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REVISION LOG		
Revision Number	Description of Changes	Pages Affected
0	Initial Release. This procedure replaces and integrates the following BJC transitioned procedures BJC-PQ-1420 and BJC-PQ-1401.	All
1	Revised procedure to clarify differences in types of independent assessments performed, correct typographical errors, and incorporate comments from Waste Certification Official	Pages 5, 6, 7, 8, 12, 14, 15
AC1	Administrative change; revised reference numbers and deleted old reference	4
2	Clarify assessment requirements, correct references, and revise assessment checklist form (QAP-F-0710)	1, 5-12, 19

CAUTION

This procedure describes specific safety basis requirements for safety significant items used by the Paducah project. Any proposed changes must be processed in accordance with the procedure change control process defined in PRS-DOC-1107 and all changes shall be reviewed by the USQD process and approved by PRS nuclear/Facility Safety. Specific TSR requirements are noted in the document as **<TSR Section, Number, and Title (if applicable)>**

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1.0 PURPOSE

This procedure defines the Paducah Remediation Services, LLC, (PRS) procedure for the conduct of management and independent assessments in compliance with 10 *CFR* 830, Subpart A, *Quality Assurance Requirements*; DOE O 414.1C, *Quality Assurance*; and PRS-CDL-0058, *Quality Assurance Program Plan for the Paducah Environmental Remediation Project Paducah, Kentucky*. The PRS Assessment Program is the process for scheduling, planning, conducting, and reporting management and independent assessments performed as audits, surveillances, evaluations, and any other reviews of project or functional activities.

Managers at every level are required to assess periodically the performance of their work and document their observations and findings. Management assessment focus should be on both work performance and program implementation within the projects and the effectiveness of the programs managed by the functional organizations in meeting contractual and regulatory requirements.

Independent assessments are routinely planned, scheduled, and conducted to evaluate compliance with environment, health, safety, quality, and regulatory requirements. Independent assessments are assessments performed for a project or functional organization by resources that are not part of the project or organization. The focus of independent assessments is to assess the adequacy of work controls, reliability, and performance, and to promote continuous improvement.

Audits are the most comprehensive type of independent assessment and must be performed by an assigned audit team led by a qualified Lead Auditor. Independent surveillances are less rigorous and may be performed by one person(s) using a prepared checklist or other applicable assessment criteria. Personnel who perform surveillances are not required to be qualified as a Lead Auditor.

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2.0 SCOPE

The requirements of this procedure apply to all PRS and teaming partner employees who schedule, plan, conduct, or report management or independent assessments (audits, surveillances, etc.). Subcontractor personnel leading or serving on PRS independent assessment teams shall be qualified to a recognized industry standard. Management by Walking Around (MBWA) evaluations and walkthroughs are governed by PRS-QAP-1033 and are not within the scope of this procedure.

NOTE: This procedure implements independent and management assessment related safety basis requirements as follows;

- **BJC/PAD-500, Rev. 7, December 2007**, *Technical Safety Requirements for the C-410 D&D Project Paducah Gaseous Diffusion Plant Paducah, Kentucky, Section 5.8*
- **BJC/PAD-496/R7, December 2007**, *Technical Safety Requirements for the Category 2 U. S. Department of Energy (DOE) Material Storage Areas, Paducah Gaseous Diffusion Plant Paducah, Kentucky, Section 5.8*
- **BJC/PAD-498/R7, November 2007**, *Technical Safety Requirements for the C-746-Q Hazardous and Low-Level Waste Storage Facility, Paducah Gaseous Diffusion Plant Paducah, Kentucky, Section 5.8*

<This procedure contains TSR Requirements – DO NOT Change this procedure without the approval of Nuclear Safety>

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3.0 TRAINING

Users of this procedure must read and understand the requirements of this document and any subsequent revisions to it, prior to use. Completion of this requirement shall be documented as required by PRS Procedure PRS-TRN-0750, *Required Reading*. Other training required to implement the requirements of this procedure will be assigned and completed in accordance with PRS-TRN-0710, *Assignment of Training*.”

Personnel who are qualified as Lead Auditors and Auditors or qualify personnel as Lead Auditors or Auditors must satisfy the training requirements in PRS-QAP-1502, *Qualification of PRS Independent Assessment Personnel*.

4.0 PROCEDURE

4.1 Develop the Assessment Schedule

NOTE 1: The assessment schedule may be maintained in a Calendar Year (CY) or Fiscal Year (FY) format. A three-year rolling schedule is preferred but not required. Separate schedules for management and independent assessments may be developed if approved by the Quality Assurance Manager.

NOTE 2: The assessment schedule is a living document that is updated as needed to reflect oversight needs.

NOTE 3: PRS-QAP-1650, *Graded Approach Application*, provides assistance in determining risk and consequence factors. The allocation of resources to perform assessments is based on status, hazard, and complexity of the function or activity being assessed.

