to be verified at either in-process or receipt inspection, or both, to ensure the inspected item meets design specifications.	Procurement
			2.8.4g	Source Verification	Source inspection shall verify, by objective evidence against the conformance verification criteria in the approved Quality Assurance inspection plan, the item or service conforms to the requirements set forth in the procurement documents. Source inspection shall be performed in accordance with established procedures. • The Quality Assurance inspection plan shall identify the conformance verification criteria (i.e., critical characteristics and acceptance criteria). Conformance verification criteria documented in the Quality Assurance inspection plan are the minimum criteria and shall not preclude the inspection of other attributes or characteristics identified during the inspection. • Conformance verification criteria may include, but are not limited to, proper configuration, identification, and dimensional and physical characteristics.	Procurement
			2.8.7a	Receiving Inspection	Receiving inspection shall be performed in accordance with established procedures.	Procurement
			2.8.7b		Receiving inspection shall verify, by objective evidence against the conformance verification criteria in the approved Quality Assurance inspection plan, the item or service conforms to the requirements set forth in the procurement documents. The conformance verification criteria may include, but are not limited to, proper configuration, identification, dimensional and physical characteristics, documentation requirements, freedom from shipping damage, and cleanliness. These are the minimum critical characteristics and acceptance criteria, and shall not preclude the inspection of other attributes or characteristics identified during receiving inspection.	Procurement
			2.8.7c		Items determined to be nonconforming during receiving inspection shall be reported in accordance with RPP-PRO-298.	Procurement

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
High	QA Program Description for the Tank Farm Contractor	RPP-MP-600, rev.0	2.2	Quality System	<p>CHG shall establish quality assurance program implementing documents applicable to the respective scope of work that translates client requirements into work processes. The following applies to the implementing documentation:</p> <ul style="list-style-type: none"> • Each project shall have a Quality Assurance Project Plan (QAPP) that provides for top-down implementation of this QAPD and the QAM. • Within each project, the QAPP shall be designed to accommodate the organizational structure and the nature of the work so that management processes necessary to implement the quality assurance program are carried out efficiently and effectively as they apply to the mission and scope of work. • The QAPP shall also describe external organizational interfaces and internal interfaces affecting quality within the facility or project. An interface exists when one organization prescribes an activity or requirement to, or shares in the accomplishment of an activity or requirement with another organization. 	Work Control
			3.2	Contract and Statement of Work Review	<p>Statements of Work or other contractual documents, including changes shall be subject to required reviews for adequacy. The specific review process shall be determined by the magnitude and complexity of the scope of work and the Design Authority, facility or project management review requirements. The extent of reviews shall be based on the scope, complexity and potential safety and programmatic impact of the SOWs or contractual requirements. The review process shall be defined in appropriate implementing procedures that define the responsibilities, authorities, and parameters for reviewing contractual documentation.</p>	Procurement
			4.2	Design Control	<p>The quality assurance program requires the organization to selectively describe requirements to a level of detail commensurate with the magnitude, cost, complexity, hazards, and phase of a design (conceptual design to final design, including as-building). Design controls shall be defined to ensure that design input and output is defined, controlled, and verified. Applicable design inputs shall be appropriately specified on a timely basis and correctly translated into design documents. Items and processes shall be designed using sound engineering/scientific principles and appropriate standards. Design work, including changes, shall incorporate applicable requirements and design bases. Design interfaces shall be identified and controlled throughout the design phase including as-building. Design adequacy shall be verified or validated by persons other than those who designed the item or component. Verification and validation work shall be completed before approval and implementation of the design. Design changes, including field changes, shall be governed by control measures commensurate with those applied to the original design.</p>	Work Control