Quality Assurance (QA) Manager, QA Program Lead or designee

4.1.1 Develop the assessment schedule based on a review of ongoing and planned activities and the associated risks and/or impacts and input from the Project and Functional areas. At a minimum, the schedule shall include the following information: Manager responsible for the assessment, subject area to be assessed, type of assessment (management, independent, surveillance, audit, etc.), and scheduled completion date of the assessment.

Sources and requirements that shall be reviewed for development of the assessment schedule include the following:

- The DOE/PRS Contract (specifically, List A and List B) and PRS policies/procedures;
- Project schedules and associated work tasks/activities;
- Results of previous assessments (management, independent, and external);

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- Corrective actions that have been implemented (i.e., effectiveness reviews);
- Occurrences and other issues or events that were reportable to the U. S. Department of Energy (DOE);
- Lessons Learned;
- Adverse trends; and
- Required assessments of Paducah's Nevada Test Site (NTS) Waste Certification Program with input from the Waste Certification Official (WCO).

a. Risk factors that should be considered include the following:

- Potential probability or consequences of any hazard involved relative to safety of personnel or the environment;
- Life-cycle stage, complexity, and/or nuclear safety category or hazard classification of the facility or activity; and
- Impact/consequence on overall mission.

4.1.2 Identify the responsible manager and/or responsible person who are accountable for the performance of each assessment on the schedule.

4.1.3 Submit the completed draft assessment schedule to the QA Manager and WCO for review and approval.

NOTE: Approval can be accomplished per email concurrence.

QA Manager and WCO

4.1.4 Review and approve the assessment schedule and return it to the QA Program Lead.

QA Program Lead or designee

4.1.5 Ensure the required approvals are obtained prior to issuing new or revised schedules.

4.1.6 Publish the approved assessment schedule at the assigned location on the PRS Internal Computer System.

4.1.7 Maintain and update the Assessment Schedule to reflect, but not be limited to, the following changes:

- For efficient operation, scheduled assessment activities may be combined with other assessments that will be conducted in the same area.

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- Scheduled assessments also may be cancelled or rescheduled based on such factors as changes in priorities, other assessments directed by functional organizations or external oversight groups, or the need to address newly identified problem areas.
- Additional assessments may be identified and performed once the original schedule is finalized.
- Cancellation or rescheduling of assessments that are required by the PRS/DOE Contract or PRS policies/procedures must have written approval of the PRS QA Manager or designee. Such approvals may be granted by e-mail, if required.
- Cancellation or rescheduling of assessments that are required by the NTS Waste Program or PRS policies/procedures that implement NTS requirements must have written approval of the WCO or designee. Such approvals may be granted by e-mail, if required.

4.1.8 Update and publish the Assessment Schedule at least once per quarter to reflect the actual assessments performed and completion dates.

4.2 Planning a Management Assessment

NOTE: Active participation by management is essential to the success of the management assessment process to ensure that change can be effected and improvements made in organizational performance.

Assessor

4.2.1 Identify evaluation criteria using applicable requirements for the work activity (i.e., procedures, drawings, work plans, previous corrective actions, lessons learned, and/or subcontract documents).

4.2.2 Develop a checklist that includes the applicable evaluation criteria (see QAP-F-0004 for checklist example). Indicate in the checklist heading the type of assessment (management) being performed.

4.3 Performing a Management Assessment

Assessor

4.3.1 Notify project or functional staff of the management assessment scope and schedule.

4.3.2 **IF** the management assessment will require access to subcontractor personnel or subcontractor documents, **THEN** notify the subcontractor of the management assessment activity.

4.3.3 Using the evaluation criteria checklist, gather data using the most

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appropriate method. The preferred method is direct observation of work. Other methods include interviews, inspection, document reviews, and drills/exercises.

4.3.4 IF an operation or process is identified that jeopardizes safety, health, the environment or has life-threatening implications, **THEN** immediately stop work in accordance with PRS-ESH-2018, *Suspension of Work*.

NOTE: Subject Matter Experts (SME) are encouraged to perform management assessments of a subject matter area in conjunction with completion of a project or activity.

4.3.5 IF the purpose of the assessment is to perform an SME assessment of a subject matter area, **THEN** document that applicable requirements, procedure flowdown, and subcontract proforma flow down (IF applicable) are current.

4.3.6 Document clear and concise results on the checklist as a finding (F), observation (O), satisfactory/acceptable (S/A), or not evaluated (N/E) per the definitions in Attachment A.

NOTE 1: A series of related or “like” findings or observations may be symptoms of an underlying systemic problem; therefore, a single issue should be developed that consolidates and cites the individual findings or observations as evidence of a system breakdown.

NOTE 2: Proficiencies should be reported in the “results summary” of the assessment report and evaluated for potential entry into the Lessons Learned System as a good (green) practice. Proficiencies will not be recorded or tracked in Issues/Corrective Actions Tracking System (I/CATS).

4.3.7 Complete a QAP-F-0710, *Issue Identification Form*, for each finding or observation including sufficient details and description, to support conclusions.

4.3.8 Refer to the section on Issue Identification in PRS-QAP-1210, *Issues Management Program*, for instruction on completing QAP-F-0710 Forms.