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			5.2	Document Control	The CHG quality assurance program shall require the establishment, implementation and maintenance of a process for document control to satisfy internal expectations and contractual requirements. The CHG quality assurance program shall require that the preparation, issue, and change of documents are controlled to ensure that correct documents are being used for work at all times. The program shall also ensure that such documents, including changes thereto, are reviewed for adequacy and approved for release by authorized personnel.	Document Control
			10.2	Inspection and Testing	The quality assurance program requires the establishment, implementation and maintenance of a process for detecting and preventing quality problems by ensuring that products, supplies, and services are inspected, tested, and monitored at appropriate stages of the product life cycle. Inspection and testing activities shall be planned to include the characteristics (accept/reject criteria) to be inspected, tested or otherwise verified, and the methods for performance of inspection, testing and verification shall be clearly specified. Results of inspections and tests shall be appropriate to ensure traceable and retrievable data. Inspection, testing and other oversight verification shall be conducted by individuals not directly responsible for the development of the products or the performance of the work activities.	Work Control
			13.2	Controlling and Reporting non-Conformances	The quality assurance program requires the establishment, implementation and maintenance of a process for controlling nonconformances that allows for identification, documentation, evaluation, and control based on a graded approach. The process shall include disposition of the nonconforming items, material, equipment, or components based on their importance and end use. Controls shall include the notification of nonconforming conditions to affected organizations.	Work Control
			18.2	Employee Training and Development	The quality assurance program shall require that personnel be trained and qualified to ensure they are capable of performing their assigned work. The quality assurance program shall also require personnel be provided continuing training, as necessary, to ensure that job proficiency is maintained throughout their assigned task. This includes the establishment, implementation and maintenance of a process for ensuring that managers and employees, including subcontractors, are indoctrinated, trained, qualified and certified, as necessary and commensurate with the scope, complexity, and nature of the work to be conducted.	Work Control

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
Med.	Schedule Development	RPP-PRO-519, rev.0	2.0	Requirements	<p>To promote site schedule development, integration and monthly performance reporting, baseline schedules must meet the following general requirements:</p> <ul style="list-style-type: none"> • Organize and align work using a specified work breakdown structure • Use the product-oriented structure of the Hanford Site technical baseline • Exhibit a clear and complete definition of the work scope • Display logic ties within the project and logic ties/interfaces with other projects • Show traceability to Hanford Strategic Plan (HSP) end point targets • Identify milestones according to FDH requirements (see paragraph 2.6.1) • Maintain milestone data in the Central Milestone Module (CMM) • Support site wide performance measurement • Develop resource-loaded detail schedules • Apply management contractor (FDH) standard schedule requirements • Maintain the schedule baseline using the change control process. Refer to HNF-PRO-533. 	Work Control

Attachment 2 – List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
Med.	Statement of Work	HNF-IP-0842, X, 3.24, rev 0	4.0	Requirements	<ul style="list-style-type: none"> • All statements of work and, if any, changes are processed through the assigned buyer's technical representative to the buyer. • The statement of work outlines the technical performance requirements of the contract by which the scope of work to be accomplished by the subcontractor or supplier is identified. • The statement of work, including the qualification requirements are to be prepared when the scope of work cannot be adequately or completely described in the material request, purchase requisition, or contract requisition. • The statement of work describes the specific requirements in sufficient detail to form the basis for the performance obligation and the performance evaluation of the contractor. • The statement of work must include applicable flowdown of appropriate prime contract requirements to ensure that CHG meets its obligations.. • The statement of work must satisfy the basic core functions of the RPP-MP-003, "Integrated Environment, Safety and Health Management System Description for the Tank Farm Contractor." This includes identifying hazards and applicable Environment, Safety and Health requirements based on the applicable Authorization Envelope, and requiring that appropriate controls are implemented by the subcontractor to mitigate hazards before performing the work. • The statement of work shall reflect the combined input from both the technical requestor and appropriate Environmental, Safety, Health, and Quality personnel, to ensure that hazards and Environmental, Safety, Health, and Quality requirements are appropriately identified, including monitoring of subcontractors. • Once it becomes part of a solicitation package, the statement of work shall be treated as a controlled document, with appropriate identifying dates and numbers. Changes shall be controlled and approved by the author of the statement of work and any other appropriate organizations, such as Quality Assurance, Training, and Environment, Safety and Health. 	Procurement

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			5.1.1	Elements of a Statement of Work	<p>The requisitioner or BTR shall include the following elements in a SOW:</p> <ul style="list-style-type: none"> • Title, date and revision number • Objective/purpose (describe why work is necessary, what is to be accomplished, end product) • Background/introduction (provide information that identifies work environment, work conditions, unusual circumstances) • Scope (work requirements) • Deliverables (or end product to be furnished) • Objective acceptance criteria for services to be performed • Delivery Schedule • Safety requirements (including identifiable safety hazards) • Applicable ES&H requirements based on the Authorization Envelope and controls required to mitigate those standards • Quality assurance requirements (and Inspection Plan, if appropriate) • Hold points and/or source or receiving inspection points • Applicable requirements for configuration management • Required training (to include qualification or certification requirements) • Minimum qualification and competence requirements which contractor must meet (separate document, if appropriate, refer to paragraph 5.3.) • Unique or special requirements such as whole body count, physical exam, mask fit. • Standards and specifications • Requirements (including quality assurance), which explicitly apply or flowdown to lower tier subcontractors • Include a statement informing the supplier or subcontractor that the buyer is subject to 10 CFR 830.120, "Quality Assurance Requirements," 10 CFR 835, "Occupational Radiation Protection," and the enforcement actions under 10 CFR 820, "General Statement of Enforcement Policy" (Price-Anderson Amendment Act) • Administrative aspects, submittals, and reports. 	Procurement
			5.1.2		<p>The following elements should be addressed and included in the statement of work, as appropriate or as required:</p> <ul style="list-style-type: none"> • Table of Contents • Definitions • Engineering specifications, applicable drawings and standards • Government furnished property • Contractor furnished equipment • Statement of whether it is a managed task or a staff augmentation work scope • Milestone schedules • Location of the work and potential access requirements • Options and/or long term requirements (extended warranties) • References to National Standards. 	Procurement

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			5.4.1	Modifying a Statement of Work	The requisitioner or BTR shall prepare a brief description of the modification to the statement of work. Reference the original statement of work by title, date, and revision number, and submit to the buyer.	Procurement
			5.4.2		The requisitioner or BTR shall reference the specific changes and pages to be inserted into the statement of work.	Procurement
Med	Acquisition Planning	HNF-IP-0842, X, 3.30, rev.0	4.0	Implementation	Acquisition planning shall include the systematic process whereby CHG describes current procurement activities and forecasts future long range procurement through the work breakdown structure established by the River Protection Project (RPP) multi-year work plan (MYWP).	Procurement
			4.1.5	Acquisition Administration	Integrated Environment, Safety and Health Management System compliance is required regardless of the performer of the work. Acquisition planning by the requesting organization shall include Integrated Safety Management System flow down prescreening form (A-6002-699).	Procurement
Med	Supplier Quality Assurance Program Evaluation	RPP-PRO-3144, rev.0	2.9.1	Designation of QA Program Requirements	The MSC shall specify the requirement for the supplier to have a documented QA program and implementing procedures, including the specific program or standard (e.g., NQA-1) and criteria to be used in the evaluation. The extent of the QA program shall depend on the scope, nature, or complexity of the item or service being procured.	Procurement
Med	Test Control	RPP-PRO-286, rev.0	2.0.6	Requirements	For Quality Level 1 and 2 applications, test requirements, methods, and related acceptance criteria shall be identified, documented, and approved by the responsible design authority in a written test procedure or work package. Appropriate sections of cited documents (e.g., American Society for Testing and Materials methods, supplier manuals, equipment maintenance instructions, or approved drawings) shall be readily available to personnel performing the test. Such documents or document combinations shall include adequate instructions to ensure meeting test requirements, methods and related acceptance criteria.	Procurement
			2.0.11	Requirements	Test results shall be documented and their conformance with acceptance criteria shall be evaluated by the responsible design authority to ensure that test requirements have been satisfied.	Procurement
Med	Engineering Requirements	RPP-PRO-1819, rev.0	2.3.0.3	Design Baseline	Each Design Authority shall establish a list of "essential" drawings and ensure they are identified in the Hanford Document Control System.	Document Control
			2.3.1.1	Design Authority Approval	A Design Authority's approval shall be required for new design baselines and modifications to an existing design baseline.	Document Control