4.3.9 IF a finding or observation previously has been entered into I/CATS **AND** there has been appropriate progress on an adequate corrective action plan, **THEN** note this on the checklist, but **DO NOT** report this as a new finding or observation.

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4.3.10 IF a finding or observation is fully and satisfactorily corrected during the assessment, **THEN** note this on the QAP-F-0710 Form so the issue can be entered into I/CATS as closed. **IF** an item can be fixed immediately (close of business day), **THEN** it does not require entry into I/CATS.

4.3.11 IF a potential occurrence or DOE Office of Enforcement (OE) Noncompliance issue is identified, **THEN** communicate the information to the appropriate responsible manager immediately.

Manager of
Projects
(MOP)/Facility
manager
(FM)/Project
Manager
(PM)/QA
Manager or
designee

4.3.12 Evaluate potential occurrences or OE Noncompliance issues to determine reportability per PRS-QAP-1220, *Occurrence Notification and Reporting* and PRS-QAP-1610, *Noncompliance Determination and Reporting*, and report as required.

4.4 Planning an Independent Assessment

NOTE 1: The independent assessment team leader and team members must not have direct responsibility in the assessed areas of the project or organization being assessed and have sufficient authority and freedom to carry out their assessment responsibilities.

NOTE 2: Independent assessments are not always performed by an assessment team. When an individual assessor performs an independent assessment, he/she is responsible for the actions of the Team Leader/Team Members as defined in this procedure.

MOP/FM/PM/QA
or designee **4.4.1** For PRS-led independent assessments, assign the team leader.

QA Program
Lead or Designee **4.4.2** Issue a notification to the assessed organization/project management of upcoming independent assessment based on the assessment schedule, if applicable.

Team Leader **4.4.3** Review the selected project's work breakdown structure or organization functional scope as applicable to help determine initial scope of assessment.

4.4.4 Review project schedule or contact the responsible manager to determine project activities that will be in progress during the assessment.

4.4.5 Identify tasks/activities with the greatest risks, complexity or consequences of failure using a graded approach as defined in PRS-QAP-1650, *Graded Approach*.

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4.4.6 Review results of previous assessments (management, independent, and external) that may have been performed, corrective actions implemented, occurrences or other identified issues/events, lessons learned, and/or adverse trends in areas that potentially will be included in the scope of the assessment. Whenever corrective actions have been implemented, verify the adequacy and effectiveness of prior action during the assessment.

4.4.7 Review the tracking and trending data pertinent to the Organization/Project to be evaluated and ensure that areas of concern are covered in the assessment scope.

4.4.8 Develop the assessment scope using applicable information obtained.

MOP/FM/PM or
designee

4.4.9 Review and concur with the assessment scope.

4.4.10 **IF** the independent assessment is being performed by personnel other than Paducah Project QA personnel, **VERIFY** that funding is available to support the assessment.

QA Manager,
Team Leader

4.5 Select the Independent Assessment Team

NOTE 1: Assessment team members may be selected at any time prior to beginning the assessment. Selection should preferably be done after or during determination of assessment scope to assure team expertise matches scope topics.

NOTE 2: The assessment team should be composed of the SMEs and Technical Specialists needed to properly staff the team. If SMEs or Technical Specialists are unavailable, substitute assessors with similar experience and/or knowledge.

Team Leader

4.5.1 Select the assessment team Members.

4.5.2 Ensure training and qualifications of each Team Member as required by PRS-QAP-1502, *Qualification of Independent Assessment Personnel*.

4.6 Developing the Independent Assessment Plan

Team Leader

4.6.1 Assign team members to applicable assessment area(s) and provide guidance as necessary for preparation to assess the assigned area(s).

4.6.2 Identify closed findings from any previous independent assessment(s) of the project/organization, if any, and assign the determination of effectiveness to appropriate team members.

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Team Leader/
Team Members **4.6.3** Develop Lines of Inquiry (LOIs) and/or checklists (see QAP-F-0004 for checklist example) as necessary to address the scope of the assessment, including effectiveness of corrective actions assigned. Indicate in the checklist heading the type of assessment (independent) being performed.

Team Leader/
Team Members **4.6.4** Develop the Assessment Plan to include the following as applicable:

- Identification of the organization(s),
- Purpose and scope,
- Team members,
- Scheduled start and completion dates,
- LOIs and Checklists,
- Documents, interviews, field observations, etc., needed to evaluate performance,
- Needed drills and scenarios for performance evaluation, areas excluded from assessment.

Team Leader **4.6.5** Forward the assessment plan to the QA QA Program Lead for review and comment.

4.7 Approval and Preparation for the Independent Assessment

Team Leader **4.7.1** Notify the assessed organization that the assessment plan has been approved and provide a copy of the plan if requested.

NOTE: Provide as much notice as possible to the assessed organization to allow scheduling of interviews and furnishing of supporting documents.

4.7.2 Coordinate logistics for conduct of assessment such as the following:

- Assessment Kick-off Meeting
- Project point of contact
- Schedule for interviews
- Access to appropriate facilities, documents, records
- Working space for Assessment Team Members
- Assessment Close out/Debrief

4.7.3 Meet with team members to review the Assessment Plan and assignments.

Team Members **4.7.4** Become familiar with the assigned assessment area(s) and determine the assessment methodology and subject matter area requirements to be used to conduct the assessment.

Team Leader **4.7.5** Ensure arrangements for facility access and coordination of required resources within assessed Project/Organization have been completed.

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4.8 Performing an Independent Assessment

- Team Leader **4.8.1** Begin the Independent Assessment with an entrance meeting to introduce the Team Members to the Project/Functional organization; identify counterparts; provide briefing on the assessment process; and present the review schedule.
- Team Member **4.8.2** For a project assessment, observe simulated and actual integrated operations, drills, or exercises as described in the project implementation plan, work packages, and procedures.
- 4.8.3** Perform documentation review as needed.
- 4.8.4** Conduct interviews of selected personnel using LOIs previously agreed to in the assessment plan.
- Team Leader/
Team Member **4.8.5** **IF** an assessed operation or process seriously jeopardizes safety, health, the environment, has life-threatening implications, or creates a significant condition adverse to quality, **THEN** immediately assure **STOP WORK** action is taken.
- Assessed
Organization/
Project **4.8.6** Evaluate and report potential occurrences in accordance with PRS-QAP-1220, *Occurrence Notification and Reporting*.
- 4.8.7** Evaluate and report potential OE Noncompliance issue in accordance with PRS-QAP-1610, *Noncompliance Determination and Reporting*.
- NOTE:** Individuals identifying issues should discuss them with the SME (if the SME is not the identifying individual) for proper characterization and generic/program applicability.
- Team Member **4.8.8** Provide summaries, findings, and observations to Team Leader periodically (e.g., daily or as requested).
- Team Leader **4.8.9** Conduct periodic (e.g., daily) meetings with assessment Team Members to discuss identified issues as appropriate.
- NOTE:** If possible, issues should be discussed on a daily basis with Project/Organization management, either at end of day for issues found that day or at beginning of work day to discuss issues found the previous day. The purpose of these meetings is to assure that identified issues are appropriately characterized, afford management an opportunity to provide any additional information, and allow corrective actions to be initiated.
- 4.8.10** Conduct periodic meetings with the Project/Organization to discuss identified issues.

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Team Member **4.8.11** Provide to the Team Leader for review the summary of the assessment, specific results from LOIs and findings, observations, and proficiencies.

Team Member/Team Leader **4.8.12** Document issues (findings and observations) on QAP-F-0710, Issue Identification, in accordance with PRS-QAP-1210, *Issues Management Program*.

4.8.13 **IF** a finding previously has been entered into I/CATS **AND** there has been appropriate progress on an adequate corrective action plan, **THEN DO NOT** report this as a new finding. **IF** an item can be fixed immediately (close of business day), **THEN** it does not require entry into I/CATS.

4.8.14 **IF** a finding or observation is fully and satisfactorily corrected during the assessment, **THEN** note this on the QAP-F-0710 for entry into I/CATS as a closed issue.

NOTE 1: Records should be generated as soon as possible, preferably during the assessment. If possible, all assessment summaries should be generated and reviewed before the assessment close-out meeting.

NOTE 2: The post-assessment meeting should include a summary of top issues; an overview of areas assessed; identification of any opportunities for improvement; and schedule for issuance of the independent assessment report.

Team Leader **4.8.15** Conduct and lead the post-assessment meeting between Team Members and the assessed project/organization.

4.9 Reporting an Assessment

Assessor/Team Leader **4.9.1** Compile results of the management or independent assessment in a timely manner and debrief the appropriate MOP/FM/PM to ensure factual accuracy.

MOP/FM/PM or Designee **4.9.2** Review the assessment results and provide timely feedback on factual accuracy and/or areas for additional follow-up.

NOTE 1: The assessment report must contain the elements shown in form QAP-F-0004, "Assessment Report (Example)," and QAP-F-0710 forms for any identified issues.

NOTE 2: The "Management/Independent Assessment Report Example" (Attachment B, QAP-F-0004) is the preferred format for reporting management and independent assessments. However, if another format or checklist is used, a copy of QAP-F-0004 should accompany the report as the cover page with the appropriate fields completed.