Attachment 2 -- List of Quality Affecting Assessment Topics

Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			2.3.1.2		Design Authorities shall approve all design documents that affect their design baseline and that are to be issued for retrieval and subsequent revisions. A design document is approved after the Design Authority signs it and reviews have been completed that are required by RPP-PRO-233, "Review and Approval of Documents." A Design Authority shall ensure that a Washington State professional engineer's stamp is obtained when required by regulatory agencies or other reasons.	Document Control
			2.4.3	Design Analysis	Design analyses or calculations supporting the design baseline shall be sent to Hanford Site document control for release, change control, retention and retrieval in accordance with RPP-PRO-224, "Document Control."	Document Control
			2.4.4	Design Output	Vendor information items shall be uniquely identified and retrievable. For a structure, system, or component in deactivation, vendor information that will affect the safety of the structure, system, or component (such as ventilation equipment that continues to operate after personnel have been removed) shall still be maintained. All other vendor information shall be handled according to the Design Authority.	Document Control
			2.4.7	Engineering Change	For procured engineering services, the process for changing architect-engineer (A-E) documents/ drawings (including documentation) shall be in accordance with the performer's quality assurance program. This requirement applies to documents generated by and under the control of the A-E. As-built A-E drawings are entered in the Hanford retrieval system. (See Section 2.5.3, "Turnover of Design Documentation").	Document Control
			2.5.1	Verification of Solution	If a part cannot be verified, then the Design Authority shall use engineering judgment to determine if the part can still be used, and shall document that justification. Design adequacy shall be verified by qualified persons other than those who designed the structure, system, or component. Verifications of design outputs shall be performed by one or more of the following methods: reviews, alternate calculations, and/or qualification testing.	Document Control

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			2.5.5	Procurement of Engineered Items or Services	<p>The Design Authority shall ensure that the following are appropriately addressed in the procurement documentation:</p> <ul style="list-style-type: none"> • Require pass-down of technical and quality assurance program requirements to sub-tier contractors. • Engineering process requirements such as required quality assurance program, personnel qualification, engineering standards (e.g., RPP-PRO-709, "Preparation and Control Standards for Engineering Drawings") and Design Authority involvement (e.g., in change control). • Requirements for in-process inspection/surveillance/reviews. • Requirements for final engineering deliverables and engineering document acceptance criteria. • Requirements for verifying the conduct of engineering process (surveillance plans, etc.). <p>Communication of engineering changes to and from the A-E must be processed through the Buyer's Technical Representative (BTR) per RPP-PRO-192, "Assignment and Duties of the Buyer's Technical Representative (BTR)" to ensure appropriate coordination and involvement of the Buyer.</p>	Document Control
Med.	Technical Procedure Control and Use	HNF-IP-0842, I, 2.11, rev.4d	5.7	Procedure Use	<p>Procedure Users/Supervisor/Lead</p> <ol style="list-style-type: none"> 1. Observe the following requirements before using a procedure to perform work: <ol style="list-style-type: none"> a. Verify that the procedure is the current revision by checking the master index on the electronic file system and the Procedure Change Authorization log book. b. IF procedures are not available on the electronic file system, THEN go to one of the controlled book locations for a copy of the current procedure and verify that the current procedure has not been changed by checking the Procedure Change Authorization log book. (2.1.15, 2.1.17) c. If the User/Supervisor/Lead is unfamiliar with the work hazards review the corresponding AJHA record if applicable. 1) Verify that all pages are included. 2) Read and understand the entire procedure or the sections of the procedure that are applicable to the user. 3) Know the requirements before starting the job. 4) Verify that review is completed on "Review Prior to Use" procedures. d. To emphasize the importance of hold points within the procedure, ensure that each hold point has an "indicator arrow or "tab" stapled next to the hold point that indexes the hold point. 	Document Control