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- Assessor/Team Leader
- 4.9.3** Address any feedback or comments from the responsible MOP/FM/PM.
- 4.9.4** Contact Quality Assurance or the ISM/IA Group for an assessment number and record the number on the QAP-F-0004 form, each continuation page, and QAP-F-0710 forms in the Reference ID # block (if applicable).
- NOTE 1:** If it is unclear who should own a finding or observation, contact the responsible Project Manager or Quality Assurance for assistance.
- 4.9.5** **IF** there are findings or observations, complete Part A of a QAP-F-0710 Form for each finding and observation **AND** determine who will “own” the finding or observation
- 4.9.6** Sign and date the completed assessment checklist (QAP-F- 0004) in the space provided.
- 4.9.7** Complete a Material Transfer Form (SSTF-011) and forward the completed assessment checklist and attachments to a Derivative Classifier (DC) for review.
- 4.9.8** **IF** the DC review reveals a problem with the classification of the assessment, **REVISE** and **RESUBMIT** the assessment to the DC for review.
- 4.9.9** **WHEN** the DC has approved the assessment, **SCAN** a copy of the signed assessment checklist, including the complete QAP-F-0710 forms (if applicable), onto the S:\ Drive and save a copy to the personal computer.
- 4.9.10** Send an electronic copy of the signed checklist and accompanying forms (including the completed Material Transfer Form) to Issues Management and the Quality Assurance QA Program Lead for processing in accordance with PRS-QAP-1210.
- NOTE:** If performing multiple assessments during the year, the “originals” may be retained in an approved Satellite Document Repository and transferred as a group to PRS Document Control.
- 4.9.11** Deliver the “original” copy of the assessment and all accompanying forms (including the original Material Transfer Form) to PRS Document Control for submittal to the Kevin Document Center as the “record” copy.
- QA Program Lead or designee
- 4.9.12** Make final distribution of the assessment in accordance with the current approved distribution list.

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5.0 RECORDS

The following records are generated by this procedure and are maintained per PRS-DOC-1009, *Documents and Records*:

- Completed management and independent assessment reports (QAP-F-0004 and QAP-F-0710 forms).

6.0 SOURCE DOCUMENTS

- PRS-CDL-0058, *Quality Assurance Program Plan for the Paducah Environmental Remediation Project, Paducah, Kentucky*
- 10 CFR 830, Subpart A, *Quality Assurance Requirements*
- DOE O 414.1C, *Quality Assurance*
- PRS-QAP-1210, *Issues Management Program*
- PRS-QAP-1220, *Occurrence Notification and Reporting*
- PRS-QAP-1240, *Lessons Learned Program*
- PRS-QAP-1033, *Management by Walking (MBWA) Program*
- PRS-QAP-1610, *Noncompliance Determination and Reporting*
- PRS-QAP-1650, *Graded Approach Application*
- PRS-ESH-2018, *Suspension of Work*
- PRS-DOC-1009, *Documents and Records*
- ASME NQA-1, *Quality Assurance Requirements for Nuclear Facility Applications*, 2004 Edition
- DOE O 226.1, *Implementation of Department of Energy Oversight Policy*

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Attachment A
DEFINITIONS/ACRONYMS
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DEFINITIONS

Acceptable - The item being reviewed meets specified requirements.

Assessment - A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence, the adequacy of, and compliance with established procedures, instructions, drawings, and other applicable documents; the effectiveness of implementation; and the organizational performance.

Checklist - A document that contains a series of statements and/or questions used to gain sufficient information to determine if objectives and/or expectations have been achieved and accomplished.

Corrective Action - Those activities required to resolve identified issues and reasonably prevent or minimize recurrence.

Effectiveness Review – A review/assessment of completed corrective actions to (a) determine whether completed corrective actions have or have not effectively resolved and prevented recurrence of the same or similar findings at the performance level; (b) identify additional actions necessary to effectively resolve the findings and prevent recurrence; and (c) collect corrective action effectiveness data for subsequent analyses and sharing of lessons learned.

Extent of Condition – The generic implications of a failure, malfunction, deficiency, defective item, weakness or problem (i.e., the actual or potential applicability for an event or condition to exist in other activities, projects, programs, facilities or organizations). 10 *CFR* 830, identifies several areas, including training, work processes, procurement and the identification and control of items, services and requirements that could benefit from appropriate use of extent of condition review. Extent of condition also contributes to feedback and improvement loops to support the Integrated Safety Management System.

Finding - A direct violation of or nonconformance to an existing requirement. A series of related or “like” findings or observations may be symptoms of an underlying systemic problem; therefore, a single issue should be developed that consolidates and cites the individual findings or observations as evidence of a system breakdown.

Implementation – The extent of compliance with published requirements.

Issue – Generic term for concerns, alerts, problems, deficiencies, findings, observations, occurrences, potential OE noncompliances, and other events/conditions that may require corrective actions as identified in the scope of this procedure.

Issues/Corrective Actions Tracking System (I/CATS) - A database used by PRS for the tracking and trending of issues and their associated corrective actions.

Lessons Learned - A “good practice” or innovative approach that is captured and shared to promote repeat application. A Lesson Learned also may be an adverse work practice or experience that is captured and shared to avoid recurrence.

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DEFINITIONS

Not Evaluated (N/E) - A requirement appearing on a checklist that was intended to be evaluated, but was not. (When this occurs, an explanation should be given as to why the requirement was not evaluated.)

Objective Evidence – Any fact, information, or record, either quantitative or qualitative, pertaining to the quality of an item, service, process, or end-product that is based upon direct observation, measurement, test, or documentation that can be verified without dependence upon hearsay or second party attestations.

Observation - Documentation of an opportunity for improvement or marginally acceptable condition that, if not corrected or resolved, later might escalate into a finding.

Occurrence - An event or a condition that adversely affects or may adversely affect DOE or contractor personnel, the public, property, the environment, or the DOE mission.