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					<p>Procedure User</p> <p>2. Observe the following requirements while using a procedure. Performance of an activity from memory without referring to the procedure does not relieve you from the responsibility of conducting the activity in accordance with the latest version of the procedure. Procedure compliance is mandatory. (2.1.4, 1.1.18)</p> <ul style="list-style-type: none"> • Procedure will be used as directed by procedure use type (continuous or reference; see definitions in paragraph 6.0). • When no use type is on the front page, the procedure is considered to be a continuous use procedure. • The direction provided in each step is to be followed during the course of activities, regardless of the use level. • Each step must be completed before the next step, unless the procedure or other documentation specifically allows such deviation. • IF flexibility is given within the procedure that allows you to alter the step or section performance sequence of an activity, THEN the procedure is being adhered to as long as you stay within the flexibility specified. • IF flexibility is given within the procedure that allows you to work a section concurrently/independently, THEN the procedure is being adhered to as long as you stay within the flexibility specified. • Action to improve procedures or to correct procedure problems should be initiated. A change to procedures requires a Procedure Change Authorization or a new revision as evaluated per paragraph 5.1 of this procedure. • Work is to be stopped, management notified, and the system returned to a safe condition, IF: <ul style="list-style-type: none"> - The procedure imposed unsafe, unstable, or unreliable conditions on the structure, system, or component. - Problems are noted while performing a procedure (equipment malfunctions or unanticipated results obtained). <p>3. IF a procedure cannot be followed as written, or unexpected results occur, THEN:</p> <ol style="list-style-type: none"> Halt the activity Place equipment or system in a safe condition Notify the manager Initiate the necessary changes to correct the procedure in accordance with paragraph 5.3 of this procedure. <p>4. If the procedure contains hold points, follow the instructions as stated in HNF-IP-0842, Volume I, Section 2.13, "Control and Use of Hold Points."</p>	

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					Facility Operations Manager/ Procedure User 5. In an emergency, IF the procedure is deficient, THEN: a. Take the necessary action to place the facility or equipment in a safe condition to protect personnel, equipment, and public safety. b. Promptly notify your manager following any "emergency" actions. c. Initiate procedure change in accordance with paragraph 5.3 of this procedure. 6. Ensure that any procedures needing changed have been changed and approved before restarting an activity.	
Med.	Preparation and Control Standards for Engineering Drawings	RPP-PRO-709, rev.0a	2.7.11	Approval Signatures	The Design Authority (DA), as specified in HNF-PRO-1819, shall sign and date the title block in the bottom approval space. The Design Authority's approval signifies that all necessary reviews and approvals are completed and the drawing is to be entered into the Hanford drawing system.	Document Control
			2.10	Drawing Traceability List	All drawings are required to provide two-way traceability.	Document Control
			2.24.1	Metric Measuring System	Application and deviations from metric system use shall be in accordance with standard RPP-PRO-1819. Modifications to drawings that contain English units shall continue to use the English system unless otherwise specified by the Design Authority.	Document Control
			2.25.4.2	Rev. Numbering, Release and filming	Each subsequent revision shall be released and microfilmed before another revision is made.	Document Control
			2.25.4.5	Rev. Documentation and Approval	When drawings are revised, the Design Authority shall sign and enter their company acronym in the ENGR/COMPANY block of the revision block. Drawing revision requirements and results shall be documented and approved by an ECN prior to the release of a drawing that has been revised.	Document Control
Med.	Quality Assurance Records Standards	RPP-PRO-222, rev.0	3.1.2	Requirements	Projects shall. a. Clearly define the quality assurance records received or generated. b. Identify and define the organization responsibility for the record. c. Identify when the record is considered to be a completed quality assurance record. d. Specify any special filing equipment or storage to be used prior to record completion. e. Specify the media that will be considered the record copy (e.g., paper, microfilm, magnetic tape). f. Specify the maximum allowable holding period for completed quality assurance records prior to transmittal to the IRM services provider.	Document Control