Proficiency - A proficiency may be either an exemplary practice or an area of performance excellence identified during an assessment activity. It is not just doing what should be done. Proficiencies are not entered into I/CATS and do not require completion of a QAP-F-0710 form. Proficiencies should be considered for submittal as “good practices” in the applicable Lessons Learned System.

QAP-F-0004 Form – Form used to prepare a checklist that contains pertinent assessment information, assessment summary, and assessment criteria for a management or independent assessment.

QAP-F-0710 Form - Form used to document assessment results and initial issue information.

Requirement - Performance expectation derived from DOE Orders, federal and state laws, applicable policies and procedures, and subcontractor contract and procedural requirements.

Subject Matter Expert (SME) - A person assigned to a system, program, project, discipline, equipment, or other topic that has comprehensive knowledge and relevant expertise based on qualification, training, experience, and/or education.

Team Leader – An individual qualified to organize and direct an assessment and report findings, observations, and proficiencies.

Technical Specialist – An individual with sufficient education, training, or experience to judge the effectiveness of a process.

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**Attachment A
DEFINITIONS/ACRONYMS
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ACRONYMS

CY-calendar year
DC – Derivative Classifier
DOE – U. S. Department of Energy
FM - Functional Manager
FY - fiscal year
I/CATS – Issue/Corrective Action Tracking System
LOI – Lines of Inquiry
MBWA – Management by Walking Around
MOP - Manager of Projects
N/A - Not Applicable
N/E – Not Evaluated
NTS – Nevada Test site
OE – Office of Enforcement
PM - Project Manager
PRS – Paducah Remediation Services, LLC
SME – Subject Matter Expert
QA – Quality Assurance
WCO – Waste Certification Official

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**Attachment B
FORM QAP-F-0004**

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This is an only an example of the form. See Document Control Center for usable form.

MANAGEMENT/INDEPENDENT ASSESSMENT REPORT

Title:

Assessment Number:

Project or Function:

Date Issued:

Location:

Date(s) Performed:

Performed By:

Summary of Purpose:

Basis/Requirements:

Persons Contacted:

Subcontractors:

Documents Reviewed:

Summary of Results:

Attachments:

- QAP-F-0710 Issue Identification Form(s) for Findings and Observations (Parts A & B Completed)
- Applicable Evaluation Checklist(s)

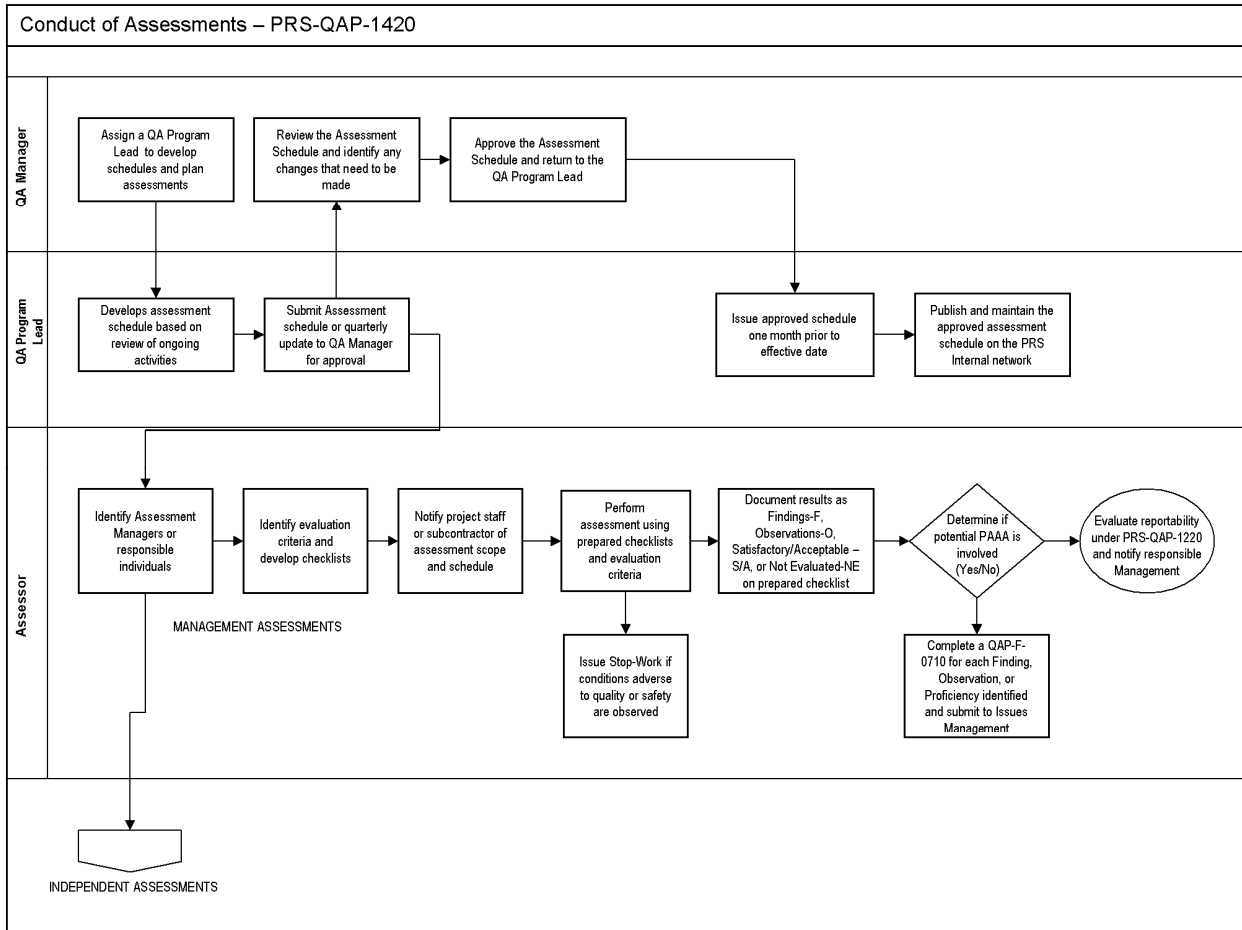
Item	Evaluation Criteria	Results				Comments	Status	
		S/A	F	O	N/A		CL	OP
1.								
2.								
3.								
4.								
Legend: Results: S/A = Satisfactory/Acceptable F = Finding O = Observation N/A = Not Applicable or Evaluated <i>Findings and Observations will be entered into I/CATS</i> Status: CL = Closed OP = Open								
Signature:			Date:		Previous Corrective Actions Open?			
PAAA Review Recommended? <input type="checkbox"/> Yes <input type="checkbox"/> No			More in-depth assessment suggested? <input type="checkbox"/> Yes <input type="checkbox"/> No					
LL Review Recommended? <input type="checkbox"/> Yes <input type="checkbox"/> No			Identify Area(s) needing additional focus: Evidence File Preparation prior to readiness review.					
Occurrence Review Recommended? <input type="checkbox"/> Yes <input type="checkbox"/> No								

Distribution:

Document Management Center (Record Copy Original), Project/Functional Manager, Issues Management Staff, Waste Certification Official

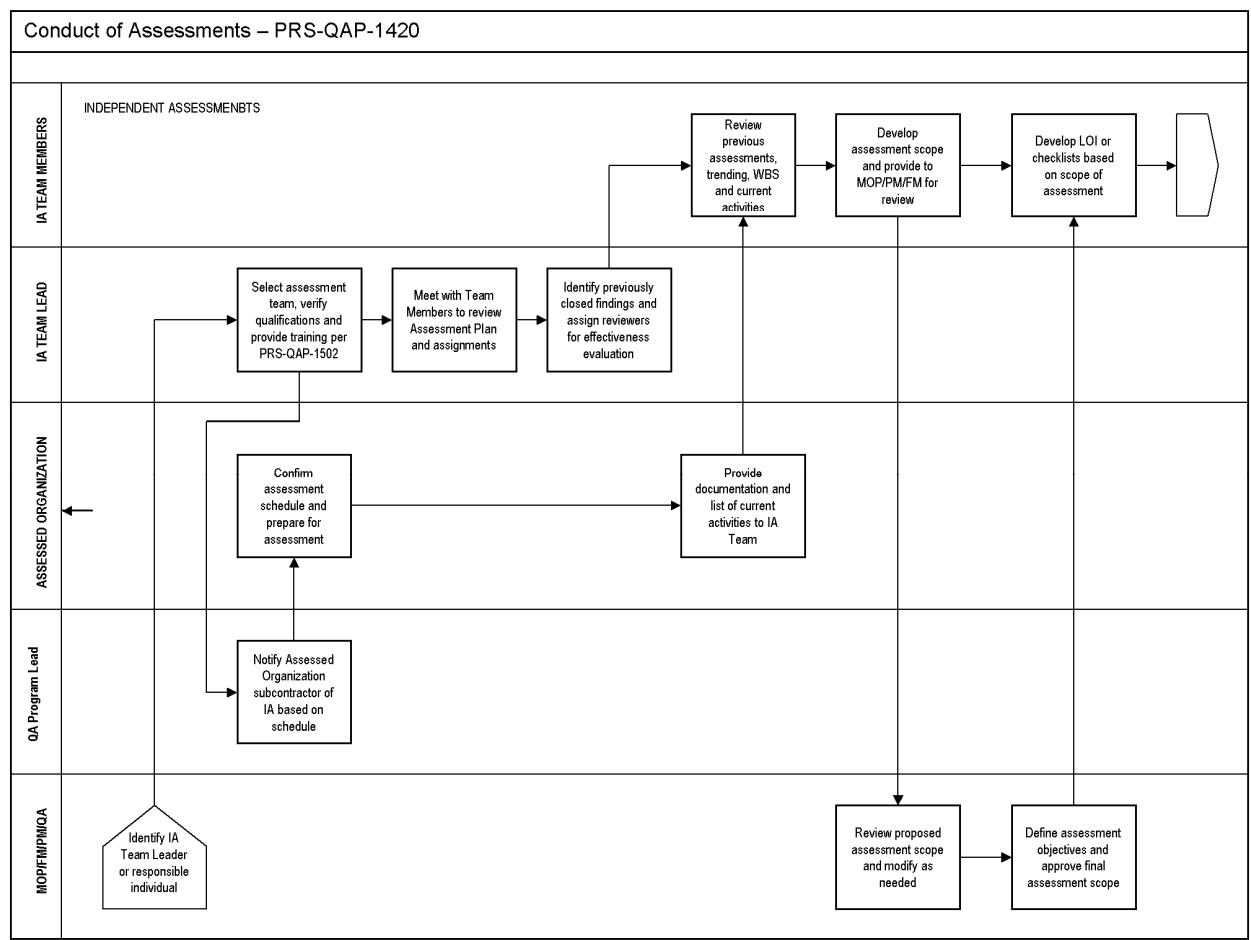
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Attachment C Conduct of Assessments Flow Chart Page 1 of 4