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Priority	Procedure Title	Procedure Number	Para.	Para. Title	Requirement	Topic
			3.3.1	Creating Valid QA Records	Individuals creating quality assurance records shall ensure that the records are legible, accurate, complete, appropriate to the work accomplished, and identifiable to the items or activities to which they apply. The records, as a minimum, shall include the following: a. Title or subject identifying the contents of the record. b. Record date. c. Author's or preparer's name, if available. d. Title of the originating organization. e. Traceability designator, document number, or tracking number aiding in record retrieval.	Document Control
			3.3.2		Measures shall be taken to control in-process quality documents from the time they are generated or received and until they become completed quality assurance records and are transferred from the responsible organization to a designated storage facility maintained by the IRM services organization. a. In-process documents that can easily be regenerated or reconstructed with a minimum of effort or in a timely manner, or those that can be reproduced (i.e., not considered to be one-of-a-kind records), may be stored without special protection until they have been authenticated or validated and are considered to be completed. b. In-process documents that cannot easily be regenerated or reconstructed or cannot be reproduced should be protected in one-hour fire-rated cabinets from the time of creation until transfer to a designated storage facility.	Document Control
Med.	Project Files Management	HNF-IP-0842, XIII, 2.2, rev.0	4.1.4	Requirements	When an off-site architect-engineer performs engineering or inspection for a project, the statement of work shall identify deliverable documentation and records management requirements.	Document Control
			4.1.5		Document receipt, control, indexing, logging, tracking, maintenance, and retrieval of official project files shall be administered by LMSI throughout the project life cycle. a. Direction to project team members and subcontractors (e.g., task orders) shall be uniquely identified. b. Project correspondence will have unique numbers assigned. c. Documents submitted to the project file will be legible, be of reproducible quality, and refer to the project task order/contract release number. d. A master copy of the project file list will be maintained in the official project file and updated throughout the life cycle of the project.	Document Control
			4.1.7		Controlled documents that are obsolete, superseded, or no longer needed shall be destroyed by document holders, and LMSI will be notified.	Document Control
Med.	Criticality Safety Evaluations	HNF-IP-0842, IV, 6.4, rev.1	5.3	Format and Content	The format will match that recommended in DOE-STD-3007-93 for all criticality safety evaluation reports produced for River Protection Project (RPP) after 1999. Criteria and requirements provided by ANS-8.1 (1983) will be used as guidance. The evaluation will take into account the quantity and distribution of fissionable material and also neutron moderation, reflection, absorption, and interaction.	Document Control

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Med.	Safety Analysis Program	RPP-PRO-430, Rev.0	2.0.2	Requirements	Apply the review and approval requirements of HNF-PRO-705 to all new or in-process safety basis documents.	Safety
			2.1.1	Existing facilities	Apply HNF-PRO-701 to existing facilities.	Safety
			2.1.2	Change or mod. to an existing facility	Apply HNF-PRO-062 (as applicable) and RPP-PRO-702 to the safety analysis change process as a result of a proposed facility change or modification, or as a result of a discovery.	Safety
			2.1.3	New Project	Apply RPP-PRO-703 to the safety analysis process for new projects.	Safety
			2.0	Requirements	Apply the requirements of RPP-PRO-705 for planning, documenting, reviewing, and approving project documentation.	Safety
Med.	Safety Analysis Process -- New rev.0 Project	RPP-PRO-703, Project	2.2	Facility Modification Project	<p>The facility modification type project includes some or all of the stand-alone project stages and has the added complexity of interfacing with an existing facility whose safety basis documentation may be significantly impacted by the project. To integrate project and safety basis requirements:</p> <ol style="list-style-type: none"> 1. Initiate the PSE per Section 3.1 as required to support the project conceptual design. 2. Determine the need for an amendment to the existing safety basis documentation as required by the facility safety basis documentation change control process of RPP-PRO-702. 3. Complete the PSE, addressing any interfaces or issues identified in the facility safety basis documentation change control process. Incorporate the safety basis amendment as part of the project supporting documentation such that affected structures, systems, equipment, controls, and other interfaces are fully accounted for. As applicable, the safety basis amendment may be modified to include the elements of the PSE that pertain to the project and used as the PSE. 4. Develop the preliminary safety analysis report (PSAR) per Section 3.2 as required to support procurement and construction. As applicable, the safety basis amendment may be modified to include the required elements of a PSAR and used as the PSAR. 5. Revise the existing safety analysis report (SAR) or auditable safety analysis (ASA) in lieu of developing a final safety analysis report (FSAR) for the project. Incorporate the safety basis amendment and any new or revised controls or commitments from the PSAR into the body of the SAR or ASA text. 	Safety
			3.2.4	PSAR Maintenance	Update the PSAR annually to keep it current with the design until it is superseded by the FSAR or existing SAR or until the project is mothballed or canceled.	Safety
			3.4	Project Change Control	For a project associated with an existing facility, all activities involved with the project, and not just the end state configuration, are subject to the facility's change control process.	Safety

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Med.	Baseline Change Control	HNF-IP-0842, VIII, 1.1, rev.1	5.4	Perform Impact Analysis	<p>The change initiator shall perform an impact analysis of the requested change information. This shall include a screening of baseline elements, changes in resource requirements, and changes in scope requirements. The analysis will be unambiguously traceable to the change, readily retrievable for future reference, and consist of the following:</p> <ul style="list-style-type: none"> • Identification of scope changes, including the description and impact for scope deletions, deferrals, transfers, additions, and/or accelerations, and associated justification • Identification of cost and schedule changes for implementing the proposed change • Determination if there is an impact to technical requirements and the identification of corresponding documents • Determination if recent and/or pending changes are impacted or will be impacted with the approval of the proposed change • Redline/strikeout mark-ups of baseline elements reflecting the impacts/changes • Obtain and analyze the proposed interface control document change package, if applicable. 	Configuration Management
Low	Graded Quality Assurance	RPP-PRO-259, rev.0	2.1.1	Grading Process	The scope and depth of the application of QAPD requirements to a specific item, service, or process shall be determined by the use of a grading process.	Quality Assurance
			2.1.2		Whenever a graded approach is applied in meeting a U.S. Department of Energy nuclear safety requirement, the bases for selecting an action pursuant to the graded approach shall be documented. (Title 10, Code of Federal Regulations, Part 830.7 [10 CFR 830.7], Graded Approach)	Quality Assurance
			2.1.3		The grading process and controls shall be incorporated in the appropriate documents and procedures.	Quality Assurance
			2.1.4		Documents and procedures that grade application of the QAPD shall be reviewed by the cognizant QA organization to ensure that the requirements of this procedure are met.	Quality Assurance
Low	QA Program Plans	RPP-PRO-261, rev.0	2.0.3e	Requirements	<p>QAPPs shall include as a minimum:</p> <ul style="list-style-type: none"> • Definition of the scope of activities controlled by the QAPP. • Specific project, program, or facility QA requirements not addressed by the QAPD or Project Hanford Procedures. • Organizational structure, interfaces, and functional responsibilities, including an organization chart. • Levels of authority for those managing, performing, and assessing work. 	Quality Assurance
			2.0.7		Project QAPPs shall be developed in sufficient time for the requirements to be incorporated into the design. Each QAPP shall be prepared during conceptual design.	Quality Assurance