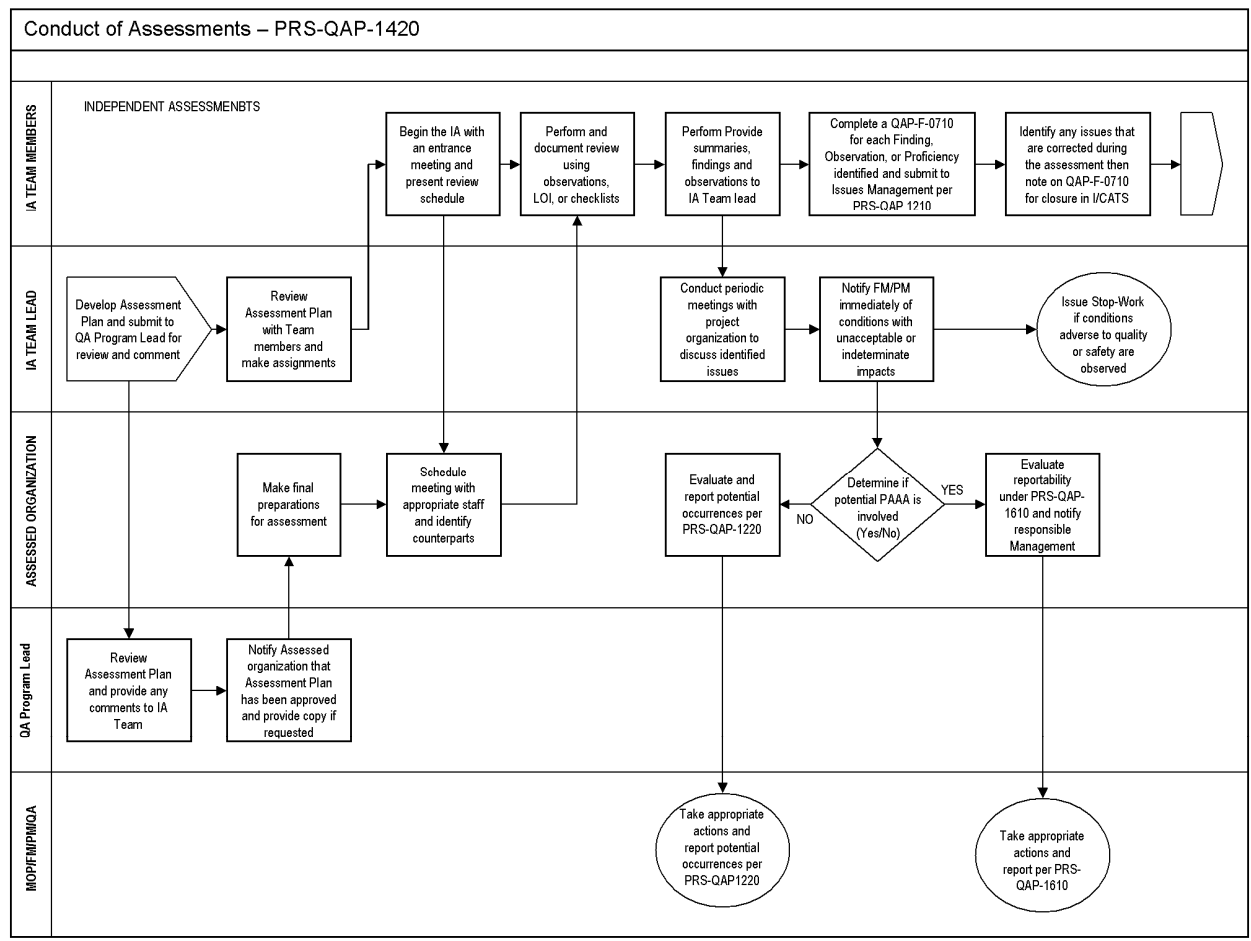
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Attachment C
Conduct of Assessments Flow Chart
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Attachment C Conduct of Assessments Flow Chart Page 3 of 4



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Attachment C
Conduct of Assessments Flow Chart
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