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			2.0.8		Quality assurance planning for project-specific activities not governed by a QAPP shall be documented as part of a task order, letter of instruction (LOI) or statement of work (SOW) to the contractor performing the work. The task order, LOI or SOW shall, as a minimum: <ul style="list-style-type: none"> • Define the scope of work. • Identify the safety classification. • Define the applicable quality assurance program and/or inspection requirements. • Specify responsibility for implementation of those requirements. 	Quality Assurance
Low	ALARA Work Planning	HNF-IP-0842, VII, 17.1, rev 0a	5.1	ALARA Review	A radiological engineer will screen all technical work documents that are required to be screened by Radiological Control.	Work Control
			5.2.1	Post-job ALARA Review	NOTE: An equivalent critique report that fulfills the requirements of this section may be used rather than a post-job ALARA review. A documented post-job ALARA review, assisted by Radiological Control, is conducted when one or more of the following exist: <ul style="list-style-type: none"> • The job produces an actual collective dose of 5 person-rem or greater • The actual dose encountered for the job differs from the predicted dose by more than 25%, if the actual collective dose is 1.0 person-rem or greater • Stop radiological work authority was exercised by any radiological worker during the performance of the work • A reportable radiological occurrence in accordance with occurrence reporting and processing of operations information occurred during the performance of the work. • Significant lessons learned are identified during work or radiological performance surveillances and assessments. • The procedure or package was screened as high radiological risk. • The RPP Radiological Control manager directs a post-job ALARA review. 	Work Control
			5.2.2		All medium and high risk work packages are screened against the 5.2.1 criteria. Low risk work is not required to have a formal screening but will have a post-ALARA review documented if the above criteria are met.	Work Control
Low	Plant Forces Work Review	RPP-PRO-070, rev.0	2.0.3	Requirements	A PFWR must be submitted for work involving the following activities when the total job costs exceeds \$2,000. <ul style="list-style-type: none"> • Painting. • Asbestos, except to perform maintenance. • Demolition. • Work on utilities (HVAC, steam systems or boilers, water, some electrical systems, sewer/septic systems). • Work involving a facility structure (including carpet and tile). • Work involving construction activity (excavation, insulation, piping/equipment modifications, concrete, paving, tank or vessel repair). • Installation of new equipment or systems. • Any work not routine or recurring. 	Work Control

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			2.0.5		No item of work that is estimated to exceed a cost of \$2,000 shall be artificially divided into portions less than \$2,000 for the purpose of avoiding the need to submit a PFWR.	Work Control
Low	Core Drilling/Tie-in Permit	RPP-PRO-474, rev.0	3.0	Requirements	Any organization performing core drilling/tie-in work activities at a PH-managed facility is required to have an approved work package. The core drilling/tie-in permit does not allow work activities to be accomplished until it becomes part of a PH-approved work package.	Work Control
Low	Engineering Document Change Control Requirements	HNF-IP-0842, IV, 4.29, rev.0	4.1.6	Requirements	All modification work shall be assessed for NEPA compliance in accordance with RPP-PRO-452, before releasing the ECN.	Document Control
			4.3.1	Development of ECN for Construction	When the ECN impacts the facility operation, the ECN initiated during design and construction requires the review and/or approval of the facility organization. If an interface with an existing facility system has been established, review of the change for application of lock and tag or other hazard permits is required to ensure proper interface control is achieved.	Document Control
			4.3.2		The Design Authority assigned to a construction activity shall coordinate with the Architect-Engineer (or design organization) on changes initiated against engineering documents under cognizance of the Architect-Engineer (or design organization). The Design Authority shall ensure that all design changes are screened against the safety basis approved by DOE for construction (PSAR, Phased SAR, etc.) before approval. Any proposed design change adversely impacting this approved safety basis requires ORP approval of a revised safety basis document or shall be modified to be consistent with the approved safety basis. The screening process shall: <ul style="list-style-type: none"> • Involve review by personnel knowledgeable of the accident analysis in the safety basis document • Review impacts on safety structures, systems or components and their ability to perform their safety functions • Review impacts on accident analyses and the risk accepted by DOE • Set criteria for determining when the impacts are significant and adversely impact the approved safety basis. 	Document Control
			4.3.4		Drawing revisions to incorporate ECNs prepared during construction are permitted any time before final as-building. All outstanding construction ECNs require incorporation as part of the as-building process, which includes physical walkdown of the structure, system, or component.	Document Control
Low	Review and Approval of Documents	RPP-PRO-233, rev.0	2.0.7	Requirements	Personnel approving documents in accordance with this procedure shall be authorized in writing.	Document Control